

# Unified Planning Work Program (UPWP) Guidance for Metropolitan Planning Organizations and Regional Transportation Planning Organizations

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**Washington State  
Department of Transportation**



U.S. Department  
of Transportation  
**Federal Highway  
Administration**



**Federal Transit  
Administration**

Prepared jointly by the WSDOT Multimodal Planning Division, Public Transportation Division, the Federal Highway Administration and the Federal Transit Administration

# SFY 2017 Unified Planning Work Program Guidance

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## 1. Purpose of the Guidance

The primary purpose of this Unified Planning Work Program (UPWP) Guidance is to assist the MPOs in developing work programs that meet federal statutes and regulations, and to assist RTPOs in developing work programs that meet state statutes and regulations. This guidance is not intended to be a comprehensive summary of all federal requirements.

The Guidance shares federal and state emphasis areas. The emphasis areas may include long standing tasks in regulation that need attention, MAP-21/FAST Act tasks still in process, as well as federal and state initiatives.

The Guidance serves as a resource to assist MPOs and RTPOs, to:

- Meet federal UPWP requirements in 23 CFR 450.308 and 23 CFR 420.111; 49 USC § 5303, 40 USC § 5305 and FTA Circular 8100.1D.
- Meet state UPWP requirements in RCW 47.80 and WAC 468.86.
- Provide WSDOT sufficient detail to determine eligibility of work tasks, programs and activities, and allow the state to recommend approval to FHWA and FTA.

MPO and RTPO leadership and staff are encouraged to read the state and federal statutes and regulations listed above regarding the MPO and RTPO planning process. Formal adoption of the SFY 2017 UPWP by your respective board should not occur until federal and state partners have completed the UPWP coordination visit with your MPO/RTPO.

The President signed the Fixing America's Surface Transportation (FAST) Act into law on December 4, 2015, which replaces the Moving Ahead for Progress in the 21<sup>st</sup> Century Act (MAP-21). Initial review of the FAST Act modifications and requirements does not reveal any necessary immediate changes for MPOs. Changes in federal requirements are usually accompanied with ample transition time; however, WSDOT will share any new information with MPOs as it becomes available. This guidance was developed using current regulations; therefore, please use this document to develop your SFY 2017 UPWPs.

## 2. Federal Requirements

Each organization may continue to develop the UPWP in a way that best suits their needs while addressing required components. For MPOs, the CFRs provide specific direction on the level of detail required for each work task.

### 2.1 Required Details of the Unified Planning Work Program (UPWP)

Each MPO, in cooperation with WSDOT and the public transportation operator(s), is required to develop a UPWP that includes a discussion of the planning priorities within the Metropolitan Planning Area. The UPWP shall identify:

- Work proposed for the next one or two-year period by major activity and task, including activities that address the planning factors in 23 CFR 450.306.

- Per 23 CFR 450.308 and 23 CFR 420.111, descriptions of work must be in sufficient detail to indicate:
  - Who will perform the work (e.g., MPO, State, public transportation operator, local government, or consultant)
  - The schedule for completing the work
  - The resulting products
  - The proposed funding
  - A summary of the total amounts and sources of federal and matching funds (this includes federal funds from sources other than Title 23 U.S.C. and/or Title 49 U.S.C.)
  - Unfunded tasks

## **2.2 Annual Performance and Expenditure Report (Annual Report)**

The annual report should summarize progress made on approved UPWP tasks, programs, and planning activities. The monthly invoice detail provides useful information when developing the annual report.

WSDOT is required by 23 CFR 420.117 to submit MPO annual performance and expenditure reports to FHWA and FTA, including a report from each MPO, which contains at a minimum:

- Comparison of actual performance with established goals
- Progress in meeting schedules
- Status of Expenditures in a format compatible with the work program, including a comparison of budgeted amounts and actual expenditures
- Cost overruns or underruns
- Approved work program revisions
- Other pertinent supporting data

Annual reports are due to WSDOT by September 30, 2016. This is 90 days after the end of the SFY 2016 reporting period of June 30, 2016.

## **3. Federal Requirements – Metropolitan Planning Organizations (MPOs)**

### **3.1 Essential Programs and Activities**

The UPWP should identify essential programs and planning activities that are cross-referenced to the list of work tasks/activities in the UPWP. Please use the details listed in section 2.1 when describing each task/activity in your UPWP.

Examples of essential tasks/activities include, but are not limited to work associated with the following:

- Program Administration
- Unified Planning Work Program
- Public and Stakeholder Participation and Education
- Tribal Consultation
- Data Acquisition, Analysis, and Reporting

- Metropolitan Transportation Plan
- Transportation Improvement Program
- Air Quality Conformity (PSRC, SRTC, TRPC, RTC, YVCOG)
- Congestion Management Process (BFCG, PSRC, RTC, SRTC)
- Intelligent Transportation Systems
- Planning Consultation and Services
- Special Studies and Plans
- Title VI Plan and Annual Report

### **3.2 Governance**

MPOs should include any work planned to review and update interlocal agreements and bylaws.

### **3.3 Joint WSDOT/MPO Self-Certification Process**

All MPOs will use the short-form certification for calendar year (CY) 2016, which will be distributed to MPOs in September 2016. Please continue to ensure compliance with all federal and state regulations.

### **3.4 Metropolitan Transportation Improvement Program (MTIP)**

If you have not already done so, MPOs are requested to review and document their MTIP project identification, prioritization, and selection procedures to ensure that project planning and programming for all four years of the MTIP are consistent with federal regulations. MTIP project identification, prioritization, and selection procedures will be discussed at the UPWP review meeting (see agenda on p. 11).

### **3.5 Metropolitan Transportation Planning Agreements**

As required in 23 CFR 450.314, agreements between MPOs, public transportation operators, and the state must be reviewed and updated. If your MPO does not anticipate the execution of this agreement with WSDOT by June 30, 2016, please include this activity and the associated work in your SFY 2017 UPWP.

## **4. State Requirements – Regional Transportation Planning Organizations**

### **4.1 General**

There are no changes to state law or regulations regarding RTPO duties.

### **4.2 Regional Transportation Planning Organization (RTPO) Duties**

RTPO duties are defined in RCW 47.80.023 and WAC 468-86 in state law and regulation. WSDOT encourages RTPOs to include the core requirements in the UPWP.

### **4.3 RTPOs and Local Comprehensive Plans**

*“Efficient multimodal transportation systems based on regional priorities and coordinated with county and city comprehensive plans”* is one of 13 [statewide planning goals](#) established in the Growth Management Act (GMA). The GMA establishes RTPOs as the venues for identifying

regional priorities and coordinating planning at all jurisdictional levels with local comprehensive plans.

The regional transportation plans prepared by RTPOs play an important role in achieving consistency between state, county, city, and town plans and policies. State law requires regional transportation plans to be consistent with:

- Countywide planning policies adopted under GMA
- County, city, and town comprehensive plans
- State transportation plans

To achieve consistency, state law also requires RTPOs to certify that the transportation elements of local comprehensive plans:

- Reflect the guidelines and principles established by the respective RTPO
- Are consistent with the adopted the respective regional transportation plan
- Conform to the requirements of RCW 36.70A.070

WSDOT prepared a list of GMA requirements and resources for statewide transportation planning that may help the local governments in your region understand and meet the requirements of RCW 36.70A.070. Additional guidance from preparing the transportation elements of local comprehensive plans are in WAC 365-196-430.

WSDOT encourages RTPOs to work as partners with local governments through all phases of comprehensive plan and countywide planning policy updates. There is no set schedule so check with the local governments in your region for their update schedules. The Washington State Department of Commerce also produces a useful [GMA Update Schedule Map](#).

#### **4.4 Coordinated Public Transportation – Human Services Transportation Plan (CPTHSTP)**

Fixing America's Surface Transportation (FAST) Act maintained all of the funding program mergers created by MAP-21. FAST Act also provided for enhanced coordination of public transportation services with other federally assisted transportation services to aid in the mobility of seniors and individuals with disabilities. Details related to this coordination activity are not yet available. The FAST Section 5310 program continues to require that projects selected for funding must be included in a locally developed coordinated public transit-human services transportation plan. While the federal requirement applies only to certain programs, WSDOT has extended the requirement to all projects selected for funding through WSDOT's Public Transportation Consolidated Grant Program. For large UZAs, the MPO may develop and/or participate in the development of a CPTHSTP and integrate CPTHSTP goals, objectives, and projects as part of the MPO's MTP. RTPOs may develop the HSTP when there is no MPO. CPTHSTPs must update demographics and planning assumptions every four years, while project lists should be updated every two years. The update is due in 2018. Continued work on the measurement and coordination elements of the CPTHSTP may be conducted in between updates.

#### **4.5 Additional Work Tasks**

WSDOT and our federal partners recognize that shrinking budgets make it increasingly challenging to address the mandatory work elements described in state and federal statutes. As part of WSDOT's planning responsibilities, we engage in planning activities that invite MPOs and RTPOs as active partners. We encourage each organization to allocate a portion of their budget to continue working with us on the following activities to ensure their plans and priorities are reflected in these statewide and corridor efforts.

- Involvement in state planning activities:
  - Washington Transportation Plan 2040, Phase II
  - Highway System Plan
  - FAST Act Target Setting Collaboration
  - Transportation Efficiency (E.O. 14-04)
  - Aviation System Plan
  - Corridor Sketches
  - Statewide Travel Demand Model
  - Practical Solutions
  - GMA Enhanced Collaboration
- Incorporation of pertinent statewide transportation plans into your M/RTP, if being updated in this timeframe.
- Analysis of FAST Act final rules to understand potential impacts to planning practices.
- Ongoing coordinated human service transportation discussions.

#### **4.6 Title VI and Reporting**

MPOs submit annual Title VI reports by following their Title VI plan. MPOs and RTPOs that receive FTA funding must report their Title VI compliance following the guidance and requirements in FTA Circular 4702.1.

### **5. Federal 2017 Emphasis Areas**

#### **5.1 Transition from MAP-21 and FAST Act Implementation**

*Transition to Performance Based Planning and Programming*

As the analysis of the FAST Act evolves, WSDOT will continue to work with the MPOs on any draft or final rules that are released, along with providing MPOs with the necessary information as we transition from MAP-21.

#### **5.2 Models of Regional Planning Cooperation**

*Promote cooperation and coordination across MPO boundaries and across state boundaries where appropriate to ensure a regional approach to transportation planning.*

This is particularly important where more than one MPO or state serves an urbanized area or adjacent urbanized area(s). This cooperation and coordination could occur through the development of joint planning products, and/or by other locally determined means.

Coordination across MPO and across state boundaries includes the coordination of transportation plans and programs, corridor studies, and projects across adjacent MPO and state boundaries. It also includes collaboration among state DOTs, MPOs, and operators of

public transportation activities such as: data collections, data storage and analysis, analytical tools, and performance based planning.

### **5.3 Ladders of Opportunity**

*Access to essential services – as part of the transportation planning process, identify transportation connectivity gaps in access to essential services.*

Essential services include housing, employment, health care, schools/education, and recreation. This emphasis area could include MPO and state identification of performance measures and analytical methods to measure the transportation system’s connectivity to essential services and the use of this information to identify gaps in transportation system connectivity that preclude access of the public, including traditionally underserved populations, to essential services. It could also involve the identification of solutions to address those gaps.

## **6. State and Federal Emphasis Areas**

### **6.1 Tribal Consultation**

MPOs and RTPOs are encouraged to coordinate and invite participation with tribal governments on the development of their regional transportation plans and programs. WSDOT encourages MPOs and RTPOs to utilize technology, such as webinars, conference calls, and video conferencing to engage tribal governments in policy board and technical advisory committee (TAC) meetings.

The 1989 Centennial Accord and the 1999 Millennium Agreement between nearly all of the State of Washington and the Federally Recognized Tribes establishes the framework and commitment to a government-to-government relationship. WSDOT maintains government-to-government relations with 35 Federally Recognized Tribes located in the State of Washington and bordering states of Idaho and Oregon. WSDOT is committed to consulting with Tribes on decisions that may affect their rights and interests.

Consultation is defined as a “respectful, effective communication in a cooperative process that works toward a consensus, before a decision is made or and action is taken”. Additionally, the [WSDOT Centennial Accord Plan](#) outlines how the agency establishes and maintains government-to-government relationships with tribal governments. The WSDOT Secretary’s [Executive Order E 1025.01](#) on Tribal Consultation also provides WSDOT employees with specific roles, responsibilities, and procedures for working with Tribes on projects. In addition, the USDOT [Tribal Transportation Program Delivery Guide](#) and the [WSDOT Tribal Consultation Best Practices Guide](#) are technical resources with guidelines for tribal governments, federal agencies, and state and local governments.

### **6.2 Annual Performance and Expenditure Reports (Annual Reports)**

The states and MPOs are required by federal regulations ([23 CFR 420.117](#)) to submit Annual Performance and Expenditure Reports to FHWA and FTA no later than 90 days following the end of the fiscal year (state fiscal year in Washington). WSDOT also requires RTPOs to submit annual reports, which are due to WSDOT by September 30, 2016.

### **6.3 Interlocal Agreements**

Interlocal agreements are the legal instrument used to establish MPOs and RTPOs. Interlocal agreements should be created or updated when:

- No interlocal agreement exists
- The interlocal agreement existed but cannot be located
- The interlocal agreement is scheduled to expire
- There is an organizational change within the MPO or its member organizations
- MPA boundary changes modify membership

Interlocal agreements are governed by the Washington State Interlocal Cooperation Act ([RCW 39.34](#)) and rule ([WAC 173-95A-020](#)).

### **6.4 Statewide Planning Efforts**

MPOs/RTPOs are encouraged to participate in statewide planning efforts with respect to the various state modal plans and the statewide long-range transportation plan (WTP).

### **6.5 Corridor Sketches**

A corridor sketch is a way for WSDOT to work jointly with partners to capture and document consistent baseline information about a highway corridor that informs future investment decisions. The corridor sketch contains data that describes the characteristics of each highway corridor, common understanding of its current and future functions, performance targets and gaps, and cost-effective strategies for future consideration. A corridor sketch is not a substitute for detailed planning and analysis, nor is it a list of investments or projects. MPO/RTPO involvement in this process includes:

- Participation in meetings, workshops and advisory groups
- Review and provide input on data and documents related to corridor planning
- Provide data and modeling results related to corridor planning
- Perform transportation modeling and analysis as needed to support corridor planning
- Use results of corridor planning in respective MTP/RTP and other planning documents

### **6.6 Performance Measures**

The AASHTO schedule for the release of NPRMs and final rules changes frequently; however WSDOT will continue to provide timelines and schedules to the MPOs regarding the release dates. WSDOT will continue to collaborate with MPOs and RTPOs as official comments to the USDOT dockets are prepared. WSDOT will also continue to collaborate with the MPOs as the State works towards setting performance measures and targets.

## 7. UPWP Development

### 7.1 UPWP Development Schedule

Key Due Dates	Key Action Due
On or before January 15, 2016	WSDOT Tribal and Regional Coordination Office (TRCO) provides estimated planning funding allocations to MPOs for SFY 2017, pending the receipt of funds following the passage of the FAST Act.
February 2016	WSDOT TRCO schedules coordination meetings.
On or before March 7, 2016	WSDOT TRCO provides estimated RTPPO planning funding allocations to RTPPOs.
March 21, 2016	MPOs send draft UPWPs electronically to the WSDOT TRCO, FHWA and FTA. RTPPOs send draft UPWPs electronically to the WSDOT TRCO. <i>Exceptions:</i> <i>RTC: UPWP Due Date – February 8, 2016</i> <i>LCVMPO: UPWP Due Date – August 15, 2016</i>
April – June 2016 On-site coordination meetings	WSDOT TRCO, Public Transportation Division, WSDOT Region Planners, FHWA, and FTA representatives meet with MPOs to discuss the draft UPWPs. <i>Note: WSDOT will meet separately with RTPPOs not affiliated with MPOs during this same time period.</i>
May - June 2016	MPOs and RTPPOs take final UPWPs to Policy Boards for adoption.
June 17, 2016	MPOs and RTPPOs submit the adopted UPWP electronically to the WSDOT TRCO.
June 22, 2016	WSDOT TRCO submits MPO adopted UPWPs electronically to FHWA/FTA for federal review.
June 30, 2016	FHWA/FTA UPWP approval
July 1, 2016	Approved SFY 2017 UPWP work begins

### 7.2 On-Site Coordination Meeting and Draft Agenda

For your convenience, an agenda for the spring 2016 MPO/RTPPO on-site UPWP coordination meetings is included on the next page (Figure 1).

FIGURE 1

**Agenda**

**MPO/RTPO SFY 2017 Unified Planning Work Program  
On-Site Coordination Meeting**

1.	Introductions and Meeting Objectives	WSDOT
2.	<p>MPO/RTPO Presentation</p> <ul style="list-style-type: none"> <li>a. Successes and Key Accomplishments – SFY 2016</li> <li>b. Major work in progress</li> <li>c. Issues and challenges facing the MPO/RTPO</li> <li>d. Overview of membership, organizational structure, and decision-making processes</li> <li>e. Tribal consultation process</li> <li>f. FAST Act changes <ul style="list-style-type: none"> <li>• Project prioritization criteria for STP and TAP</li> </ul> </li> <li>g. MTIP &amp; RTIP project identification, selection, and prioritization</li> <li>h. Overview of the proposed SFY 2017 Unified Planning Work Program</li> </ul>	MPO/RTPO
3.	How can the federal and state team assist more?	MPO/RTPO/WSDOT/FHWA/FTA
4.	What training topics are high priorities for your organization?	MPO/RTPO
5.	<p>Federal Agency Feedback</p> <ul style="list-style-type: none"> <li>• Identify high points</li> <li>• Provide comments and feedback</li> </ul>	FHWA/FTA
6.	<p>WSDOT Feedback</p> <ul style="list-style-type: none"> <li>• Identify high points</li> <li>• Provide comments and feedback</li> </ul>	WSDOT
7.	<p>Next Steps</p> <ul style="list-style-type: none"> <li>• Any follow up action</li> <li>• Policy Board adoption date</li> </ul>	All
8.	Closing Comments	All

### **7.3 Budget/Financial Table**

WSDOT has developed a budget/financial table template (Appendix A) as an example for MPOs/RTPOs to use when developing their UPWP. The budget/financial table has been developed using previous UPWP funding tables from MPOs in Washington State; however, please understand this budget/financial table is only for your information. If you choose not to use the budget/financial table template, please use the methods and procedures you already have in place to track revenues, expenditures, and to develop your organization's annual report.

### **7.4 Special Studies**

MPOs and RTPOs may contract with another agency or a private firm for services to implement tasks identified in the UPWP. Before pursuing contracted services, please discuss your needs with your WSDOT Region Planning Manager, as WSDOT may already have some of the technical resources you need.

Please refer to the sections in the *Metropolitan/Regional Transportation Planning Organization Two-Year Financial Agreement* related to subcontracting and purchases.

The WSDOT Tribal and Regional Coordination Office is a resource for each MPO/RTPO considering contracting out for UPWP activities. WSDOT must recommend approval of the UPWP expenditure of Metropolitan Planning (PL) funds, Federal Transit Administration section 5303 funds, and approve state RTPO funds before any consultant selection process begins. Subcontracting agreements are subject to specific requirements as outlined in the money agreements.

### **7.5 Unfunded Work**

MPA unfunded planning activities should be listed within your UPWP, along with the approximate budget, schedule, and deliverable(s) associated with the unfunded activity. Having these unfunded lists across the state is helpful in understanding the transportation planning work that could be completed if resources become available.

### **7.6 Sources of Other Federal Planning Funds**

23 CFR 450.308 requires that UPWPs list other federal funding being received for transportation planning.

### **7.7 Implementing the UPWP**

The UPWP document should be used to guide planning tasks/activities for your MPO/RTPO in SFY 2017. The UPWP will assist the MPO/RTPO in actively participating and adhering to federal and state planning requirements.

### **7.8 Amendments**

The WSDOT TRCO approves UPWP amendments for RTPOs, while FHWA and FTA jointly approve UPWP amendments for all MPOs. The WSDOT TRCO is available to assist MPOs/RTPOs with any questions in submitting amendments.

## **Appendices**

[Appendix A: Budget/Financial Table Template](#)

[Appendix B: Scope of the Metropolitan Transportation Planning Process](#)

[Appendix C: National Goals and Performance Management Measures](#)