

# Unified Planning Work Program

---

## MPO TRAINING 101



OFFICE OF POLICY PLANNING



# OVERVIEW/SCHEDULE

# Unified Planning Work Program (UPWP)

- MPO's **biennial** planning work program
- Includes tasks for 2 years
- Identifies MPO's:

Future activities



Deliverables



Budget and funding sources



Schedule



EVERY

2

YEARS

# UPWP Content

Introduction

Organization and Management

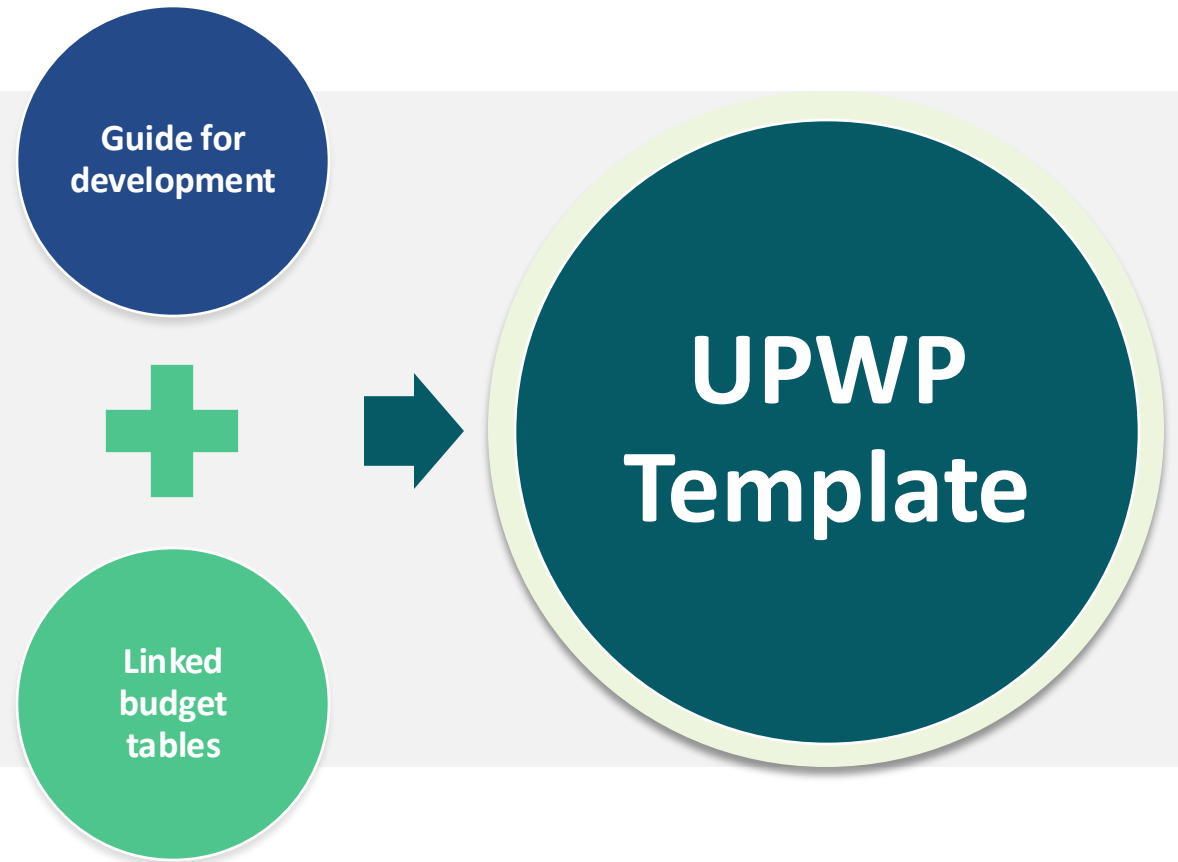
Funding Tasks

Budget Tables

Appendix

# Unified Planning Work Program (UPWP) Budget Table

- MPOs, FDOT, & federal partners developed statewide template
- Implemented with UPWP cycle
- Incorporates prior year de-obligations



The UPWP Template is available on the [MPO Partner Site](#) 

# Guide for Development

- Key components of the UPWP
- Complying with Federal and State statutes
- UPWP Revisions

The Guide for UPWP Development is available on the [MPO Partner Site](#)

## Guide for UPWP Development

February 2024

### About This Document

Federal and state guidance provide the definitions below for the development of a unified planning work program (UPWP):

An MPO shall document metropolitan transportation planning activities performed with funds provided under title 23 U.S.C. and title 49 U.S.C. Chapter 53 in a unified planning work program (UPWP) or simplified statement of work in accordance with the provisions of this section and 23 CFR part 420. [\[23 C.F.R. 450.308\]](#)

Each MPO shall develop, in cooperation with the department and public transportation providers, a unified planning work program that lists all planning tasks to be undertaken during the program year. The unified planning work program must provide a complete description of each planning task and an estimated budget therefore and must comply with applicable state and federal law. [\[Chapter 339.175\(9\), F.S.\]](#)

This guide highlights the key components to include in the creation of a UPWP that is compliant with both federal and state statutes. This outline was developed as a response to recommendations in the 2020 and 2021 Florida Federal Planning Findings. In these earlier documents, the Federal Highway Administration (FHWA) and Federal Transit Administration (FTA) noted "there is no consistency between metropolitan planning organizations (MPOs) in how regional tasks transfers are reflected, making it difficult to track the funds, identify each MPO's invoice responsibilities, and to understand what each MPO is authorized to spend." Additional outreach to MPOs and MPO Liaisons indicated that the UPWP development process was difficult for a variety of reasons including inconsistent guidance, reviews, and comments, a general lack of coordination, and budget tables that were difficult to follow. This outreach also indicated a desire to develop a concise, streamlined document consolidating core requirements in an outline, reduce the number of work elements, and create flexibility and simplicity while reducing the overall number of revisions and easing agency reviews. Through group and individual coordination with our federal partners, FDOT MPO Liaisons, and Florida's MPOs, the UPWP template was developed to include both budget tables and this guide.

# Sample Task Work Sheet

Task 1.1. Administration							
Year 1							
Fund Source	FHWA		FTA 5305(d)			Trans Disad.	FY 22-23 Total
Source Level	PL	SU	Federal	State	Local		
Contract Number	GXXXX		GXXXB			XX	
Personnel (salary and benefits)	\$108,360	-	\$22,738	\$4,700	\$4,700	-	\$140,498
Consultant	-	-	-	-	-	-	-
Travel Expenses	\$7,200	-	\$1,440	-	-	-	\$8,640
Direct Expenses	\$20,000	-	\$5,000	-	-	-	\$25,000
Supplies	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
<b>Total</b>	<b>\$135,560</b>	<b>-</b>	<b>\$29,178</b>	<b>\$4,700</b>	<b>\$4,700</b>	<b>\$0</b>	<b>\$174,138</b>
Year 2							
Fund Source	FHWA		FTA 5305(d)			Trans Disad.	FY 23-24 Total
Source Level	PL	SU	Federal	State	Local		
Contract Number	GXXXX		GXXXB			XX	
Personnel (salary and benefits)	\$108,360	-	\$22,738	\$4,700	\$4,700	-	\$140,498
Consultant	-	-	-	-	-	-	-
Travel Expenses	\$7,200	-	\$1,440	-	-	-	\$8,640
Direct Expenses	\$20,000	-	\$5,000	-	-	-	\$25,000
Supplies	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
<b>Total</b>	<b>\$135,560</b>	<b>-</b>	<b>\$29,178</b>	<b>\$4,700</b>	<b>\$4,700</b>	<b>\$0</b>	<b>\$174,138</b>

# Summary Budget Table Example

Table 3.7 MPO/TPO Summary Budget Table

Contract	CTD		FHWA		FTA 5305(d)	
	XX		GXXXX		GXXXB	
	Year 1	Year 2	Year 1	Year 2	Year 1	Year 2
Fiscal Year						
Total Budget	\$ 39,224	\$ 39,224	\$ 590,500	\$ 590,500	\$ 97,784	\$ 97,784
<b>Task 1 Administration and Management</b>						
Personnel (salary and benefits)	\$ -	\$ -	\$ 101,500	\$ 101,500	\$ -	\$ -
Consultant	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Travel	\$ -	\$ -	\$ 11,500	\$ 11,500	\$ -	\$ -
Direct Expenses	\$ -	\$ -	\$ 15,000	\$ 15,000	\$ -	\$ -
<b>Subtotal</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 128,000</b>	<b>\$ 128,000</b>	<b>\$ -</b>	<b>\$ -</b>
<b>Task 2 Data Development and Management</b>						
Consultant	\$ -	\$ -	\$ 138,500	\$ 138,500	\$ 12,000	\$ 12,000
<b>Task 3 Short Range Planning</b>						
Consultant	\$ -	\$ -	\$ 15,000	\$ 15,000	\$ 6,000	\$ 6,000
<b>Task 4 Long Range Planning</b>						
Consultant	\$ -	\$ -	\$ 28,500	\$ 28,500	\$ -	\$ -
<b>Task 5 Special Studies</b>						
Consultant	\$ 39,224	\$ 39,224	\$ 208,500	\$ 208,500	\$ 79,784	\$ 79,784
<b>Task 6 Public Outreach</b>						
Personnel (salary and benefits)	\$ -	\$ -	\$ 50,000	\$ 50,000	\$ -	\$ -
<b>7 MPO Regional Activities</b>						
Personnel (salary and benefits)	\$ -	\$ -	\$ 22,000	\$ 22,000	\$ -	\$ -
<b>Total</b>	<b>\$ 39,224</b>	<b>\$ 39,224</b>	<b>\$ 590,500</b>	<b>\$ 590,500</b>	<b>\$ 97,784</b>	<b>\$ 97,784</b>

# Funding Source Table Example

Table 3.8 MPO/TPO Funding Sources Table

Contract	Funding Source	Source Level	Year 1	Year 2	Year 1 Funding Source				Year 2 Funding Source			
					Soft Match <sup>a</sup>	Federal	State	Local	Soft Match	Federal	State	Local
XX	CTD	State	\$ 39,224	\$ 39,224	\$ -	\$ -	\$ 39,224	\$ -	\$ -	\$ -	\$ 39,224	\$ -
		CTD	\$ 39,224	\$ 39,224	\$ -	\$ -	\$ 39,224	\$ -	\$ -	\$ -	\$ 39,224	\$ -
		Total	\$ 39,224	\$ 39,224	\$ -	\$ -	\$ 39,224	\$ -	\$ -	\$ -	\$ 39,224	\$ -
GXXX	FHWA	PL	\$ 487,500	\$ 487,500	\$ 107,520.14	\$ 487,500.00	\$ -	\$ -	\$ 107,520.14	\$ 487,500.00	\$ -	\$ -
		SU	\$ 103,000	\$ 103,000	\$ 22,717.08	\$ 103,000.00	\$ -	\$ -	\$ 22,717.08	\$ 103,000.00	\$ -	\$ -
		FHWA	\$ 590,500	\$ 590,500	\$ 130,237	\$ 590,500	\$ -	\$ -	\$ 130,237	\$ 590,500	\$ -	\$ -
		Total	\$ 590,500	\$ 590,500	\$ 130,237	\$ 590,500	\$ -	\$ -	\$ 130,237	\$ 590,500	\$ -	\$ -
GXXB	FTA 5305(d)	Federal	\$ 81,487	\$ 81,487	\$ -	\$ 81,487.00	\$ -	\$ -	\$ -	\$ 1,487.00	\$ -	\$ -
		Local	\$ 8,149	\$ 8,149	\$ -	\$ -	\$ -	\$ 8,148.70	\$ -	\$ -	\$ -	\$ 8,148.70
		State	\$ 8,149	\$ 8,149	\$ -	\$ -	\$ 8,148.70	\$ -	\$ -	\$ -	\$ 8,148.70	\$ -
		FTA 5305(d)	\$ 97,784	\$ 97,784	\$ -	\$ 81,487	\$ 8,149	\$ 8,149	\$ -	\$ 81,487	\$ 8,149	\$ 8,149
		Total	\$ 97,784	\$ 97,784	\$ -	\$ 81,487	\$ 8,149	\$ 8,149	\$ -	\$ 81,487	\$ 8,149	\$ 8,149
Total			\$ 727,508	\$ 727,508	\$ 130,237	\$ 671,987	\$ 47,373	\$ 8,149	\$ 130,237	\$ 671,987	\$ 47,373	\$ 8,149

<sup>a</sup> FDOT noncash match.

# Unified Planning Work Program (UPWP) Schedule

**DEC-FEB**  
(Year 2)

- Notify MPOs of Planning Emphasis Areas (if updated)
- Draft Allocations submitted to MPOs
- MPO develops draft UPWP

**MARCH**  
**15**

- MPO submits Draft UPWP for review
- Draft is submitted into [GAP](#)

**APRIL**  
**15**

- Comments provided

**MAY**  
**15**

- MPO addresses all comments
- MPO adopts UPWP
- Final adopted/approved UPWP is submitted into GAP

# Unified Planning Work Program (UPWP) Schedule

Within 10 working days

- District Liaison reviews MPO adopted UPWP using [UPWP Review Checklist](#)

JUNE 1

- District recommends approval

JUNE

- District requests PL fund authorization

JUNE 30

- MPO & District Liaison resolve outstanding issues
- FHWA & FTA approve/reject Final UPWP

**Note:** If funds are not included in Final approved UPWP by July 1, an amendment to add those funds in the new UPWP is required.

# REVISIONS

# UPWP Revisions: Modification v. Amendment

Technical  
Memorandum 22-01REV-1  
Office of Policy Planning



**FROM:** Office of Policy Planning  
**DATE:** July 21, 2023  
**SUBJECT:** Unified Planning Work Program (UPWP) Revision Thresholds

## Purpose

The Office of Policy Planning has prepared Technical Memorandum 22-01 to foster a discussion of UPWP revisions with our federal planning partners – the Federal Highway Administration (FHWA) and the Federal Transit Administration (FTA).

The 27 Florida metropolitan planning organizations (MPOs) are seeking relief from the number of *significant* UPWP revisions needed each year as they “report deviations from budget or project scope or objective.” Since the UPWPs list the transportation planning activities and products that will be implemented over a two-year period, several revisions may be needed each year. This technical memorandum provides directions to the MPOs and the Metropolitan Planning Organization Advisory Council (MPOAC) in the processing of both modifications and amendments to the UPWP.

## Revising the UPWP

There may be instances during the two-year UPWP cycle that will require the MPO to revise the UPWP. The type of UPWP revision would depend on whether the revision exceeds the UPWP Amendment threshold as defined in [2 CFR 200.308](#) and [49 CFR 18.30](#). Revisions may be budgetary, programmatic, or both; and may be major or minor in scale. Minor UPWP revisions would be processed by the MPO as a Modification, whereas more significant or major UPWP revisions would be processed by the MPO as an Amendment. A *significant change is defined as a change to the UPWP that alters the original intent of the project or the intended project outcome.*

The following section further clarifies the actions necessitating UPWP Amendments, which are thereby defined as significant changes.

### 1. Amendments

UPWP Amendments are required for the following actions per [2 CFR 200.308](#) and [49 CFR 18.30](#):

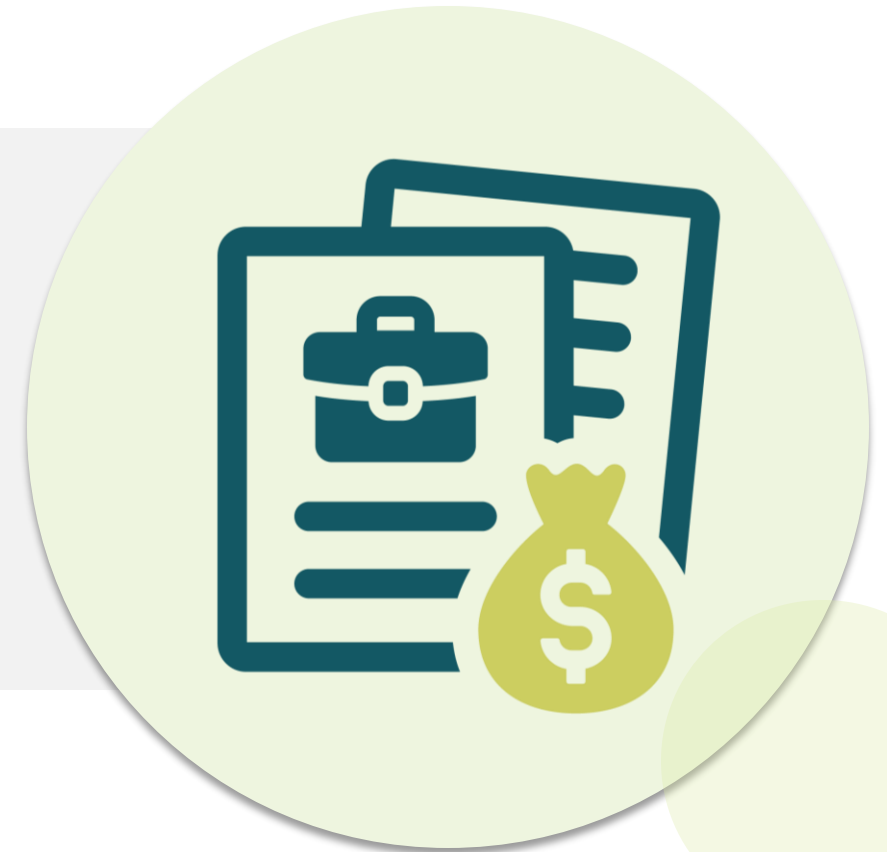
- Technical Memorandum 22-01
- UPWP Revision Thresholds
  - Amendments
    - Financial
    - Non-Financial
  - Modifications



# Unified Planning Work Program (UPWP) Amendments (Financial)

- Increases to the approved budget
- Transfer between tasks  $\geq$  \$100,000 or 10%
- Reducing task > 50%
- Changes to scope of work
- Add/delete tasks
- Addition of costs requiring prior approval

**Amendments require an update  
to the FDOT/MPO Agreement**



# Unified Planning Work Program (UPWP) Amendment (Non-Financial)



**Does not change the financial amount**

Examples include:

Changes in the  
scope of the  
program/task

Change in  
Executive Director

Extension of  
performance  
period

Sub awarding,  
transferring, or  
contracting out  
UPWP activities

Disengagement  
from projects

# Unified Planning Work Program (UPWP) Amendments

**UPWP Amendment  
requires:**

- ✓ UPWP Revision form & supporting documentation
- ✓ MPO board adoption
- ✓ District MPO Liaison recommends approval
- ✓ FHWA / FTA approval

# Unified Planning Work Program (UPWP) Modifications

**Do Not..**



Change approved budget



Change scope of work task(s)



Add or delete work task(s)

# Unified Planning Work Program (UPWP) Modifications

## UPWP Modification Requirements:

- ✓ UPWP Revision form & supporting documentation
- ✓ Notification of FHWA / FTA
- ✓ Notification of District MPO Liaison

# Summary

## Resources for Creating UPWP

- UPWP Budget Table Template
- Guide for UPWP Development

## UPWP Revisions

- Amendments (Financial and Non-Financial) v. Modifications
- UPWP Revision Form and Guidance

# Recap



## *What we reviewed:*

- **UPWP overview and schedule**
- **Amendments and modifications**
- **Resources for creating and revising the UPWP**

# Resources

## MPO Handbook

## MPO Partner Library

- UPWP Guide
- UPWP Checklist
- UPWP Budget Tables
- UPWP Revision Form & Guidance
- UPWP Tech Memos