UPWP Development and Administration

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Today’s Discussion

• UPWP & Planning Grant Overview
• UPWP Development & Approval
• UPWP Administration
• Cost Eligibility
• Questions & Discussion
Objectives
Foundation

• March 2016 Planning Grant Administration Training

• Subjects:
  - Funding sources
  - Use of FHWA planning funds
  - Roles and responsibilities
  - 2 CFR 200

Grant Administration

Facilitator:

Lorrie Lau, FHWA Office of Planning
How Federal Government Awards Funds

Federal Government

Recipient

Subrecipient

Subrecipient

Contractor

Subcontractor

Procurement

Assistance

MPO

TDOT

Assist
Stimulate
Support

Buy
Acquire
Purchase
Procure
Roles & Responsibilities

**FHWA/FTA**
- Federal granting agency
- UPWP approval/authorization; responsible for direct oversight of TDOT, indirect MPO oversight

**TDOT**
- Grant recipient
- Provides grant funds to MPOs; responsible for direct oversight of MPOs carrying out planning process

**MPOs**
- Grant subrecipient
- Carries out MPO planning process; responsible for compliance with Federal and State requirements
Planning Grant Administration

Funding Determination
Initial Eligibility Determination
Grant Award
Grant Performance
Invoicing & Monitoring
Closeout

Pre-Award
Post-Award

UPWP

*Today’s discussion: UPWP*
UPWP Overview

• Statement of work that:
  – Discusses the region’s planning priorities
  – Documents the planning activities the MPO proposes to undertake with FHWA/FTA funds

• **Required** by Federal regulation

• Promotes transparency in the planning process and reflects the region’s priorities

• UPWP: grant application

  Programmatic requirements & funding eligibility
Pre-award activities: those occurring in advance of the federal award (i.e. activities necessary to secure the federal grant)
UPWP Development

Upward Planning and Project Planning (UPWP)

1. Conceptual Planning
2. Feasibility Study
3. Design Development
4. Construction
5. Post-Completion Evaluation

UPWP

TDOT
Department of Transportation
UPWP Development

Funding availability
National priorities
State/Regional priorities

Public Involvement
Cooperative, continuous, comprehensive planning process

UPWP

LRTP, Statewide LRTP, HSIP, other state/regional/local plans
UPWP Development

• Cooperative process involving:
  – MPO
  – State DOT
  – Other State agencies
  – Public transportation operator(s)
  – Other agencies performing transportation planning
UPWP Development

- LRTP – 4-5 years
- TIP - 4 years
- Other planning documents (PPP, CMP, etc) – various
- TMA Cert – 4 years
- UPWP (1-2 years)
UPWP Development

2045 LRTP Update (due Feb 2020)
- Establish goals/objectives
- Data Collection
- Analysis of existing & future conditions
- Transportation demand modeling
- Needs Analysis

2040 LRTP Management
- Amendments

FY17-20 TIP
- Amendments & adjustments
- TIP analysis

FY18-19 UPWP Administration
- MPO Board Meetings
- Federal Certification Review
- Travel to AMPO, TRB, TNMUG, ...

FY20-21 UPWP Development

*for example only*
Required Key Elements

- Reflection of all metropolitan transportation planning activities being performed with 23 USC and 49 USC Chapter 53 funds

- Discussion of region’s planning priorities

- Work proposed for next 1- or 2-year period by major activity and task, indicating:
  - Who will perform the work
  - Schedule for completing the work
  - Resulting products
  - Proposed funding by activity

Work tasks and activities must be sufficiently detailed to allow FHWA, FTA, and TDOT to determine eligibility of expenses.
• Financial summary reflecting:
  – Federal share by type of fund
  – Matching rate by type of fund
  – State and/or local matching share
  – Other state or local funds

• **In TMAs, must** include cost estimates for transportation planning, research, development, and technology transfer activities funded with *other* Federal, State, and/or local funds.

• In air quality nonattainment areas, must include all air quality planning activities funded with other Federal, State, and/or local funds.
Recommended UPWP Structure

- Introduction
- Objectives
- Work Elements
- Financial Summary Tables
- Appendices
UPWP Work Tasks

- Each UPWP task should include, to a level detail sufficient enough to determine funding eligibility:
  - Task objectives
  - Previous work
  - Methodology
  - Schedule
  - Products anticipated within the UPWP timeframe
  - Responsible entity
  - Cost & funding source
Cost Eligibility

Activities eligible under 23 U.S.C. 134

Authorized

Costs incurred prior to FHWA authorization cannot be reimbursed

Eligible Activities

Required for carrying out the planning process

Necessary

Costs not exceeding “that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost.”

Reasonable

Allowable

Allowable per 2 CFR 200 Subpart E – Cost Principles

Verifiable

Demonstrated, supported and documented through the MPO’s records

Allocable

Chargeable to the Federal award – 2 CFR 200.405
UPWP Review & Approval

FHWA/FTA

Regulatory requirement

Formal Approval & Authorization

TDOT

Contractual authority

PL/§5303 Contract Execution
UPWP Approval – FHWA Expectations

• Compliance with all federal requirements
• Demonstration of MPO’s ability to carry out metropolitan planning process
• Points of emphasis:
  – UPWP development
  – In-house/consultant, responsible agency
  – Accurate and detailed project scoping/scheduling
  – Travel, training, memberships
  – Equipment purchases
  – Detail -> eligibility determination
Post-award activities: those occurring following the awarding (i.e. activities necessary to carry out the federal grant)
Carrying Out the Planning Process

Expectation: UPWP as tool to guide MPO activities, expenses incurred, financial management, progress reporting
Financial Management & Progress Reporting

Expenses incurred (direct & indirect)

Relevant UPWP Task(s)

<- Budget

Expenditures ->

*adjust as needed if expenditures ≥ budget

Invoice

Activities undertaken

Relevant UPWP Task(s)

Activities must fall within scope of UPWP task(s)

Progress Report
Post-Award Requirements – 2 CFR 200

- 2 CFR 200 Subpart D – Post Federal Award Requirements
  - Financial management
  - Internal controls
  - Payment
  - Cost matching
  - Property standards
  - Procurement standards
  - Performance and Financial monitoring and reporting
  - Subrecipient monitoring
  - Record retention
  - Remedies for noncompliance
  - Closeout
Next Steps

- UPWP adoptions & approvals!
- Continue conversation on strengthening the MPO program and products
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