

ITEM 7 – Action
November 18, 2015

Approval of an Amendment to the FY 2016 Unified Planning Work Program (UPWP) to Revise the Budget and Work Elements

Staff

Recommendation: Adopt Resolution R5-2016 to amend the FY 2016 UPWP to revise the budget and work elements

Issues: None

Background: Since the FY 2016 UPWP was approved in March, the funding allocations provided by DDOT, MDOT, VDOT and VDRPT have been revised to reflect changes in new FY 2016 funding and adjustments in the unobligated FY 2014 funding. The Board will be briefed on an amendment to revise the budget and work elements to reflect the funding changes.

NATIONAL CAPITAL REGION TRANSPORTATION PLANNING BOARD
777 North Capitol Street, N.E.
Washington, D.C. 20002

RESOLUTION TO AMEND
THE FY 2016 UNIFIED PLANNING WORK PROGRAM (UPWP) TO REVISE THE
BUDGET AND WORK ELEMENTS

WHEREAS, the National Capital Region Transportation Planning Board (TPB), which is the metropolitan planning organization (MPO) for the Washington Region, has the responsibility under the provisions of Moving Ahead for Progress in the 21st Century Act (MAP-21) for developing and carrying out a continuing, cooperative and comprehensive transportation planning process for the Metropolitan Area;

WHEREAS, the Joint Planning Regulations issued in February 2007 by the Federal Highway Administration (FHWA) and the Federal Transit Administration (FTA) require a Unified Planning Work Program (UPWP) for Transportation Planning; and

WHEREAS, the UPWP is required as a basis and condition for all funding assistance for transportation planning to state, local, and regional agencies by the FHWA and FTA; and

WHEREAS, the FY 2016 UPWP for the Washington Metropolitan Area was approved by the TPB on March 18, 2015; and

WHEREAS, the approved budget for the FY 2016 UPWP was based upon allocation of FTA Section 5303 and FHWA funding from the District of Columbia, Department of Transportation (DDOT), Maryland Department of Transportation (MDOT), Virginia Department of Transportation (VDOT), and the Virginia Department of Rail and Public Transportation (VDRPT) that were assumed to be similar to the previous year; and

WHEREAS, by November, the final federal FY 2015 MPO planning allocations, which determine the new FY 2016 funding for the UPWP, were determined by DDOT, MDOT, VDOT and the VDRPT; and

WHEREAS, the most recent allocations have determined a net decrease in the New FY 2016 Funds of \$119,360 (including state and local matching funds) relative to the totals included in the FY 2016 UPWP approved in March; and

WHEREAS, the most recent allocations have determined a net increase in the Unobligated FY 2014 Funds (funds that were not expended in completing the FY 2014 UPWP) by \$352,361.

WHEREAS, the net result is that funding for the UPWP Basic Program will increase by

\$233,001.

WHEREAS, the technical assistance funding level for each state is an agreed percentage of total New Funds, and the total amount of New FY 2016 Funds is decreased relative to the total approved by the TPB in March, therefore, the budget for technical assistance programs will decrease by a total of \$12,437; and

WHEREAS, funding for the UPWP Core Program funding is determined by subtracting the funding for the Technical Assistance program from the total funds available for the Basic Program, and as described above, funding for the Basic Program funding increases by \$233,001 while funding for the Technical Assistance funding level decreases by \$12,437, therefore the net result is that funding for the UPWP Core program will increase by \$245,438.

WHEREAS, it is proposed that the net addition of \$245,438 in funding for the UPWP Core Program be added to the TPB Support and Management work activity, which provides administrative support, fiscal management and overall executive oversight of all work activities in the UPWP; and

WHEREAS, the changes to the budgets and work activities in the program are shown in the attached memorandum and attachments; and

WHEREAS, at its November 6 meeting, the TPB Technical Committee was briefed on the proposed amendment to the budget and work activities in the FY 2016 UPWP;

NOW, THEREFORE, BE IT RESOLVED THAT the NATIONAL CAPITAL REGION TRANSPORTATION PLANNING BOARD amends the FY 2016 UPWP to include the budget revisions show on the attached memorandum and attachments.



MEMORANDUM

TO: Transportation Planning Board
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 12, 2015

This memorandum describes an amendment to revise the budget and work activities of the TPB's FY 2016 Unified Planning Work Program (UPWP) to reflect the changes to the assumed federal funding provided by Maryland and Virginia Departments of Transportation as well as the Virginia Department of Rail and Public Transportation (VDRPT). The Board is being asked to review and approve this amendment at its November 18, 2015 meeting.

SUMMARY OF BUDGET REVISIONS

On March 18, 2015, the TPB approved the FY 2016 UPWP with a total budget of \$15,060,971. For reasons explained below **the total UPWP budget amount is proposed to be increased by \$233,001 (a 1.6 percent increase)**. There are different types of funding used to carry out the activities in the UPWP. Changes to the specific funding types and the amounts are described below.

BACKGROUND INFORMATION ON THE UPWP

The UPWP activities is grouped under two programs – the **Basic Program** and the Continuous Airport System Planning (**CASP**) program.

Funding for the Basic Program is derived from allocations from the FHWA and the FTA (80 percent) and matching funds provided by the State Transportation agencies (10 percent) and local jurisdiction TPB members (10 percent). A significant majority of the total UPWP funds is provided for the Basic Program activities with the rest to the CASP program.

TPB's Basic Program has two parts to it – the Core Program and the Technical Assistance Program. The Core Program contains all of the work activities undertaken and overseen by the Board and includes all of the federally mandated metropolitan planning activities. Technical Assistance program provides planning funds to the states and WMATA to undertake planning activities identified by the agency to inform the regional planning process. A majority of the Basic Program funds is allocated to the Core Program. Funding for the Technical Assistance program is a prescribed percentage of the total new FY 2016 funding provided through the respective state.

The CASP program provides a regional process that supports the planning, development and operation of the region's three airports and airport-service facilities. Funding for the CASP program is derived from FAA allocations and is occasionally augmented with additional funds provided by the

Metropolitan Washington Airports Authority.

CHANGES TO UPWP FUNDING TOTALS

The TPB approved the FY 2016 UPWP on March 18, 2015. At the time of this action allocations of federal funding for the FY 2016 UPWP had not been finalized. As such the funding amounts for the UPWP were assumed to be the same as in the previous year's UPWP. Since March 2015, the state Transportation agencies have finalized the federal funding amounts and MDOT, VDOT, and VDRPT have advised staff of their final funding allocations for the FY 2016 UPWP. These final funding amounts are slightly different than what was assumed earlier in March of this year. There were no changes to the funding amounts from DDOT. The proposed amendment to the FY 2016 UPWP will reconcile the funding amounts to reflect the changes as described below.

The proposed UPWP amendment changes the funding totals for the Basic Program of the UPWP. There are three types of funds used for the Basic Program portion of the UPWP: (1) New fiscal year funds; (2) Unobligated funds from two years ago (funds that were not expended while completing the UPWP of that year) and (3) funds carried over from the immediately previous fiscal year. Details of the changes to the specific type of funds proposed in this amendment are described below and tabulated in Table 1 AMEND.

Changes in New FY 2016 Funds – The FY 2016 UPWP approved in March of this year had assumed \$11,469,691 in “New FY 2016 Funds” from all three jurisdictions. The current amendment proposes to decrease the New FY 2016 Funds by \$119,360. From Maryland the previously assumed FTA funding will increase by \$60 while FHWA funding amount will decrease by \$75,639. The previously assumed FTA funding amount from Virginia will decrease by \$8,414 and so will the FHWA funds by \$35,367. **The net change in New FY 2016 Funds is a decrease of \$119,360** (including state and local matching funds) relative to the totals included in the FY 2016 UPWP approved in March.

Changes in Unobligated FY 2014 Funds The FY 2016 UPWP approved in March of this year had assumed \$1,411,894 in “Unobligated FY 2014 Funds” (funds that were not expended in completing the FY 2014 UPWP). This amendment proposes to and increase the Unobligated FY 2014 Funds by \$352,361. From Maryland the previously assumed FTA funding from FY 2014 will increase by \$114,608 as will the FY 2014 FHWA funds by \$269,392. The previously assumed FY 2014 FHWA funding amount from Virginia will decrease by \$31,639. These three revisions result in **a net increase of \$352,361 in the total Unobligated FY 2014 Funding.**

The FY 2016 UPWP approved in March of this year had assumed \$1,729,386 in “Carryover Funds” from the FY 2015 UPWP and \$450,000 in FAA funds for the CASP program. There are no changes to these amounts proposed in this amendment.

CHANGES TO THE FUNDING ALLOCATIONS WITHIN THE BASIC PROGRAM

As described above the Basic Program portion of the UPWP has two components: Technical Assistance and Core Program. The proposed amendment changes the funding amounts to both components as described below.

Technical Assistance Budgets: As previously noted the budget for this program is a prescribed percentage of the total amount of New FY funds within the TPB's Basic program. As shown in Table

1 AMEND, the total amount of New FY 2016 funding is decreased by \$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.

Core Program Budgets: Funding for the Core Program funding is determined by subtracting the funding for the Technical Assistance program from the total funds available for the Basic Program. As described above funding for the Basic Program funding increases by \$233,001 while funding for the Technical Assistance funding level decreases by \$12,437. **The net result is that funding for the UPWP Core program increases by \$245,438.**

PROPOSED ALLOCATION OF ADDITIONAL UPWP CORE PROGRAM FUNDS

It is proposed that the net addition of \$245,438 in funding for the UPWP Core Program be added to the TPB Support and Management work activity. This UPWP Core program work element is intended to provide for the overall administrative support, fiscal management and overall executive oversight of all work activities in the UPWP. Work activities that are part of this work element includes: preparation for and participation in the regular meetings of the TPB, the Steering Committee, the Technical Committee and State Technical Working Group; financial management, and senior management oversight of technical work and administrative assistance in support of all UPWP activities.

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.

Revisions to specific section of the TPB's FY 2016 UPWP document reflecting all of the above changes including the revised funding summary table (Table 1) is included as attachment to this memorandum.

**TABLE 1 AMEND
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
ALLOTMENTS PROVIDED BY DDOT					
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	
SUBTOTAL - DDOT	627,829	2,522,776		3,150,605	0
ALLOTMENTS PROVIDED BY MDOT					
NEW FY 2016	<i>+60</i>	1,277,256	-75,639	4,887,544	-75,579
UNOBLIGATED FY 2014	<i>+114,608</i>	249,550	+269,392	800,100	+384,000
CARRYOVER FY 2015		190,443		692,442	
SUBTOTAL - MDOT	<i>+114,668</i>	1,717,249	<i>+193,753</i>	6,380,086	<i>+308,421</i>
ALLOTMENTS PROVIDED BY VDRPT & VDOT					
NEW FY 2016	<i>-8,414</i>	1,037,185	-35,367	3,898,985	-43,781
UNOBLIGATED FY 2014		72,000	-31,639	480,145	-31,639
CARRYOVER FY 2015		194,172		701,150	
SUBTOTAL - VDOT	<i>-8,414</i>	1,303,357	<i>- 67,006</i>	5,080,280	<i>-75,320</i>
TPB BASIC PROGRAM					
NEW FY 2016	<i>-8,354</i>	2,847,296	-111,006	11,469,691	-119,360
UNOBLIGATED FY 2014	<i>+114,608</i>	345,543	+237,753	1,411,894	+352,361
TOTAL BASIC PROGRAM	<i>+106,254</i>	3,192,839	<i>+126,747</i>	12,881,585	<i>+233,001</i>
TOTAL CARRYOVER FY 2015		455,596		1,729,386	
TOTAL UPWP	<i>+106,254</i>	3,648,435	<i>+126,747</i>	14,610,971	<i>+233,001</i>
FAA - CASP PROGRAM (90/10)				450,000	
GRAND TOTAL	<i>+106,254</i>	3,648,435	<i>+126,747</i>	15,060,971	<i>+233,001</i>

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

ATTACHMENT A

REVISIONS TO THE FY 2016 UPWP DOCUMENT AS AMENDED

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

	FTA SECT 5303 80% FED & 20% STA/ LOC	FHWA SECT 112 80% FED & 20% STA/ LOC	FAA CASP 90% FED & 10% LOC	TOTALS
ALLOTMENTS PROVIDED BY DDOT				
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
SUBTOTAL - DDOT	627,829	2,522,776		3,150,605
ALLOTMENTS PROVIDED BY MDOT				
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
SUBTOTAL - MDOT	1,831,917	4,856,590		6,688,507
ALLOTMENTS PROVIDED BY VDRPT & VDOT				
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
SUBTOTAL - VDOT	1,294,943	3,709,917		5,004,860
TPB BASIC PROGRAM				
NEW FY 2016	2,838,942	8,511,389		11,350,331
UNOBLIGATED FY 2014	460,151	1,304,104		1,764,255
TOTAL BASIC PROGRAM	3,299,093	9,815,493		13,114,586
TOTAL CARRYOVER FY 2015	455,596	1,273,790		1,729,386
TOTAL UPWP	3,754,689	11,089,283		14,843,972
FAA - CASP PROGRAM				450,000
GRAND TOTAL	3,754,689	11,089,283	450,000	15,293,972

"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 strikethrough 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 \$733,771
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

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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 **\$158,039**

TOTAL MARYLAND COST ESTIMATE: \$488,754
 \$199,843 carryover from FY 2015
 ~~\$688,597~~ total **\$681,039**

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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 **\$303,622**

TOTAL VIRGINIA COST ESTIMATE: \$389,899
 \$308,000 carryover from FY 2015
 ~~\$697,899~~ total **\$693,521**

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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 **\$224,820**