



## MEMORANDUM

**TO:** TPB Technical Committee and Steering Committee

**FROM:** Kanti Srikanth  
Director  
Department of Transportation Planning

**SUBJECT:** Briefing on Amendment to the FY 2016 Unified Planning Work Program (UPWP) to Revise the Budget

**DATE:** November 6, 2015

---

This memorandum describes an amendment to revise the budget and work activities to reflect the final FY 2016 funding allocations provided by MDDOT, VDOT, and VDRPT. The TPB will be asked to approve this amendment at its meeting on November 18.

### SUMMARY OF BUDGET REVISIONS

TPB UPWP funding is from two main sources: the FAA CASP program and the TPB Basic Program. Funding for the CASP program is derived from FAA allocations and is occasionally augmented with additional funds provided by the Metropolitan Washington Airports Authority and the Maryland Aviation Administration.

Funding for the TPB Basic Program is derived from allocations from the FHWA and FTA (80 percent), and matching funds provided by the State Transportation agencies (10 percent) and local jurisdiction TPB members (10 percent). There are three categories of TPB Basic Program funds: New FY Funds, Unobligated Funds from two years ago and Carryover Funds from the previous fiscal year. TPB Basic Program funds are sub-allocated to Core UPWP activities and to Technical Assistance activities for state Transportation agencies and WMATA. The amount of Technical Assistance funding allocated to each State Transportation agency and WMATA is a prescribed percentage of New FY Funds.

On March 18, 2015, the TPB approved the FY 2016 UPWP with a grand total budget of \$15,060,971, which included “New FY 2016 Funds” of \$11,469,691 from the federal FY 2015 budget, “Unobligated FY 2014 Funds” of \$1,411,894 from funds that were not expended in completing the FY 2014 UPWP, “Carryover Funding” of \$1,729,386 from the FY 2015 UPWP and \$450,000 in FAA funds for the CASP program. As described below, the total amounts for New FY 2016 Funds needs to be **decreased** by \$119,360 and Unobligated FY 2014 Funds need to be **increased** by \$352,361. There are no changes to the FY 2015 Carryover and FAA CASP funds. **The result of the changes in New FY 2016 Funds and Unobligated FY 2014 Funds is a net increase of \$233,001 (1.6 percent) for the TPB Basic Program element of the FY 2016 UPWP.**

### CHANGES TO TPB BASIC PROGRAM FUNDING TOTALS

Because the federal FY 2015 budget had not been finalized in February 2015, in time for the FY 2016 UPWP to be approved by the TPB in March, the funding amounts for the new FY 2016 FTA Section 5303 and FHWA Sec 112 funds were assumed to be the same as in the previous year. Since March 2015, the federal FY 2015 MPO planning allocations were finalized and MDOT, VDOT,

and VDRPT have advised us of their final funding allocations for the FY 2016 UPWP. There are no changes in the funding amounts from DDOT or in FAA CASP funds. The proposed changes to the budget amounts in the various categories of funds are shown in italics next to the budget levels approved in March in Table 1 - Tracking Changes below.

**Changes in New FY 2016 Funds** - Between the slight increase in FTA funding (\$60) and a decrease in FHWA funding (\$75,639) from Maryland and a decrease in FTA (\$8,414) and FHWA funds (\$35,367) from Virginia the **net change in New FY 2016 Funds is a decrease of \$119,360** (including state and local matching funds) in new FY 2016 Funding relative to the totals included in the FY 2016 UPWP approved in March.

**Changes in Unobligated FY 2014 Funds** - Based on updated information received from MDOT and VDOT after March, FY 2016 UPWP funding needs to be revised to reflect increases in MDOT “unobligated FY 2014” FTA (\$114,608) and FHWA (\$269,392) funding amounts and a decrease in the VDOT “unobligated FY 2014” FHWA (\$31,639) amount. These three revisions result in a **net increase of \$352,361 in the total Unobligated FY 2014 Funding.**

## **CHANGES TO TECHNICAL ASSISTANCE BUDGETS**

The Technical Assistance funding level for each state transportation agency is a prescribed percentage of the total new FY 2016 funding provided through the respective state. Similarly, the Technical Assistance funding level for WMATA is a prescribed percentage of the new FTA 2016 funding. As shown in Table 1 – Tracking Changes, the total amount of new FY 2016 funding is decreased by a total of \$119,360 relative to the total approved by the TPB in March. Therefore, the budget for **Technical Assistance programs decreases by a total of \$12,437**. The breakdown of this decrease in budget amounts is: \$7,558 for Maryland, \$4,378 for Virginia and \$501 for WMATA. As there was no change in the DDOT funding amounts the technical assistance amounts for DDOT remains unchanged.

## **CHANGES TO THE UPWP CORE PROGRAM**

The UPWP Core program funding is determined by subtracting the Technical Assistance funding level from the TPB Basic Program funding amount. Because the TPB Basic Program funding increases by \$233,001 and the Technical Assistance funding level decreases by \$12,437, **funding for the UPWP Core program increases by \$245,438.**

**TABLE 1 - TRACK CHANGES**  
**FY 2016 TPB PROPOSED FUNDING BY FEDERAL, STATE AND LOCAL SOURCES**  
**(July 1, 2015 to June 30, 2016)**

CHANGE IN FTA FUNDING	FTA SECT 5303 80% FED & 20% STA/ LOC	FHWA SECT 112 80% FED & 20% STA/ LOC	CHANGE IN FHWA FUNDING	TOTALS	CHANGE IN TOTAL FUNDING
<b>ALLOTMENTS PROVIDED BY DDOT</b>					
NEW FY 2016	532,855	2,150,307		2,683,162	
UNOBLIGATED FY 2014	23,993	107,656		131,649	
CARRYOVER FY 2015	70,981	264,813		335,794	
<b>SUBTOTAL - DDOT</b>	<b>627,829</b>	<b>2,522,776</b>		<b>3,150,605</b>	<b>0</b>
<b>ALLOTMENTS PROVIDED BY MDOT</b>					
NEW FY 2016	<i>+60</i>	1,277,256	<i>-75,639</i>	4,887,544	<i>-75,579</i>
UNOBLIGATED FY 2014	<i>+114,608</i>	249,550	<i>+269,392</i>	800,100	<i>+384,000</i>
CARRYOVER FY 2015		190,443		692,442	
<b>SUBTOTAL - MDOT</b>	<b><i>+114,668</i></b>	<b>1,717,249</b>	<b><i>+193,753</i></b>	<b>6,380,086</b>	<b><i>+308,421</i></b>
<b>ALLOTMENTS PROVIDED BY VDRPT &amp; VDOT</b>					
NEW FY 2016	<i>-8,414</i>	1,037,185	<i>-35,367</i>	3,898,985	<i>-43,781</i>
UNOBLIGATED FY 2014		72,000	<i>-31,639</i>	480,145	<i>-31,639</i>
CARRYOVER FY 2015		194,172		701,150	
<b>SUBTOTAL - VDOT</b>	<b><i>-8,414</i></b>	<b>1,303,357</b>	<b><i>-67,006</i></b>	<b>5,080,280</b>	<b><i>-75,320</i></b>
<b>TPB BASIC PROGRAM</b>					
NEW FY 2016	<i>-8,354</i>	2,847,296	<i>-111,006</i>	11,469,691	<i>-119,360</i>
UNOBLIGATED FY 2014	<i>+114,608</i>	345,543	<i>+237,753</i>	1,411,894	<i>+352,361</i>
<b>TOTAL BASIC PROGRAM</b>	<b><i>+106,254</i></b>	<b>3,192,839</b>	<b><i>+126,747</i></b>	<b>12,881,585</b>	<b><i>+233,001</i></b>
TOTAL CARRYOVER FY 2015		455,596		1,729,386	
<b>TOTAL UPWP</b>	<b><i>+106,254</i></b>	<b>3,648,435</b>	<b><i>+126,747</i></b>	<b>14,610,971</b>	<b><i>+233,001</i></b>
<b>FAA - CASP PROGRAM (90/10)</b>				<b>450,000</b>	
<b>GRAND TOTAL</b>	<b><i>+106,254</i></b>	<b>3,648,435</b>	<b><i>+126,747</i></b>	<b>15,060,971</b>	<b><i>+233,001</i></b>

*Amounts in italics represent the change in the budget amounts for the specific category of funds.*

"New FY2016 funds" are newly authorized funds for the FY2016 UPWP

"Unobligated FY2014 funds" are unexpended funds from the completed FY2014 UPWP

"Carryover FY2015 funds" are programmed from the FY2015 UPWP to complete specific work tasks in the FY2016 UPWP

## **PROPOSED ALLOCATION OF ADDITIONAL UPWP CORE PROGRAM FUNDS**

It is proposed that the net additional UPWP Core Program funding of \$245,438 be added to the budget for work activity 1. I. TPB Support and Management. This UPWP work element is intended to provide for the overall administrative support, fiscal management and overall executive oversight of all work activities in the UPWP. Current and recent UPWPs have funded these activities partly through this budget item and partly from the numerous other UPWP work program elements which makes tracking of resource allocations cumbersome. Allocating these additional funds to this work element will not only provide adequate funding for this work activity but also provide a centralized budget line item for the support and management activities of the TPB and its committees. Work activities that are part of this work element includes: preparation and participation in the regular meetings of the TPB, the Steering Committee, the Technical Committee and State Technical Working Group; financial management, staff performance and financial expenditures in general support of UPWP activities but not attributable to specific tasks in the work program and senior management oversight of all UPWP work activities.

A revised total UPWP funding table with the updated amounts and totals is attached. Also included are the changes to the budget and work activity description to be included in the amended UPWP document.

CHANGES TO FY 2016 UPWP DOCUMENT

Nov. 6, 2015

**REVISED TABLE 1  
FY 2016 TPB PROPOSED FUNDING BY FEDERAL, STATE AND LOCAL SOURCES  
(July 1, 2015 to June 30, 2016)**

	<b>FTA SECT 5303 80% FED &amp; 20% STA/ LOC</b>	<b>FHWA SECT 112 80% FED &amp; 20% STA/ LOC</b>	<b>FAA CASP 90% FED &amp; 10% LOC</b>	<b>TOTALS</b>
<b>ALLOTMENTS PROVIDED BY DDOT</b>				
NEW FY 2016	532,855	2,150,307		2,683,162
UNOBLIGATED FY 2014	23,993	107,656		131,649
CARRYOVER FY 2015	70,981	264,813		335,794
<b>SUBTOTAL - DDOT</b>	<b>627,829</b>	<b>2,522,776</b>		<b>3,150,605</b>
<b>ALLOTMENTS PROVIDED BY MDOT</b>				
NEW FY 2016	1,277,316	3,534,649		4,811,965
UNOBLIGATED FY 2014	364,158	819,942		1,184,100
CARRYOVER FY 2015	190,443	501,999		692,442
<b>SUBTOTAL - MDOT</b>	<b>1,831,917</b>	<b>4,856,590</b>		<b>6,688,507</b>
<b>ALLOTMENTS PROVIDED BY VDRPT &amp; VDOT</b>				
NEW FY 2016	1,028,771	2,826,433		3,855,204
UNOBLIGATED FY 2014	72,000	376,506		448,506
CARRYOVER FY 2015	194,172	506,978		701,150
<b>SUBTOTAL - VDOT</b>	<b>1,294,943</b>	<b>3,709,917</b>		<b>5,004,860</b>
<b>TPB BASIC PROGRAM</b>				
NEW FY 2016	2,838,942	8,511,389		11,350,331
UNOBLIGATED FY 2014	460,151	1,304,104		1,764,255
<b>TOTAL BASIC PROGRAM</b>	<b>3,299,093</b>	<b>9,815,493</b>		<b>13,114,586</b>
TOTAL CARRYOVER FY 2015	455,596	1,273,790		1,729,386
<b>TOTAL UPWP</b>	<b>3,754,689</b>	<b>11,089,283</b>		<b>14,843,972</b>
<b>FAA - CASP PROGRAM</b>				<b>450,000</b>
<b>GRAND TOTAL</b>	<b>3,754,689</b>	<b>11,089,283</b>	<b>450,000</b>	<b>15,293,972</b>

"New FY2016 funds" are newly authorized funds for the FY2016 UPWP

"Unobligated FY2014 funds" are unexpended funds from the completed FY2014 UPWP

"Carryover FY2015 funds" are programmed from the FY2015 UPWP to complete specific work tasks in the FY2016 UPWP

## APPENDIX A:

Deletions to text are shown in strikeout and additions in bold. From page 40

### 1. PLAN SUPPORT

#### I. ~~DTP MANAGEMENT~~ TPB SUPPORT AND MANAGEMENT

This activity includes all department-wide administrative, financial and senior management staff activities related to overall UPWP activities and oversight but not easily attributable to specific project tasks in the DTP TPB work program. Examples include the following:

- Supervision of the preparation, negotiation, and approval of the annual work program and budget, involving the State Transportation Agencies, the Technical Committee, the Steering Committee, and the TPB.
- Day-to-day monitoring of all work program activities and expenditures by task.
- Day-to-day management and allocation of all staff and financial resources to ensure that tasks are completed on schedule and within budget.
- Preparation for and participation in regular meetings of the TPB, the Steering Committee, the Technical Committee, and the State Technical Working Group.
- Attendance at meetings of other agencies whose programs and activities related to and impact the TPB work program, such as local government departments.
- Review of transportation proposals of regional importance submitted to TPB through the intergovernmental review process. Where significant regional impacts are likely, staff will obtain Technical Committee and Board review and approval of comments prepared.

In addition to salaries, nominal amounts are utilized for travel related to non-project specific meetings attended by the senior staff, data processing for financial monitoring and analysis, and conferences such as FTA and FHWA seminars on federal regulations and financial management. These activities represent three to four percent of the total amount allocated for TPB Management.

Oversight:	Transportation Planning Board
Cost Estimate:	\$488,333 <b>+\$245,438</b>
Products:	Materials for the meetings of the TPB, the Steering Committee, the Technical Committee, and the State Technical Working Group; responses to information requests from elected officials, federal agencies and media; and participation in external meetings related to TPB work program.
Schedule:	Ongoing throughout the year

## TECHNICAL ASSISTANCE

From Page 76

### B. MARYLAND

#### 9. Other Tasks yet to be defined

Other tasks are anticipated but not yet defined. This project is established to account for TPB staff time spent in responding to requests for technical assistance by MDOT, SHA, other modal agencies and jurisdictions whose scope of work or characteristics do not conform to the other work tasks of the Maryland Technical Assistance Program. Work under this project will be performed upon authorization by MDOT, SHA and/or other modal agencies and jurisdictions.

Cost Estimate:           \$754 New funds  
                                  \$164,843 carryover from FY 2015  
                                  \$165,597 total - **\$7,558**

TOTAL MARYLAND COST ESTIMATE:       \$488,754  
  \$199,843 carryover from FY 2015  
  \$688,597 total - **\$7,558**

From Page 78

### C. VIRGINIA

#### 5. Other Tasks Yet to Be Defined

Other tasks are anticipated but not yet defined. This project is established to account for staff time spent in responding to requests for technical assistance by VDOT, DRPT and other modal agencies and jurisdictions whose scope of work or characteristics to not conform to the other work tasks in the Virginia program. Work under this project will be performed upon authorization by VDOT, DRPT and/or other modal agencies and jurisdictions.

Cost Estimate:           \$0 New funds  
                                  \$308,000 carryover from FY 2015  
                                  \$308,000 total - **\$4,378**

TOTAL VIRGINIA COST ESTIMATE:       \$389,899  
  \$308,000 carryover from FY 2015  
  \$697,899 total - **\$4,378**

From Page 79

D. WMATA

2. Miscellaneous Services

This miscellaneous account is a mechanism established to address requests which are too small or too short-lived to warrant separate work scopes. Past work has included requests for hard copy, plots, tape, or diskettes of data from any of the planning work activities at COG.

Cost Estimate: \$5,000 - \$501  
Schedule: on-going activity

TOTAL WMATA COST ESTIMATE: \$170,838 New funds  
\$54,483 carryover from FY 2015  
\$225,321 total - **\$501**