



# UPWP Development and Administration

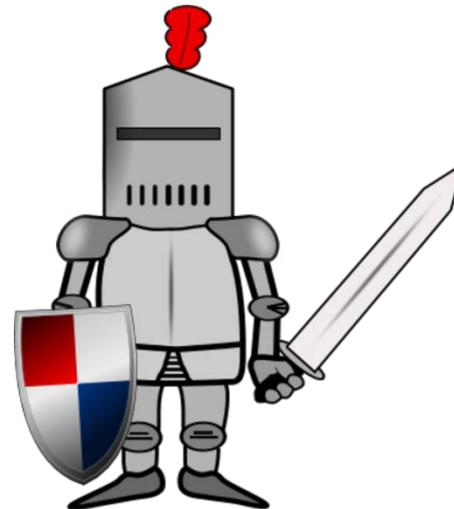
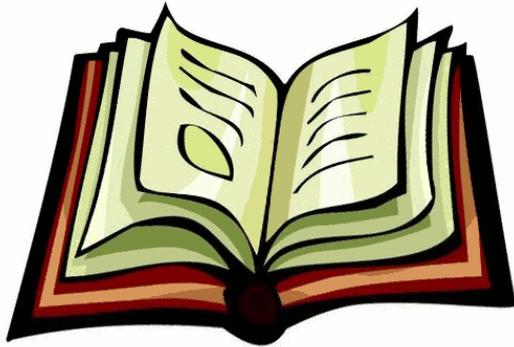
2017 Tennessee MPO Planning Conference  
Memphis, TN

# 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

The image shows the cover of a training material titled "thelearninghighway Discipline Support System Grant Administration". The top section features the logo for "thelearninghighway" which includes a stylized mountain peak in orange and blue, a shield with "ROUTE 3" and a road graphic, and the text "Discipline Support System" and "thelearninghighway". Below the logo is a dark background with a pattern of dashed white lines and small car icons, suggesting a road network. The title "Grant Administration" is prominently displayed in the lower right. In the bottom left corner is the U.S. Department of Transportation Federal Highway Administration logo. In the bottom right corner, the facilitator's name is listed: "Facilitator: Lorrie Lau, FHWA Office of Planning".

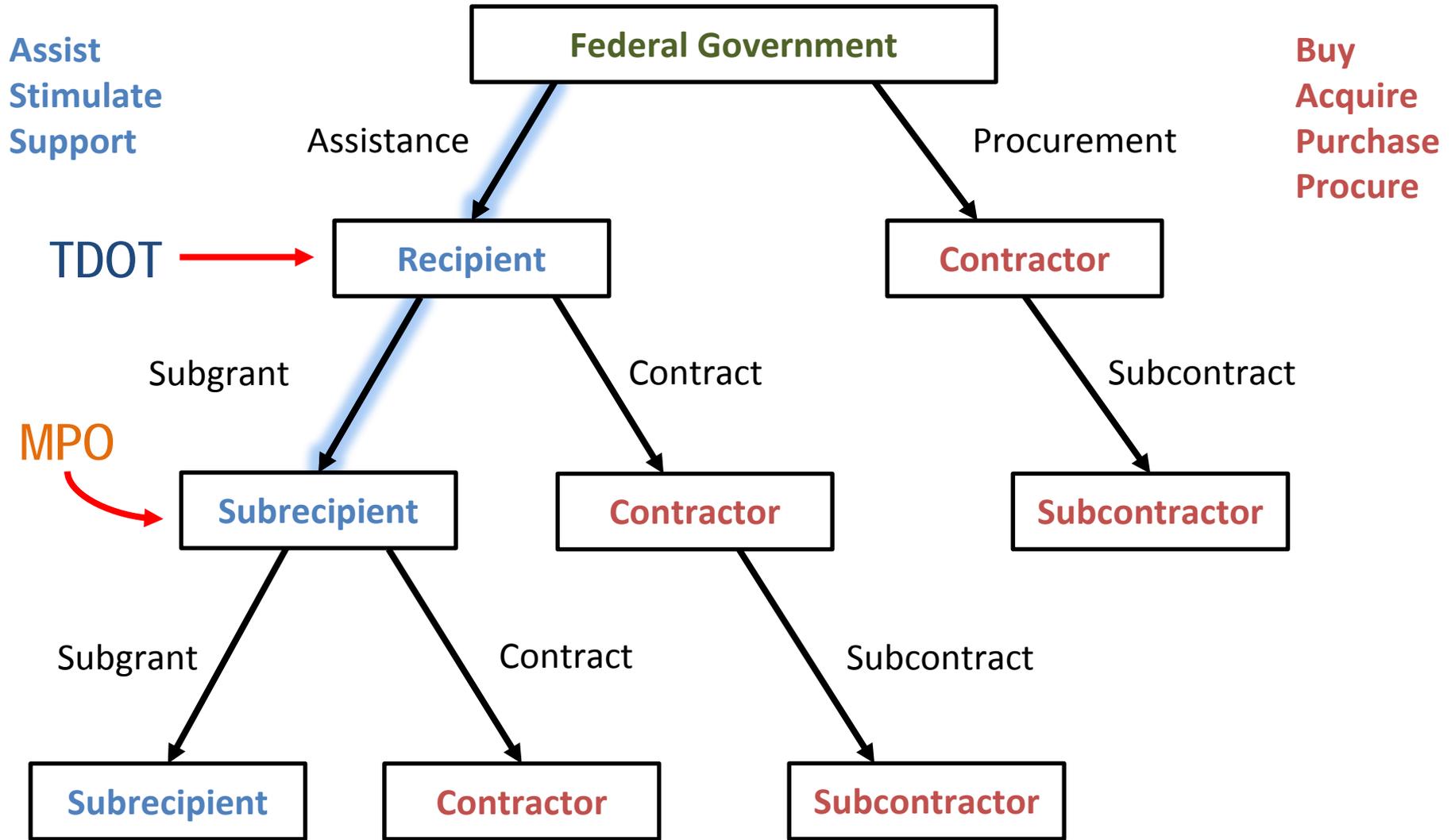
**thelearninghighway**  
Discipline Support System

**Grant Administration**

U.S. Department of Transportation  
Federal Highway Administration

Facilitator:  
*Lorrie Lau, FHWA Office of Planning*

# How Federal Government Awards Funds



# Roles & Responsibilities

FHWA/  
FTA

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

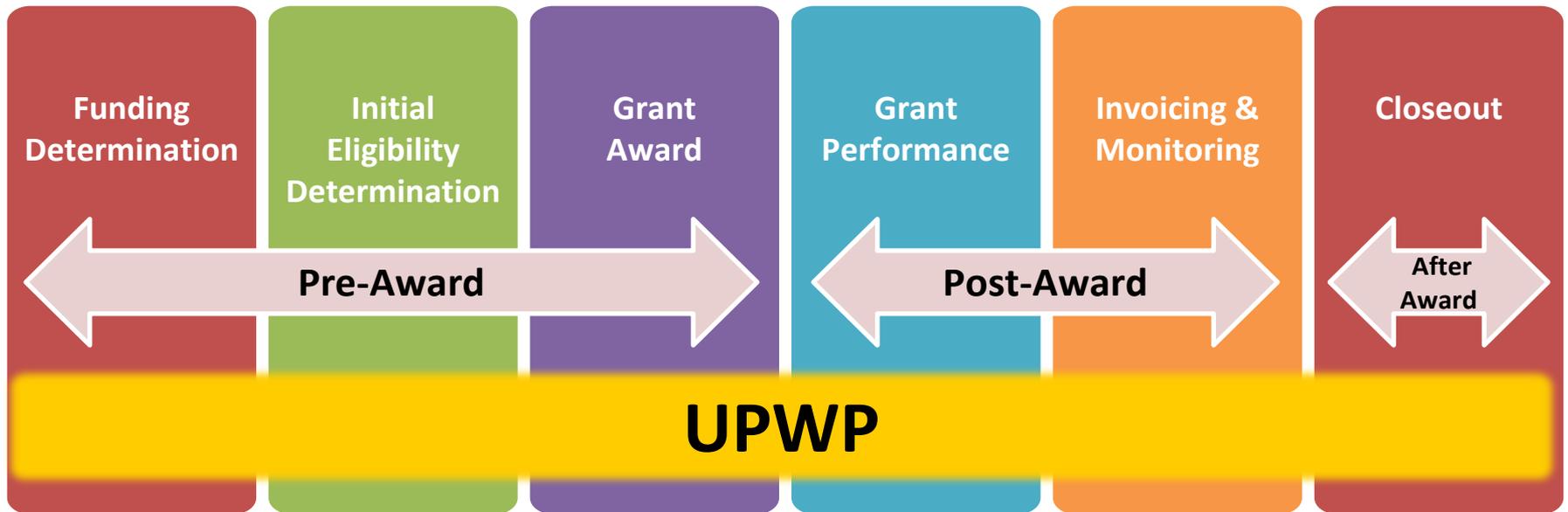
TDOT

- 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



**\*Today's discussion: UPWP\***

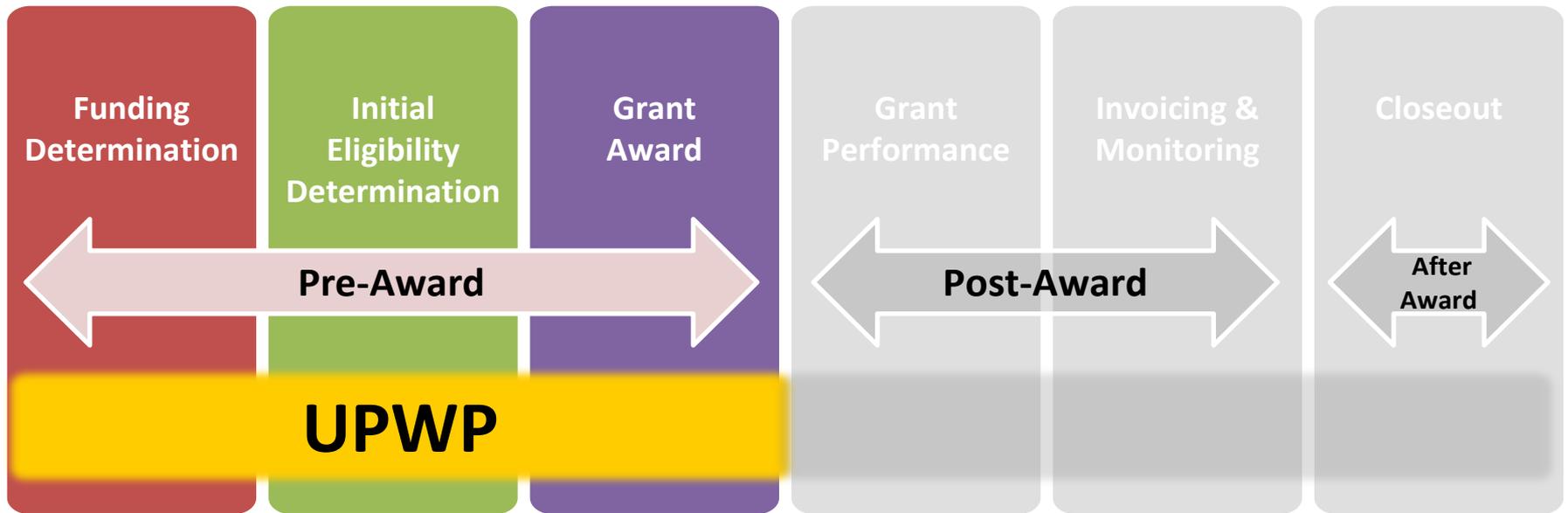
# UPWP Overview

- 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

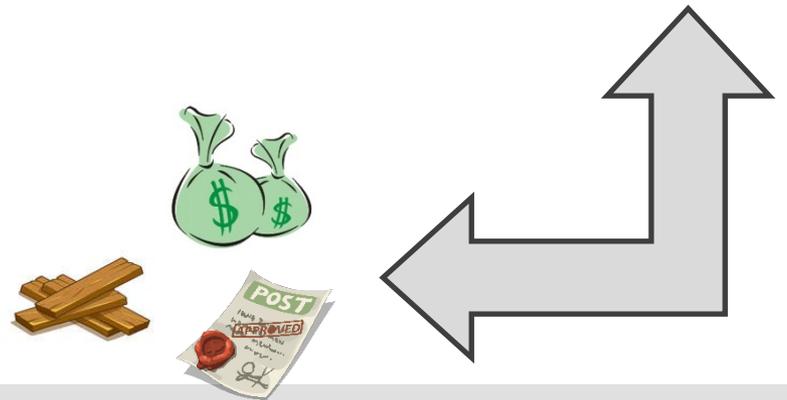
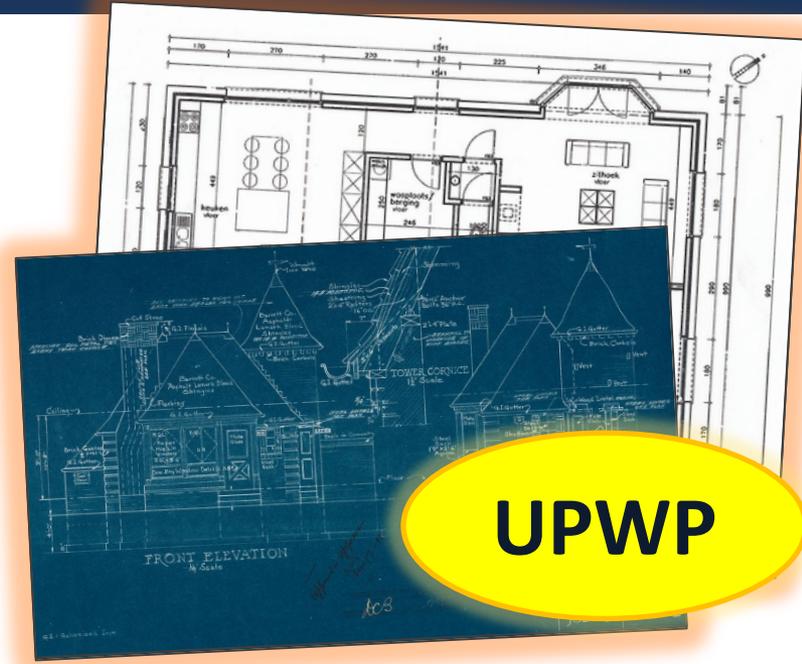


# Pre-Award

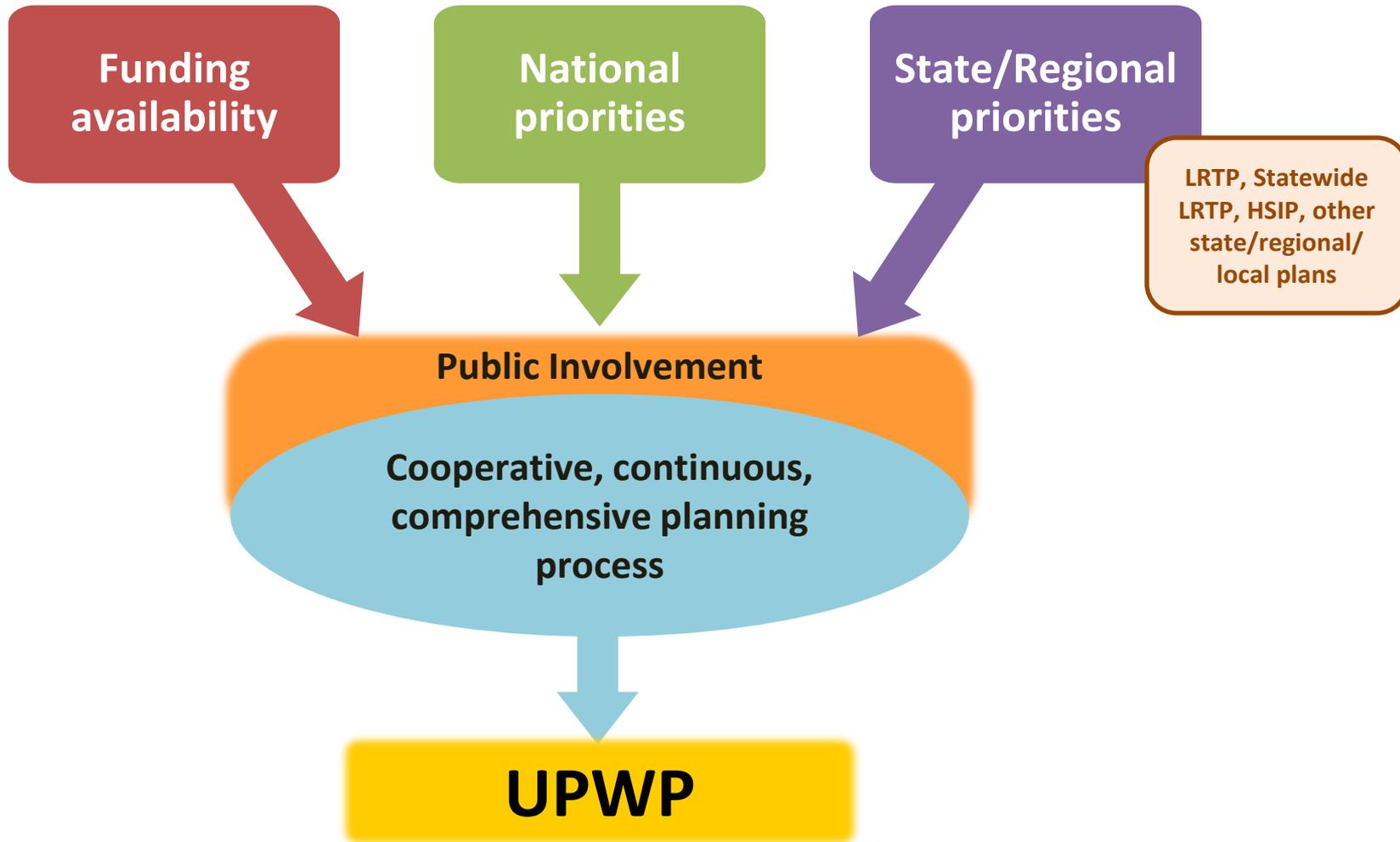


**Pre-award activities: those occurring in advance of the federal award (i.e. activities necessary to secure the federal grant)**

# UPWP Development



# UPWP Development



# UPWP Development

- Cooperative process involving:
  - MPO
  - State DOT
  - Other State agencies
  - Public transportation operator(s)
  - Other agencies performing transportation planning



# UPWP Development

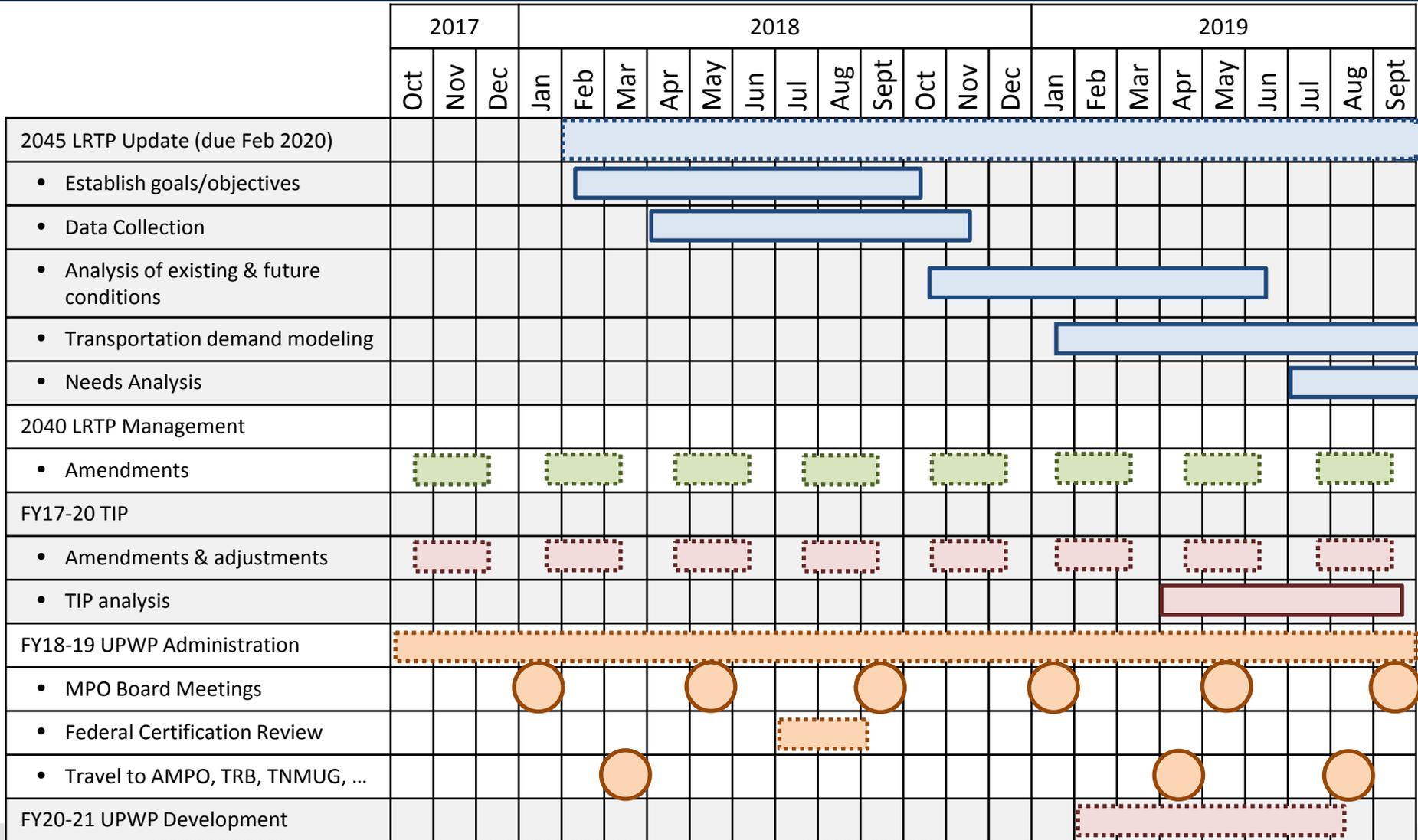


L RTP – 4-5 years  
TIP - 4 years  
Other planning documents  
(PPP, CMP, etc) – various  
TMA Cert – 4 years

**UPWP**  
**(1-2 years)**



# 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

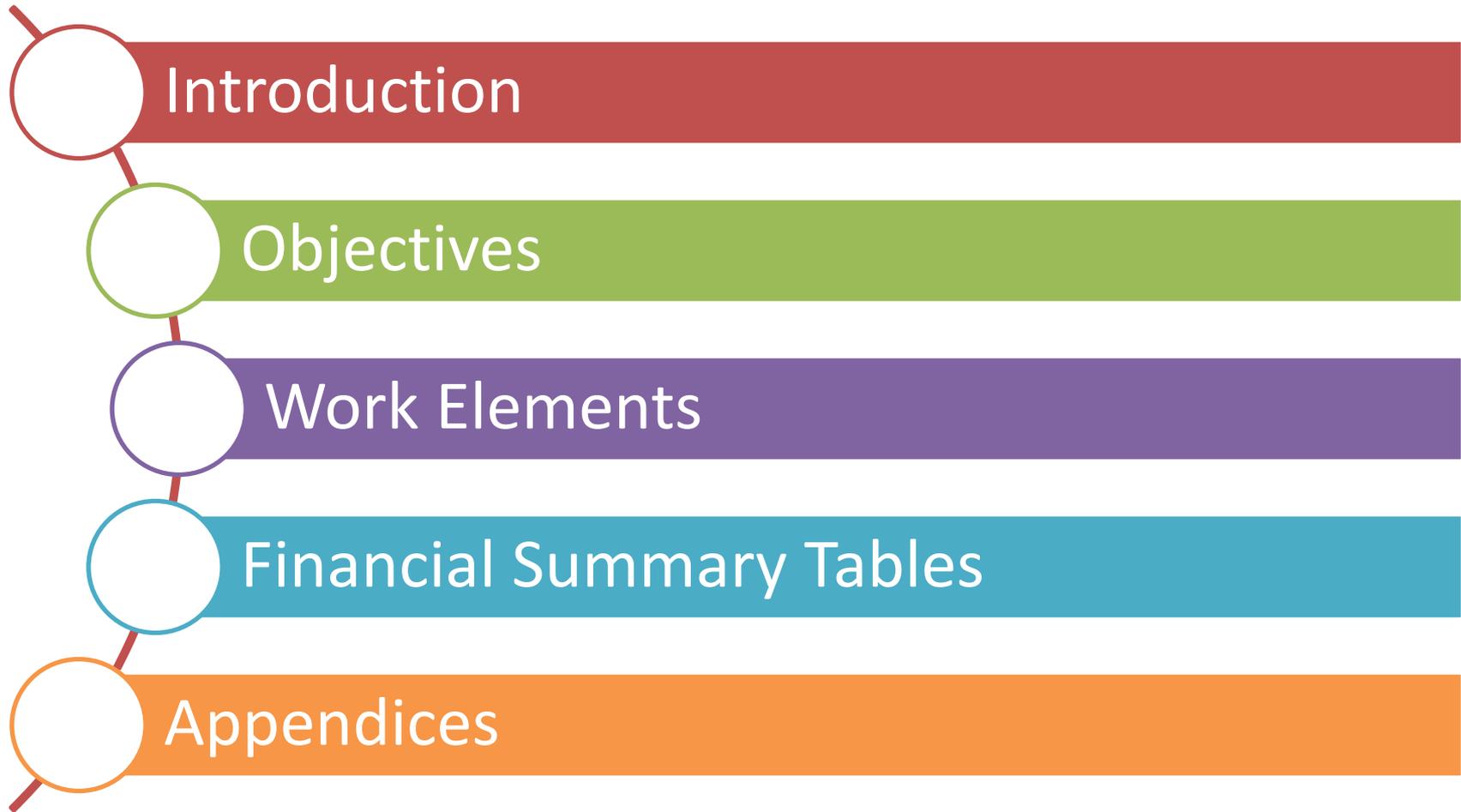
**Work tasks and activities must be sufficiently detailed to allow FHWA, FTA, and TDOT to determine eligibility of expenses.**

# Required Key Elements (cont.)

- 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



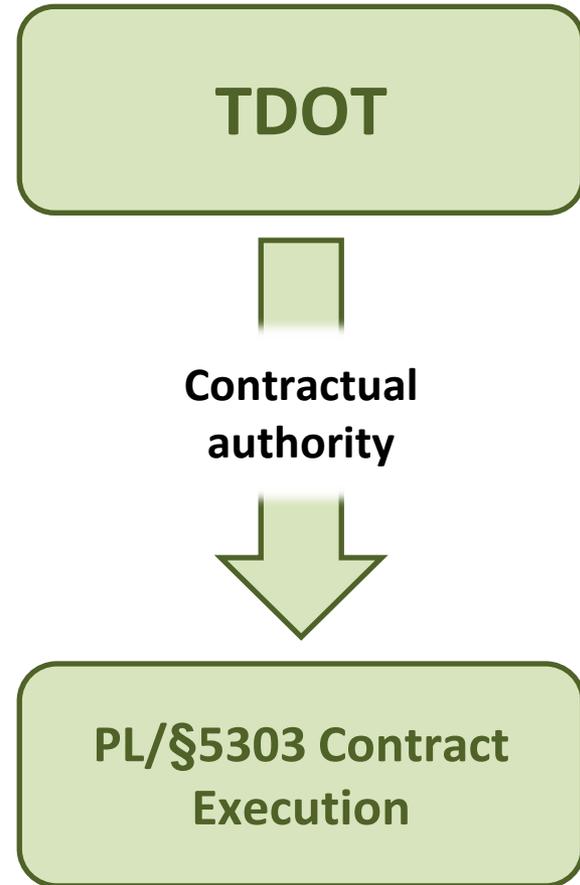
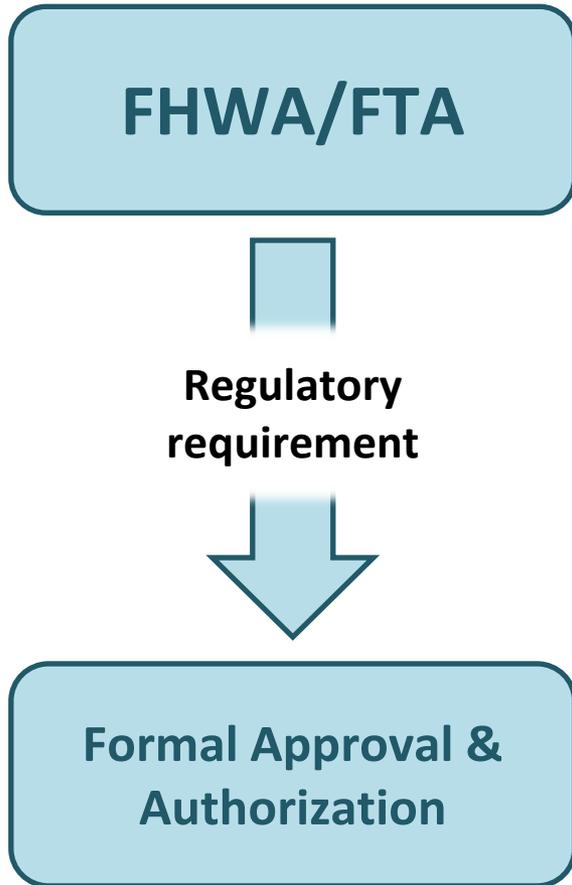
# UPWP Work Tasks

- 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



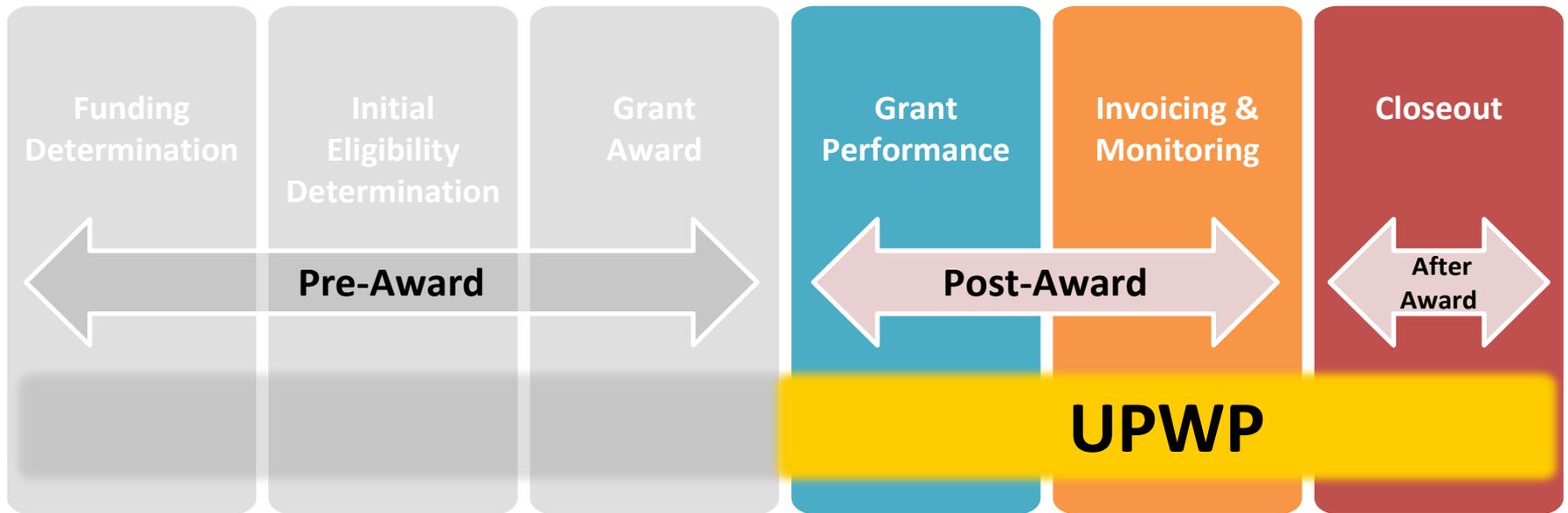
# UPWP Review & Approval



# UPWP Approval – FHWA Expectations

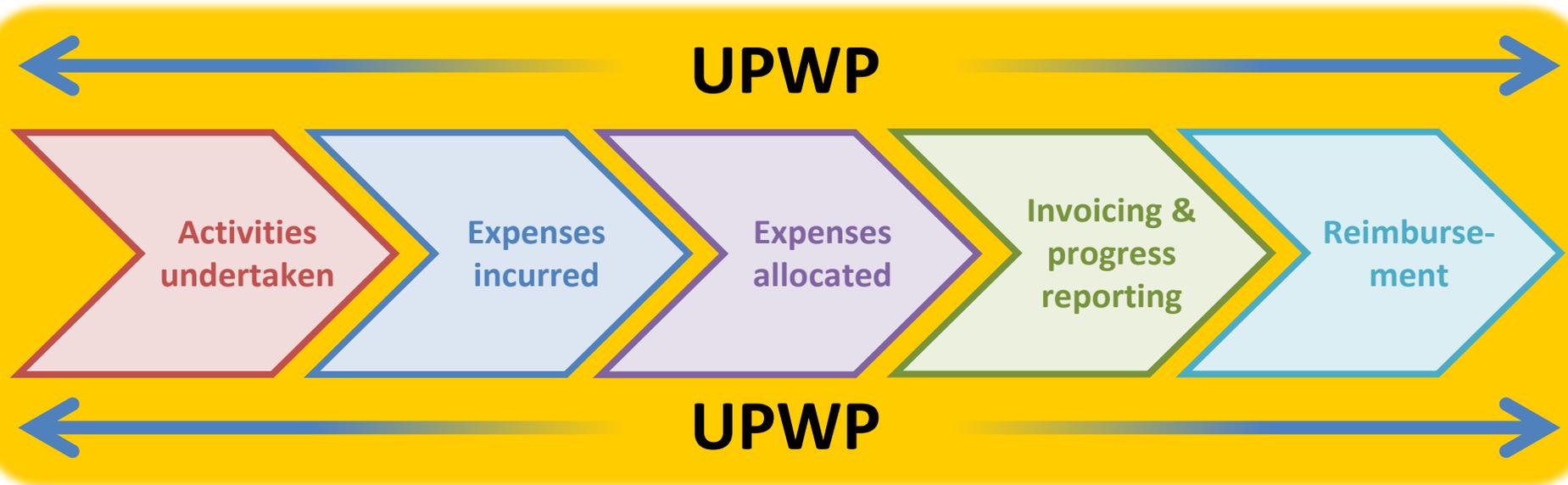
- Compliance with all federal requirements
- Demonstration of MPO's ability to carry out metropolitan planning process
- Points of emphasis:
  - UPWP development
  - In-house/consultant, responsible agency
  - Accurate and detailed project scoping/scheduling
  - Travel, training, memberships
  - Equipment purchases
  - Detail -> eligibility determination

# Post-Award



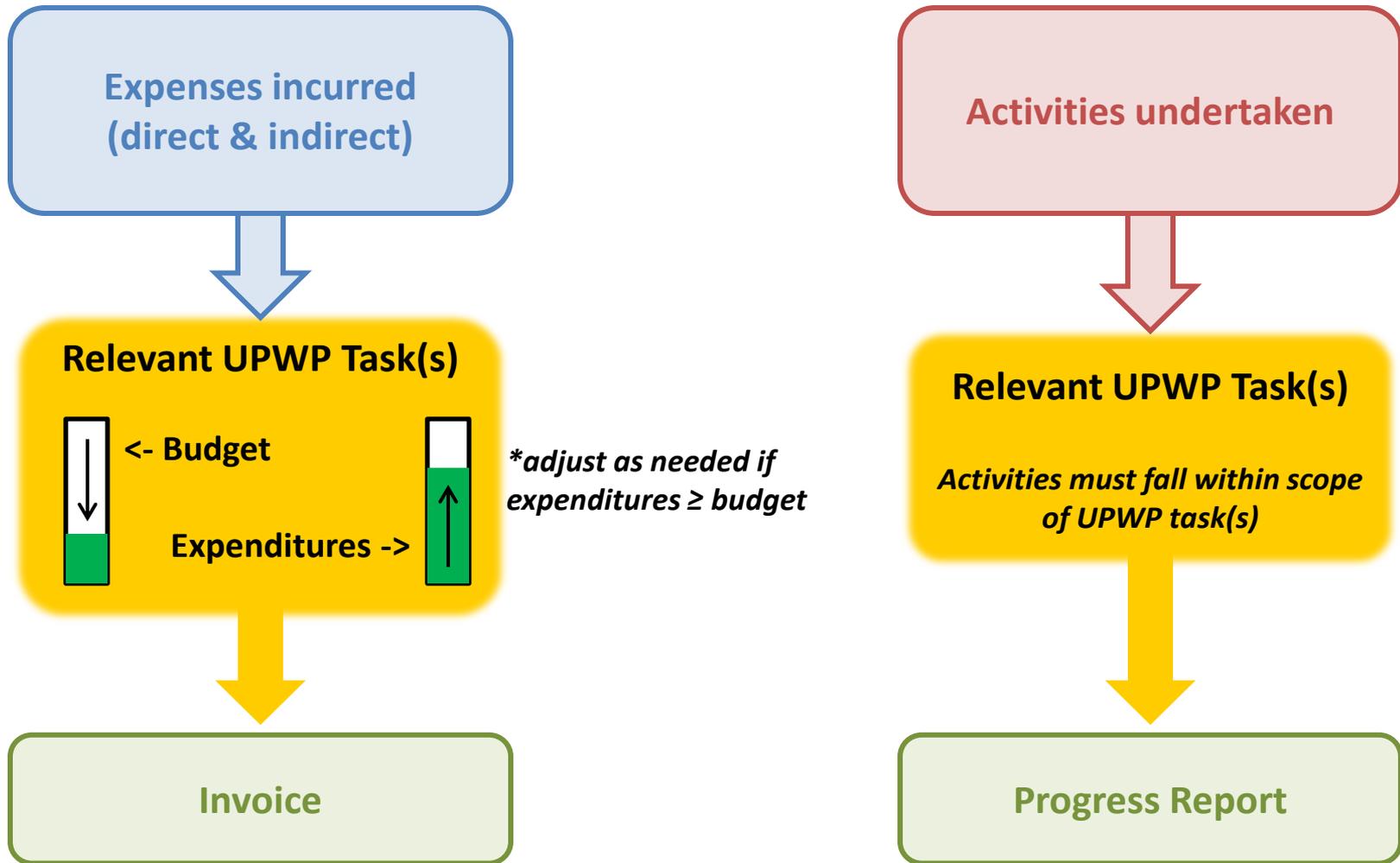
**Post-award activities: those occurring following the awarding (i.e. activities necessary to carry out the federal grant)**

# Carrying Out the Planning Process



**Expectation: UPWP as tool to guide MPO activities, expenses incurred, financial management, progress reporting**

# Financial Management & Progress Reporting



# 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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Thank  
You!

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