

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.

Cover Page

The UPWP must include a Cover Page prior to the Introduction.¹ The Cover Page must include the following items:

- Name of the MPO
- Catalog of Federal Domestic Assistance Number (CFDA)
- Identification of agencies providing funds for the UPWP
- Federal Aid Project Number (FAP)
- Financial Project Number (FM) (Work Program)
- State fiscal years the UPWP covers
- MPO website address and other contact information: mailing address, telephone, and fax numbers
- Statement of nondiscrimination

Cost Analysis Certification Statement

Introduction

The Introduction is intended to include an overview of the UPWP and provide supporting information for the remainder of the document. By including some of these statements here (such as the CPG participation statement), duplication is avoided elsewhere in the document. Elements in the introduction are suggested to include:

- Definition and Purpose of the UPWP
- Overview of the MPO's transportation planning activities
- Planning Priorities. Both MPO and local priorities
- Statement of CPG participation: "The FDOT and the **(Insert Organization Name)** participate in the Consolidated Planning Grant (CPG). The CPG enables FDOT, in cooperation with the MPO, FHWA, and FTA, to annually consolidate Florida's FHWA PL and FTA 5305(d) metropolitan planning fund allocations into a single grant that is administered by the FHWA Florida Division. These funds are annually apportioned to FDOT as the direct recipient and allocated to the MPO by FDOT utilizing formulas approved by the MPO, FDOT, FHWA, and FTA in accordance with [23 CFR 420.109](#) and [49 U.S.C. Chapter 53](#). The FDOT is fulfilling the CPG's required 18.07% non-federal share (match) using Transportation Development Credits as permitted by [23 CFR 120\(j\)](#) and [FTA C 8100.1D](#)."
- Definition and discussion of "Soft Match"
- Description of public participation process used in UPWP development
- How the MPO's UPWP addresses the Federal Planning Factors (can be demonstrated using a matrix)

¹ MPO Handbook – Chapter 3, Page 23

- State and/or Federal Planning Emphasis Areas
 - Matrix that identifies how each task relates to the State and/or Federal Planning Emphasis Areas
- Air Quality if applicable
- Resolution statement: “The Resolution dated **(Insert date)** signed by **(Insert Organization Name Board)** is available in Appendix **(Insert appendix letter or number)**).

Organization and Management

The Organization and Management Section provides documents participants, roles, and requirements. Elements in the Organization and Management Section are envisioned to include:

- Identification of participants and description of roles in the UPWP planning process
- Discussion of appropriate MPO agreements
- Discussion and identification of operational procedures and bylaws
- Required forms, certifications, and assurances (Affirmation of Applicant, Affirmation of Attorney, Title VI Nondiscrimination Agreement, DBE, etc.)

Work Elements and Task Sheets

The Work Elements Section consists of descriptions of the major work products and tasks the MPO proposes to undertake during the program years. This section has a few elements that are *required*, while still providing for a degree of flexibility.

What is Required?

- Inclusion of a Regional Task
 - This work element is required for MPOs who participate in inter-regional planning and transfer funds between MPOs and/or FDOT to fund regional planning activities (e.g., travel demand model maintenance, coordinated long range transportation plans, coordinated transit or rail planning, mobility studies, etc.). The MPO shall list the agencies (e.g., FDOT, other MPOs) that the funding would be transferred to, amounts to be transferred, and the activities the funds are to be used for.² The MPO shall also document in the UPWP any funds received from other agencies and the activities the funds are to be used for.
 - This work element is only for tasks that require the physical transfer of funds. This task does not include shared costs (e.g., health benefits for MPO staff) or activities that do not result in the transfer of funds or participation of a single MPO in coordination with other regional entities (e.g., attendance at MPOAC or FTC meetings, or MPOAC dues). If Mobility Weeks or other activities are hosted in an

² The process used by participating agencies to transfer funds should be described in a Memorandum of Understanding.

alternating fashion with one MPO leading activities in one year and another MPO hosted activities in another year, then it would not be shown on the regional task tabs if no funds are transferred for the activity. If any funds are transferred between MPOs and/or FDOT, a Memorandum of Understanding (MOU) needs to be executed for those regional tasks. The MOU should describe the process used by participating agencies to transfer the funds.

- All participating MPOs shall use consistent descriptions of the activities to be completed. Task name, activity description(s), and budgeted funds must be consistent between MPOs.
- Regional tasks must be supported by a MOU signed by all participating MPOs/Districts. Funds are authorized in the UPWP but are encumbered via contracts.
- Additional guidance on regional task tables is provided below.
- Clear demarcation between LRTP and TIP task activities and costs
 - Within the work elements, each MPO should clearly delineate activities that pertain to the LRTP and to the TIP within separate tasks.
 - FHWA prefers the activities to be in separate tasks.
 - LRTP maintenance may be in the same task as the TIP, if it is clearly distinguished.
- Reflection of equipment, supplies, and travel
 - MPOs shall reflect equipment, supplies, and travel in the UPWP.
 - The supporting narrative for direct cost line items in task tables should provide sufficient detail and cost information to determine **eligibility, necessity, and reasonableness** of the purchases.
 - Atypical equipment, supplies, and travel should be shown on a separate line item.
 - Additional guidance is provided below.
- Description of task and budget table content
 - What can be found in the task tables and summary budget tables. This can be done as an introduction to the work elements or in the organization and management section.
- In TMAs, the MPO must identify and include cost estimates for transportation planning, research and technology transfer activities funded with other federal or state and/or local funds being conducted within the MPO area (this includes planning and feasibility studies by other entities) (23 CFR 420.111(e)).
- The total amount of de-obligated funds that the MPO plans to use
 - The UPWP Budget Tables template provides a location within each task table tab to provide the total de-obligated funds from a previous UPWP that the MPO plans to use by funding source. The table should include any de-obligated funds that are being used by the MPO from a previous UPWP. If the MPO does not use the UPWP Budget Tables template, it must identify de-obligated funds by source somewhere in the UPWP.

Equipment, Supplies, and Travel

MPOs shall reflect equipment and supplies purchases, as well as travel such as that associated with training and conferences in the UPWP. Equipment purchases may include items of large value such as specialty printers and computer software. Further guidance can be found in [Technical Memorandum 20-01](#), which defines capital expenditures, identifies federally eligible expenditures and purchases, federal and state purchasing thresholds, and provides guidance related to obtaining purchase authorizations.

The supporting narrative for direct cost line items in task tables should provide sufficient detail and cost information to determine eligibility, necessity, and reasonableness of the purchases. If this information is not included in the UPWP, then the MPO must submit a separate formal request for approval to FHWA prior to purchase. The following sections define typical and atypical equipment, supplies, and travel and provide guidance on how these items should be reflected in the UPWP.

Typical v. Atypical Expenditures

Typical and atypical expenditures must be reflected in the UPWP task tables and supporting narrative. Atypical expenditure requests must be summarized as a separate line item from typical expenditures in the task table and be clearly identified to the FDOT and federal agencies for eligibility determinations. Atypical expenditure requests should also include justification and technical specifications in the UPWP. This information can be provided in the UPWP or can be provided separately. If justification is not provided for an atypical line item in the UPWP, then the purchase will require additional review and approval from FHWA and/or FTA and FDOT. The list of examples below are not comprehensive or all inclusive.

Equipment should be scrutinized as atypical as follows:

- Typical: The equipment is less than \$5,000 per unit and affiliated with a project or deliverable (can include executing business or normal operations and management of the MPO). In other words, the equipment can be tethered to project work. Technical specifications or justification is not required to be included in the UPWP. Examples include but are not limited to the following:
 - Example 1: A new laptop computer
 - Example 2: A standing desk
 - Example 3: An office chair
- Atypical: If the cost does not fit in the typical category or is equal to or greater than \$5,000 per unit, then it is considered atypical. Atypical expenditure requests should include justification and technical specifications in the UPWP, if the MPO is seeking FHWA and/or FTA and FDOT approval of the item in the UPWP. Examples include but are not limited to the following:

- Example 1: Software and modeling programs³
- Example 2: Security systems
- Example 3: Plotting printers
- Example 4: Real estate or real property

Supplies should be scrutinized as atypical as follows:

- Typical: Supplies required for an office that are less than \$1,000 per unit. This can include but is not limited to the following:
 - Example 1: Notepads, pens, and paper clips
- Atypical: If the cost does not fit in the typical category or is equal to or greater than \$1,000 per unit, then it is considered atypical. This can include but is not limited to the following:
 - Example 1: Plotter paper and foam boards

Travel should be scrutinized as follows:

- Typical travel: Training in the United States that helps you do your job. This can include but is not limited to the following:
 - AMPO, NARC, TRB, model or other training
- Atypical travel: Training outside of the United States, or travel in the United States that includes peer exchange and facility or system tours.

MPO Regional Activities

The MPO Regional Activities and All Regional Accounting tables should be used to show incoming and outgoing funds for regional tasks that involve the transfer of funds between MPOs. These table are only for tasks that require the physical transfer of funds. This does not include shared costs (e.g., health benefits for MPO staff) or activities that do not result in the transfer of funds or participation of a single MPO in coordination with other regional entities (e.g., attendance at MPOAC or FTC meetings, or MPOAC dues). All participating MPOs shall use consistent descriptions of the activities to be completed. Task name and activity description must be consistent between MPOs. Regional tasks must be supported by a MOU signed by all participating MPOs.⁴ Funds are authorized in the UPWP but are encumbered via contracts. Depending on the source, funds may need to be on separate contracts.

MPO Regional Activities

This table is for the MPO's funds for regional tasks that include the transfer of funds. The MPO shall list funds it is transferring to other agencies (e.g., other MPOs, FDOT) and funds it is receiving from other agencies for regional activities. The table summarizes the total amount of funds by source and what activities the funds are to be used for. Purple highlights indicate

³ Software may cost less than \$5,000 still be classified as an atypical expense requiring preapproval.

⁴ The MOU should describe the process used to transfer funds between agencies.

incoming funds, while orange highlights indicate outgoing funds. Within the UPWP document, include a legend or footnote for the table stating how the incoming funds and outgoing funds are formatted.

All Regional Accounting

This table summarizes the lead agency for regional tasks and all funding contributed to regional activities by fund source. Purple highlights indicate funds transferred to the lead agency. This table must be consistent for all MPOs participating in the regional activities. Within the UPWP document, include a legend or footnote for the table stating how the incoming funds and outgoing funds are formatted.

What is Flexible?

Within each work task or element there are many things that remain flexible and up to each MPO's discretion. These include the task headings, the use of subtasks as well as the number of subtasks, formatting of the UPWP document, and the level of detail showcased for each item. The needs of each MPO or Policy Board are unique, and the level of detail chosen to include in the UPWP is at the discretion of the MPO. It is preferred that the UPWP be concise to enhance readability and to keep the document easy to navigate.

- Task Headings
- Use of Subtasks
- Formatting
- Level of Detail

While task headings are flexible to best suit the needs of the MPO, suggested work element task headings and activities that may fall within each are provided below. Italicized plans could be placed in either work element at the discretion of the MPO.

- Administration and Management
 - *Transportation Disadvantaged*
 - *Public Participation Plan*
 - *FDOT/MPO Annual Certification and/or Federal Certification, if applicable*
 - *US Census Activities*
 - Reapportionment Plan
- Data Development and Management
 - *Asset Management Plan*
- Short-Range Planning
 - *Asset Management Plan*
 - Transportation Improvement Program (*including Performance Management*)
- Long-Range Planning
 - *Comprehensive Plan Element*
 - *Congestion Management Plan*

- *Mode Specific Plans, examples:*
 - *Electric Vehicle Plans*
 - *Sidewalk Master Plans*
 - *Bicycle Master Plans*
 - *Safe Routes to School*
 - *Transit Development Plan*
 - *Transit Disadvantaged Service Plans*
- Long Range Transportation Plan (*including Performance Management*)
- Special Studies
 - *Comprehensive Plan Element*
 - *Congestion Management Plan*
 - Corridor Study
 - Feasibility Study
 - *Mode Specific Plans, examples:*
 - *Electric Vehicle Plans*
 - *Sidewalk Master Plans*
 - *Bicycle Master Plans*
 - *Safe Routes to School*
 - *Transit Development Plan*
 - *Transit Disadvantaged Service Plans*
 - Municipal Plans
 - Resiliency/Sustainability Studies
 - *US Census Activities*
- Public Outreach
 - *Public Participation Plan*
- MPO Regional Activities
 - Transfer of funds to complete an activity or a subtask of an activity listed above

De-Obligated Funds

MPOs de-obligate funds from the current UPWP in order to make the funds available in the new two-year UPWP. Funds de-obligated before close-out are available in Year 1 of the new UPWP and funds de-obligated after close-out are available in Year 2 of the new UPWP.

Tracking de-obligated funds is part of the 2022 and 2023 Federal Planning Findings recommendations. To address this recommendation, FDOT updated the UPWP Budget Table template so MPOs could identify the amount of de-obligated funds that are planned to be used by the MPO during the UPWP. This table is filled out manually by the MPO in the task table tab and populates the summary budget table tab. De-obligated funds are shown in the following locations:

- Task Table:
 - MPOs manually enter the total de-obligated funds by source for each individual task in the task tab below the overall task budget table.
- Summary Budget Table:
 - Below each of the task breakdowns in the Summary Budget Table, the total de-obligated funds are shown for each funding source. This amount will be pulled from the Task table tab, requiring no user input.

Summary Budget Tables

- Table 1: Funding Source Table
 - Soft match
 - Funding summarized in one table by source
- Table 2: Summary Budget Table
 - Funding summarized in one table by task

Appendix

- Resolution of Adoption
- Copies of all reviewing agencies' comments and how the MPO addressed each comment

UPWP Revisions

During the two-year UPWP cycle, the MPO may need to revise the UPWP to report deviations from budget or project scope and objective. Technical Memorandum 21-01 provides guidance on the types of revisions that result in an UPWP Amendment or Modification. The guidance is available on the MPO Partner Site. Since the guidance is new, it is repeated here for ease of reference.

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](#):

- a. Any revision resulting in the need to increase the UPWP budget ceiling by adding new funding or reducing overall approved funding;
- b. Adding new or deleting tasks/subtasks;
- c. Change in the scope or objective of the program/task even if there is no associated budget revision (this also applies to when a task scope changes);

- d. A transfer between tasks/sub-tasks that exceeds a combined amount equal or greater than \$100,000 OR 10% of the total budget, *whichever is more restrictive*;
- e. Reducing the budget of a task/sub-task more than 50 percent, or to the point a task/sub-task could not be accomplished as it was originally approved;
- f. Change in key person;
- g. Extending the period of performance past the approved work program period (i.e., no-cost time extension);
- h. Sub awarding, transferring, or contracting out any of the activities in the UPWP;
- i. The disengagement from a project for more than 3 months, or a 25 percent reduction in time devoted to the project by the approved project director or principal investigator;
- j. The inclusion of costs that require prior approval (e.g. capital and equipment purchases \$5,000 and above per unit cost).

2. Modifications

UPWP changes that do not fall into the above categories may be processed as a Modification.

3. Key Person

One question that has arisen is who is considered “key person”? Based upon our review of [2 CFR 200.308](#) and [49 CFR 18.30](#) a key person is specified in the in the application or federal award. For the UPWP, we define a key person as the MPO’s staff director.

Consolidated Planning Grant (CPG)

The CPG will be implemented with the new UPWP cycle starting July 2022. Key points for UPWP development include:

- Include the anticipated allocation for FTA Section 5305(d) Federal Fiscal Year (FFY)2022 as **PL**
- Toll development credits will be used to match CPG funds (FTA Section 5305(d) allocations for FY 2022 + PL allocations) at 18.07 percent
- List existing, open public transportation grant agreements (PTGAs) separately in the UPWP and include contract numbers. This will allow MPOs and FDOT to track the different match requirement(s) for older FTA 5305(d) contracts that are still open
- At UPWP close-out, the 80/20 Rule will apply to all CPG funds
- CPG funds will expire according to FHWA program guidelines

A CPG FAQ will be available on the MPO Partner Site.

MPO Boards are used to seeing the FTA 5305(d) and FHWA PL allocations separately in the UPWP and may want to understand why the PL allocation looks higher than previous UPWP cycles. Therefore, it may be helpful to show the FTA 5305(d) allocation, FHWA PL allocation, and combined total in a table at the beginning of the UPWP. Combining the funds into a single grant reduces administration and effort. Below is an example table and text.

The Consolidated Planning Grant (CPG) allows for FHWA PL and FTA 5305(d) funds to be combined into a single grant, which will be administered by FHWA. These funds are represented as PL throughout this UPWP.

Fund Source	Total Allocation
FHWA PL	\$200,000
FTA 5305(d)	\$150,000
Total CPG PL	\$350,000

Examples of CPG and 5305(d) Funds in the UPWP Template

There will be three ways to show 5305(d) funds in the UPWP depending on the program year, contract type, and match requirements.

1. **CPG:** Federal Fiscal Year (FFY) 22 allocations shown as PL (soft match 18.07%)
2. **FTA 5305(d):** Open Public Transportation Grant Agreements (PTGAs) with hard match (10% state, 10% local)
3. **FFY 21 5305(d):** Open PTGAs with soft match (20%)

Below is an example of how to show the 5305(d) funds in the UPWP task and funding sources tables.

Task 1: PTGA Examples							
2021							
Funding Source	1	2	3			FY 2020 Total	
	FHWA	FTA 5305(d)			FY 21 FTA 5305(d)		
Contract Number	G1L99	GXXXX			GXXXXB		
Examples:	CPG	Hard Match			Soft Match		
Source Level	PL	Federal	State	Local	Federal		
Personnel (salary and benefits)							\$
Consultant	\$ 40,965	\$ 40,000	\$ 5,000	\$ 5,000	\$ 40,000		\$
Travel							\$
Direct Expenses							\$
Indirect Expenses							\$
Equipment						\$	
2021 Totals	\$ 40,965	\$ 40,000	\$ 5,000	\$ 5,000	\$ 40,000	\$	

Funding Source
May 2020 (rev. Apr 2021)

Contract	Funding Source	Source Level	2021	2022	FY 2021 Funding Source				FY 2022 Funding Source			
					Soft Match	Federal	State	Local	Soft Match	Federal	State	Local
GXXXB	FY 21 FTA 5305(d)	Federal	\$ 40,000	\$ -	\$ 10,000.00	\$ 40,000.00	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		FTA 5305(d) GXXXB	\$ 40,000	\$ -	\$ 10,000	\$ 40,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
G1199	FHWA	PL	\$ 40,965	\$ -	\$ 9,035.00	\$ 40,965.00	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		FHWA G1199 TOTAL	\$ 40,965	\$ -	\$ 9,035	\$ 40,965	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
GXXXX	FTA 5305(d)	Federal	\$ 40,000	\$ -	\$ -	\$ 40,000.00	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		Local	\$ 5,000	\$ -	\$ -	\$ -	\$ -	\$ 5,000.00	\$ -	\$ -	\$ -	\$ -
		State	\$ 5,000	\$ -	\$ -	\$ -	\$ 5,000.00	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		5305(d) GXXXX TOTAL	\$ 50,000	\$ -	\$ -	\$ 40,000	\$ 5,000	\$ 5,000	\$ -	\$ -	\$ -	\$ -

FDOT Resources

The following resources support UPWP development:

- [Office of Work Program and Budget, Work Program Instructions \(Part III – Chapter 22: Planning\)](#)
- [MPO Program Management Handbook](#)
- [Technical Memorandum 20-01: Capital Expenditures, Purchasing Thresholds, State Purchasing Contracts, and Asset Liquidation & Disposal](#)
- [Technical Memorandum 22-01: UPWP Revision Thresholds \(Amendments and Modifications\)](#)