

STAFF REPORT



MEETING DATE:	2/25/14
SUBJECT:	FY 2014/15 Draft Overall Work Program (OWP) Priorities and Planning Funds Distribution Prioritization Policy
AGENDA ITEM:	10
STAFF CONTACT:	Daniel Wayne, Senior Transportation Planner

SUMMARY:

The agency's Overall Work Program (OWP) for FY 2014/15 is being prepared in consultation with federal and state funding partners for approval by the board of directors in April. Preliminary work elements and focus areas are provided for review and comment. In addition, an updated policy for the distribution of planning funds to local agencies is recommended for approval.

STAFF RECOMMENDATION:

It is recommended that the board of directors:

1. Conceptually support the attached summary of FY 2014/15 OWP work elements and focus areas (Attachment A); and
2. Approve the updated SRTA Planning Funds Distribution Prioritization Policy (Attachment B).

DISCUSSION:

Background – The OWP is the agency's budget and program of activities for the fiscal year. The majority of work undertaken by SRTA is necessary to meet federal and state requirements or address California Planning Emphasis Areas provided by Federal Highway Administration (FHWA) California Division and Federal Transit Administration (FTA) Region IX (Attachment C). SRTA special projects and support projects led by local agencies round out the work program.

FY 2014/15 OWP – A summary of proposed FY 2014/15 OWP work elements and key focus areas (Attachment A) is provided for review and direction. A draft OWP must be submitted to Caltrans, the Federal Highway Administration (FHWA), and the Federal Transit Administration (FTA) by March 1. A final OWP – including the incorporation of comments provided by the board of directors and state and federal funding partners – will be presented for board of directors' approval in April.

Planning Funds Distribution Policy – SRTA may allocate state or federal planning funds to its member agencies as part of the OWP. Over the last two years, FHWA and FTA have tightened up their oversight of such funds. At one point, FHWA recommended withholding all funds from SRTA pending resolution of the following issues:

1. SRTA must ensure that local agencies, as sub-recipients of state or federal funds, are responsible for the same terms and conditions applicable to SRTA.

SRTA response: On May 8, 2013, the board of directors authorized the executive director to execute sub-recipient cooperative agreements with local agencies, thereby placing sub-recipients under the same obligations as SRTA. These agreements have now been executed and will be renewed annually.

2. SRTA must better demonstrate the nexus between local agency work funded with federal dollars and SRTA's core planning functions and California Planning Emphasis Areas (Attachment C).

SRTA response: Over the past two OWP cycles, SRTA has ended the practice of formula distribution to local agencies. In addition, an updated Planning Funds Distribution Prioritization Policy (Attachment B) is provided for consideration by the board of directors. The updated policy establishes project selection priorities and a process for submitting project proposals.

ALTERNATIVES:

The board of directors may approve the Planning Funds Distribution Prioritization Policy with specific modifications, or request additional information and continue the item to the April meeting.

OTHER AGENCY INVOLVEMENT:

SRTA staff consulted with Caltrans, FHWA, and FTA regarding the Planning Funds Distribution Prioritization Policy. The Technical Advisory Committee (TAC) concurs with the staff recommendation.

FINANCING:

The Planning Funds Distribution Prioritization Policy would limit projects to available funding. The final FY 2014/15 OWP, including a detailed budget, will be submitted to the board of directors for approval in April.



Daniel S. Little, AICP, Executive Director

Attachments:

- A: Preliminary FY 2014/15 Overall Work Program
- B: Proposed SRTA Planning Funds Distribution Prioritization Policy
- C: FY 2014 California Planning Emphasis Areas
- D: 2008 SRTA Policy 5-1 Rev. 1 to Prioritize the Distribution of Federal Planning Funds

Preliminary FY 2014/15 SRTA Overall Work Program (OWP)

Work Element		Key Focus Area(s) for FY 2014/15
701.01	Regional Transportation Plan	Complete the 2015 RTP and accompanying Environmental Impact Report. Obtain necessary state and federal approvals and certifications.
701.02	Travel Demand Model	Distribute and maintain the agency's new activity-based travel demand model (proposed adoption: April, 2014). Use in support of planning and project analysis (if not attributable to another work element).
701.03	Performance Measures	Respond to new performance-based transportation funding requirements and track and report trends/progress in key regional policy areas.
701.05	Proposition 84 Sustainable Communities Planning Grant Program (Round 1)	Perform remaining grant-funded activities in support of 2015 RTP planning and implementation. Includes public outreach in support of Downtown Redding Specific Plan Update.
701.06	Interagency Coordination & Policy Monitoring	Monitor federal and state policy development and provide comments as appropriate. Coordinate planning and resource utilization in partnership with local, state, and federal partners.
701.07	Prop 84 Sustainable Communities Planning Grant Program (Round 2)	Perform grant-funded activities in support of 2015 RTP planning and implementation. Includes SRTA tasks (e.g. consultation with partner agencies, travel demand modeling, air quality modeling, and administration of a development incentive program) and tasks in support of local agency projects (e.g. Redding infrastructure capacity assessment and Shasta Lake General Plan update).
701.09	Air Quality	Monitor and exchange air quality data and information with applicable agencies. Perform vehicle emissions modeling. Planning and support for regional zero-emission vehicle charging facilities.
701.11	Highway and Road Data Collection	Oversee and support local agencies in collecting traffic and pavement condition data for use in the regional travel demand model and federal reporting. Support California Statewide Local Streets and Roads Needs Assessment.
702.01	Transportation Improvement Programs (TIPS)	Begin 2016 Regional Transportation Improvement Program (RTIP). Submit 2015 FTIP for state and federal approval. Amend 2015 FTIP as needed.
702.02	Overall Work Program (OWP) Management & Administration	Fiscal management of current OWP. Prepare amendments as needed. Prepare FY 2015/16 OWP. Agency administration, including human resources, procurement, and fiscal policies.
703.01	Bicycle & Pedestrian Planning	Complete a regionally-coordinated active transportation plan, including coordination with public transportation planning. Support Active Transportation Plan (ATP) and other non-motorized grants. Prepare and administer 2% Transportation Development Act (TDA) Bicycle and Pedestrian Projects Program in consultation with local agencies.
704.01	SRTA Board of Directors and Committee Meetings	Prepare and conduct technical advisory committee meetings, board of directors meetings, and board of directors committee meetings.
704.04	Public Engagement and Information Dissemination	Maintain an up-to-date agency website. Provide access to information regarding the agency's plans, programs, policies, reports, and various meetings.
705.02	Geographic Information Systems (GIS) Data & Management	Develop long-term GIS capabilities in coordination with other agencies. Work to enhance GIS data quality, comprehensiveness, and access for use in planning and analyses.
706.02	Coordinated Transit Planning	Prepare a long-range transit plan. Facilitate and/or support efforts to improve public transportation performance and coordination. Seek capital funding for transit technology. Adopt Coordinated Human Services Transportation Plan.
707.01	Corridor Studies & Project Development	Prepare transportation projects for funding and construction. Participate on project review teams to manage scope, schedule and budget.
707.02	Safe Routes to School Grant	Provide administration for grant-funded tasks, including safety, information, education and other non-infrastructure projects.
708.03	Manage Transportation Development Act (TDA)	Administration in support of TDA-funded projects, including apportionments/allocations, fiscal audits, coordination, and performance monitoring
708.99	Unreimbursed Indirect	Membership dues for California Association of Councils of Governments.
801.01	North State Super Region	Provide administrative support, organize meetings, and prepare and distribute comment letters.

Attachment B

Financial and Accounting Policies and Procedures

Section 1200

1210. Priorities and Procedures for the Distribution of Planning Funds

1210.01. Terms and Conditions.

- 1) The award of planning funds to local agency partners shall be made through the Overall Work Program (OWP) and contracted with SRTA's Sub-Recipient Cooperative Agreement.
- 2) Funds shall be subject to all applicable funding program guidelines.
- 3) SRTA may stipulate a minimum percentage or specific dollar amount in cash and/or in-kind local match.
- 4) All funds shall be provided on a reimbursement basis for deliverable(s) defined in the Sub-Recipient Cooperative Agreement.
- 5) Funds may be subject to an administrative charge of up to fifteen (15) percent, as allowable under the grant program source (*currently applicable to Safe Routes to Schools grants*).
- 6) Awards from SRTA to local agency partners shall be for a period not to exceed two years, unless otherwise specified in the Sub-Recipient Cooperative Agreement.

1210.02. Regional Planning Funds Priorities.

SRTA may contract with local agency partners to accomplish work on behalf of, or in support of, SRTA's core functions and/or auxiliary planning tasks. In addition, after all of SRTA's core functions and/or auxiliary planning responsibilities have been met, local agency planning and planning tools may be funded with regional planning funds. The distribution of regional planning funds to local agency partners shall adhere to the following priority order:

- 1) Core functions, e.g.:
 - a. MPO/RTPA Administration
 - b. Regional Transportation Plan
 - c. Overall Work Program
 - d. Federal Transportation Improvement Program
 - e. Regional Transportation Improvement Program
 - f. Other regional plans and programs required to receive transportation funds
- 2) Auxiliary planning and work tasks in support of SRTA's core functions, e.g.:
 - a. Travel demand model
 - b. Special plans including, but not limited to, modal, technology, and public information plans
 - c. Data and performance measures, including Geographic Information Systems (GIS) data and analysis
 - d. Coordination and consultation
- 3) Grant-funded plans and tools, e.g.:
 - a. As defined by applicable grant agreement

1210.03. Planning Funds Distribution Procedures.

- 1) A local agency-led planning project to be funded all or in part by regionally-administered federal or state funds may be introduced in one of the following ways:
 - a. Direct request from SRTA for a specific project/scope of work;
 - b. Open call for projects from SRTA; and/or
 - c. Local agency request submitted to SRTA.
- 2) Timeline for preparing funding proposals:
 - a. December 1 of each year – SRTA publishes programming priorities for the ensuing fiscal year and, if applicable, issues a direct request and/or call for projects to one or more local agency partners.
 - b. December 31 of each year – Deadline for local agencies to submit a concept proposal.
 - c. January 31 of each year – Deadline to submit a detailed scope of work, schedule, and deliverable(s) for inclusion in the upcoming fiscal year OWP.
 - d. June 30 of each year– Deadline to execute Sub-Recipient Cooperative Agreement.
- 3) For discretionary grant funds, where SRTA is the lead agency or designated recipient of such funds, the introduction and timing set forth above may be adjusted to accommodate the grant program.

1210.04. Project Initiation and SRTA Involvement.

- 1) Notice to proceed shall be issued by SRTA before reimbursable work may begin.
- 2) As the responsible entity for all expenditures of regional planning funds, SRTA shall be afforded a direct role in all work tasks, including but not limited to:
 - a. Consultant procurement processes;
 - b. Meetings and public outreach;
 - c. Receipt of timely quarterly project status updates and invoicing; and
 - d. Opportunity to review and comment on preliminary and draft documents.
- 3) Deliverable(s) shall, upon request, be formally presented at an SRTA Board of Directors meeting, for information, acceptance, approval, or other appropriate action.

California Planning Emphasis Areas For Program Year 2014

Planning emphasis areas (PEAs) are policy, procedural and technical topics that Federal planning fund recipients must consider when preparing work programs for metropolitan and statewide planning and research assistance programs.

The Federal Highway Administration (FHWA) California Division and Federal Transit Administration (FTA) Region IX have identified the following emphasis areas for California's transportation planning and air quality program in Federal FY 2014.

Core MPO Planning Functions

The FHWA and FTA advise all Metropolitan Planning Organizations (MPOs) to explicitly identify Core MPO Planning Functions in their 2014 Overall Work Programs (OWP). The work elements and tasks must provide sufficient detail (i.e. activity description, expected products, schedule, cost, etc.) to explain the purpose and results of the work to be accomplished during the program year. Further, the OWPs must clearly state how to ensure all activities and products mandated by the metropolitan transportation planning regulations in 23 CFR 450 are for FHWA and FTA combined planning grant funding available to the region. (see 23 CFR 420.111 for documentation requirements for FHWA Planning funds).

The Core Functions can be found in 23 CFR 450, Subpart C, and typically include:

- Overall Work Program
- Public Participation and Education
- Regional Transportation Plan
- Federal Transportation Improvement Program
- Congestion Management Process (required for TMAs)
- Annual Listing of Projects

Performance Management

Since MAP-21 passed in 2012, there have been several outreach efforts in California providing information for its implementation. Despite the fact that the regulatory framework for implementing the MAP-21 Performance Management requirements has not yet been established, MPOs are strongly encouraged to use their OWPs to highlight their efforts toward establishing performance measures for the following required areas:

- Pavement condition on the Interstate System and on remainder of the National Highway System (NHS)
- Performance of the Interstate System and the remainder of the NHS
- Bridge condition on the NHS
- Fatalities and serious injuries—both number and rate per vehicle mile traveled--on all public roads
- Traffic congestion
- On-road mobile source emissions
- Freight movement on the Interstate System

Safety

MAP-21 continued the Highway Safety Improvement Program (HSIP) as a core Federal-aid program. The overall purpose of this program is to achieve a significant reduction in traffic fatalities and serious injuries on all public roads (including non-State-owned public roads and roads on tribal lands) through the implementation of infrastructure-related highway safety improvements.

The specific provisions pertaining to the HSIP are defined in Section 1112 of MAP-21, which amended Section 148 of Title 23, *United States Code* (23 USC 148) to incorporate these provisions. These requirements include the development of Strategic Highway Safety Plan (SHSP) in consultation with other key State and local highway safety stakeholders.

The 2014 OWP's should identify all safety planning efforts undertaken for Regional Transportation Plans and FTIPs, and ensure that safety projects and programs are consistent with the Caltrans SHSP.

Livability/Sustainability

Livability/Sustainability is about tying the quality and location of transportation facilities to broader opportunities such as access to good jobs, affordable housing, quality schools, and safe streets. This includes addressing safety and capacity issues on all roads through better planning and design, maximizing and expanding new technologies such as ITS and the use of quiet pavements, using Travel Demand Management approaches to system planning and operations, etc. MPOs are encouraged to assure that new Regional Transportation Plans incorporate the following livability/sustainability principles:

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|---|--|
| • Provide more transportation choices | • Support existing communities |
| • Promote equitable, affordable housing | • Leverage Federal policies & investment |
| • Enhance economic competitiveness | • Value communities and neighborhoods |

State of Good Repair

The President has called for new state-of-good-repair (SGR) investments in our nation's transit systems, sounding the call to reinvest in and modernize our assets. MAP-21 places new emphasis on restoring and replacing aging transportation infrastructure by establishing a new needs-based formula program, with a new tier for high-intensity bus needs. The new program defines eligible recapitalization and restoration activities, with a goal of bringing all systems into a state of good repair. Grantees are required to establish and use an asset management system to develop capital asset inventories and condition assessments, and report on the condition of their system as a whole.

Maintaining transit systems in a high state-of-good-repair is essential for the provision of safe and reliable service. SGR is the effective recapitalization of transit assets, identifying critical timing for preventive maintenance and increasing the focus on asset management practices. It also includes the assessment of capital asset condition, strategies to obtain additional local re-investment including innovative financing strategies and additional identification of preventive maintenance practices. MPOs are encouraged to support planning strategies for the effective recapitalization of transit assets that would include:

- Asset Management, Assessment and Replacement Planning,
- Planning and Programming for Effective Preventive Maintenance, and
- Planning Innovative Financing Strategies for System Repair and Expansion.

Attachment D

SHASTA COUNTY RTPA POLICY AND PROCEDURE MANUAL		Number
		5-1 Rev.1
SECTION: Rules of the Shasta County RTPA	Policy to Prioritize the Distribution of Federal Planning Funds	
APPROVAL DATE: Rev No1. 2/26/08		
Page No. 1 of 2		

POLICY TO PRIORITIZE THE DISTRIBUTION OF FEDERAL PLANNING FUNDS

INTRODUCTION

Annually, the Shasta County Regional Transportation Planning Agency (RTPA) is allocated Metropolitan Planning Funds (PL) to perform mandated transportation planning for Shasta County in accordance with the Memorandum of Understanding between the Shasta County RTPA and Caltrans. These responsibilities are performed by RTPA staff under the direction of the SCRTPA Executive Director.

Funds are budgeted through the Overall Work Program (OWP). There is an 11.47% agency match. The PL match requirements for these tasks shall be provided from Transportation Development Act (TDA) funds, or other available revenue sources that are authorized for administrative uses. These funds are subject to annual audits. The RTPA shall maintain \$450,000 in reserve to cover contingencies and delays in the federal budget process.

FUNDING PRIORITIES

- Priority 1. RTPA core planning functions. Processes and reports required to be completed with PL funds are:
- Regional Transportation Plan (RTP) – Every five years (due to federal air quality attainment)
 - Traffic model runs and updates
 - Traffic volume inventories
 - Highway Pavement Management System
 - Public transit participation in the RTPA planning process
 - Non-motorized planning
 - Review of Transportation Enhancement projects
 - Regional aviation system planning
 - Federal Transportation Improvement Program (FTIP/FSTIP) – Biennial update of a four-year program
 - Regional Transportation Improvement Program (RTIP) – Biennial update of a five-year program
 - Review of State Highway Operations and Protection Program (SHOPP)
 - Review of development projects in accordance with the Office of Planning Research procedures
 - Planning policy meetings, RTPA meetings, and training
 - Transportation Development Act administration
 - Inclusion of public transportation providers in the planning process
 - Review of public transit performance

- Overall Work Program (OWP) – January of each year
 - Adoption and maintenance of a participation plan for transportation planning
 - Public outreach
 - Coordinated Human Transportation Plan updates (follows RTP cycle)
 - Coordination with Caltrans to satisfy federal planning and programming processes
 - Consultation with tribal governments in the planning process
 - Ensure that plans, programs and projects conform to applicable air quality standards
 - Collect and analyze data reflecting existing and historical information that is the basis for local project cost estimates and revenue projections
 - Environmental stewardship in planning and programming transportation projects
 - Intelligent Transportation Systems implementation and updates
 - Area transportation plans and revenue programs
 - RTPA administration – meetings, fiscal audits, accounting, administer grants, correspondence, and legal counsel
- Priority 2. RTPA planning functions performed by outside consultants under contract to the RTPA and planning functions performed by member agency staff in support of RTPA core planning functions.
- Agency bike plan updates
 - Short- and Long-Range Transit Plan updates including review and implementation
 - Public transit administration – analysis of ridership, internal circulation planning, conferences, RTPA meetings, and preparation of grant applications
- Priority 3. RTPA planning functions performed by member agency staff in support of ongoing data collection that relates to state and federal Planning Emphasis Areas (PEAs).
- Accident surveillance
 - Traffic device control and inventories
 - Studies related to traffic circulation
 - Transportation safety management and monitoring
 - Deficiency and needs studies
- Priority 4. Projects in support of regional plans and programs that include the state highway system.
- Priority 5. Projects in support of regional plans and programs that do not include the state highway system.