

REPORT TO SHASTA COUNTY RTPA

SUBJECT	MEETING DATE	ITEM NUMBER
Conduct Public Hearing and Consider Amendment # 2 to the 2001/02 Overall Work Program and adoption of the 2002/03 Overall Work Program	04/23/02	6

RECOMMENDATION

It is recommended that the Agency:

1. Hold a public hearing;
2. Consider the recommendation to approve amendment # 2 of the 2001/2002 OWP
3. Take testimony on the proposed 2002/03 Overall Work Program; and
4. Authorize the Chairman to sign the Certifications and Assurances for Federal Transit Administration Assistance Programs; and
5. Adopt Resolution No. 02-04 certifying compliance with federal joint urban transportation planning regulations and adopting the 2002/03 Overall Work Program.

SUMMARY

The 2002/2003 Overall Work Program (OWP) is required for regional transportation planning agencies designated as the Metropolitan Planning Organization (MPO) to receive state and federal planning funds. The OWP has been developed in cooperation with the cities, RABA, Caltrans and Shasta County and incorporates all the comments received from the Federal Highway Administration (FHWA), the Federal Transit Administration (FTA), Caltrans District 2 and Caltrans Headquarters. Another requirement is to certify that federal funds will not be used for lobbying purposes.

The current year OWP needs to be amended based upon the notification of a reduction in FHWA PL Apportionment funding available in the period. A total reduction of \$2,403.00 to the current OWP is required. This amendment action will be reflected as a downward adjustment to the FHWA budget in Work Element 701.05 of \$2,156.00 and \$247.00 of TDA.

DISCUSSION

State and Federal regulations governing the metropolitan transportation planning process require the development of an annual budget by each Metropolitan Planning Organization (MPO) called the Overall Work Program (OWP) to define the tasks to be accomplished, the type and amount of funding and the participants in the transportation planning process. The 2002/03 Overall Work Program has been prepared after receiving and incorporating input from the cities, County, RABA and Caltrans and has been reviewed by the funding agencies which include the Federal Highway Administration (FHWA), Federal Transit Administration (FTA) and Caltrans. Funding agency comments and responses have been included in the final draft. Federal law requires that the OWP also contain a certification that none of the funds received are used for lobbying purposes.

The 2002/03 OWP includes funding to prepare, monitor and implement all the planning documents and processes that are required. This includes the Regional Transportation Plan (RTP), the Regional Transportation Improvement Plan (RTIP),

bike and aviation plans, and the Federal Transportation Improvement Plan (FTIP). This OWP includes funds to comply with the Air Quality Conformity rules that go into effect when Shasta County is designated a Federal Non Attainment Area (July 2003). Implementing the adopted Public Involvement Plan is incorporated into this budget.

These processes and plans can be considered the "core," or, basic functions of the RTPA. These plans are prepared by Shasta County staff under the direction of the Executive Officer. Other local agencies participate as stakeholders, mainly by attending meetings and commenting on the work done by staff. This OWP funds these "core" RTPA functions 100% from Federal Planning funds and TDA resources.

To fund all the "core" functions as well as the requests from all the local agencies, spends 100% of the funds to be made available to the RTPA for the current year. These functions and requests were funded in accordance with the Agency's adopted policy 5-1. This policy determines the order in which to prioritize these local agency requests in the event such requests exceed the funding available. This policy addresses how competing projects are evaluated, what type of accountability is required and what deliverables are required.

Total funding for the Work Program is \$905,662. A break down of the funding is presented in the following table.

	FHWA PL	TDA	FTA	INKD	TOTAL	INCLUDED IN TOTALS	
						Consultant	Fixed Asset
County-RTPA	\$ 315,006.00	\$ 201,880.00	N/A		\$ 516,886.00	\$ 91,000	\$ 35,000
County	\$ 34,117.00	\$ 816.00	N/A	\$ 3,604.00	\$ 38,537.00		\$ 6,000
Redding	\$ 157,624.00	\$ 766.00	N/A	\$19,656.00	\$ 178,046.00	\$ 75,000	\$ 19,000
Shasta Lake	\$ 35,412.00	\$ 136.00	N/A	\$ 4,452.00	\$ 40,000.00	\$ 22,685	\$ -
Anderson	\$ 36,486.00	\$ 984.00	N/A	\$ 3,743.00	\$ 41,213.00	\$ 20,000	\$ -
RABA	N/A	\$ 356.00	\$80,545.00	\$10,079.00	\$ 90,980.00	\$ 49,500	\$ 8,500
Totals	\$ 578,645.00	\$ 204,938.00	\$80,545.00	\$41,534.00	\$ 905,662.00	\$ 258,185	\$ 68,500

The Shasta County Regional Transportation Planning Agency was initially allocated \$416,625 FHWA PL Funds for the current year. This allocation is based on a three component formula: a base amount, a population total using Department of Finance's (DOF) estimates, and an air quality multiplier for nonattainment areas.

The 2001/2002 initial allocation formula was calculated from the January 2001 DOF estimate, which was based on 1990 census numbers. In February 2002, the 2000 census numbers became available and the DOF estimates were recalculated using the 2000 census actual count numbers. This population recalculation resulted in a decrease in FHWA funds to an allocation of \$414,469 of FHWA funds available. The 2001-02 OWP must be amended to reflect this decrease in PL funding. This is the second amendment to the OWP in this period.

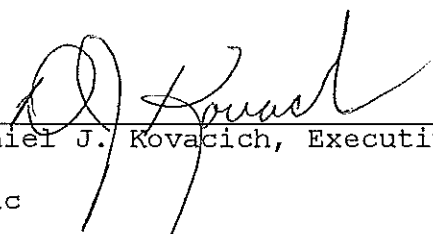
OTHER AGENCY INVOLVEMENT

Funding agencies are the Federal Highway Administration, Federal Transit Administration, and Caltrans. Participating agencies are Shasta County, the cities of Redding, Anderson, and Shasta Lake, Redding Area Bus Authority, and Caltrans. This item was discussed at the TAC meeting of April 9, 2002.

FINANCING

Funding sources affected by Amendment # 2 of the 2001/2002 OWP are the Federal Highway Administration PL funds and Transportation Development Act Funds. This minor reduction in resources will not impact the current year activities.

Total funding for the 2002/2003 Overall Work Program is \$905,662. This amount is made up of \$578,645 in Federal funds, \$204,938 in TDA funds, \$80,545 in FTA funds, and \$41,534 in "In-kind" commitments. Section III of the OWP contains a two page financial summary.



Daniel J. Kovacich, Executive Officer

/jac

Attachments: Resolution No. 02-04
Certifications and Assurances for Federal Transit
Administration Assistance Programs
2002/03 Overall Work Program (Agency Members only)
Revised pages 22 & 23 of 2001/2002 OWP
Revised Available Revenue by Source
Revised Financial Summary for 2001/2002
DOT Letter dated March 4, 2002.

RESOLUTION NO. 02-04

ADOPTING THE 2002/2003 OVERALL WORK PROGRAM AND CERTIFYING COMPLIANCE
WITH FEDERAL JOINT URBAN TRANSPORTATION PLANNING REGULATIONS

WHEREAS, the Federal Highway Administration and Federal Transit Administration, as a condition to the allocation of federal transportation planning funds, require each metropolitan planning organization to annually develop a comprehensive Overall Work Program as a planning, programming and budgeting tool for the coming fiscal year; and

WHEREAS, the joint urban transportation planning regulations require each metropolitan planning organization (MPO) to certify that its planning process is being carried out in conformance with the following federal rules and regulations:

- 1) 49 U.S.C., Chapter 53 Sections 5303-5306 (formerly Section 8 of the Federal Transpiration Act),
- 2) Sections 174 and 176(c) and (d), and of the Clean Air Act (42 USC 7504, 7506(c) and (d),
- 3) Title VI of the Civil Rights Act of 1964 and Title VI assurance executed by the State under 23, USC 324 and 29 USC 794,
- 4) Section 1003(b) of the Transportation Efficiency Act (TEA-21) of 1998 (Pub. L. 102-240) regarding the involvement of disadvantaged business enterprises in FHWA and FTA funded planning projects (Sec. 105(f), Pub. L. 97-424, 96 Stat. 2100; 49 CFR Part 23),
- 5) The provisions of the Americans with Disabilities Act of 1990 (Pub. L. 101-336, 104 Stat. 327, as amended) and U.S. DOT regulations "Transportation for Individuals with Disabilities" (49 CFR Parts 27, 37, and 38), and;

WHEREAS, the draft Overall Work Program has been reviewed and is found to conform to the above federal planning regulations and to reflect the priorities, scope of work, and level of effort desired for regional transportation planning for fiscal year 2002/2003 and

WHEREAS, the draft Overall Work Program was submitted to the State and Federal funding agencies for review, comment and recommendation; and

WHEREAS, comments and recommendations of funding agencies and the Intermodal Planning Group have been received and incorporated into the final Program draft;

NOW, THEREFORE, BE IT RESOLVED that the Overall Work Program for 2001/2002 is approved and adopted.

FURTHER, BE IT RESOLVED that Shasta County Regional Transportation Planning Agency certifies that the transportation planning process is being carried out in conformance with all applicable federal requirements.

PASSED AND ADOPTED this 23rd day of April, 2002, by the Shasta County Regional Transportation Planning Agency.

Norma Connick, Chairman
Shasta County Regional
Transportation Planning Agency

CERTIFICATIONS AND ASSURANCES FOR FISCAL YEAR 2002/03

Name of Applicant: Shasta County Regional Transportation Planning Agency

Name of Authorized Representative: Norma Cornick

Relationship of Authorized Representative: Chair

BY ENDORSING THIS SIGNATURE PAGE, Norma Cornick declares that she is duly authorized by the Applicant to make the certifications and assurances on behalf of the Applicant and bind the Applicant to comply with them. Thus, when its authorized representative signs this document, the Applicant agrees to comply with all Federal statutes, regulations, executive orders, and administrative guidance required for any application it makes to the Federal Transit Administration (FTA) during Fiscal Year 2002/2003.

The California State Department of Transportation and FTA intend that the certifications and assurances under Category 1, "Certifications and Assurances Required of Each Applicant" and Category III, "Lobbying Certification Required for Each Application Exceeding \$100,000, should apply, as required, to each project for which the Applicant seeks now, or may later, seek FTA assistance during Fiscal Year 2002/2003.

The Applicant affirms the truthfulness and accuracy of the certifications and assurances it has made in the statements submitted herein with this document and any other submission made to FTA, and acknowledges that the provisions of the Program Fraud Civil Remedies Act of 1986, 31 U.S.C. 3801 et seq, as implemented by DOT regulations, "Program Fraud Civil Remedies," 49 CFR part 3.1 apply to any certification, assurance or submission made to FTA. The criminal fraud provisions of 18 U.S.C. 1001 apply to any certification, assurance, or submission made in connection with the FTA formula assistance program for urbanized areas, and may apply to any other certification, assurance, or submission made in connection with any program administered by FTA.

In signing this document I declare under the penalty of perjury that the foregoing certifications and assurances, and any other statements made by me on behalf of the Applicant are true and correct.

Date:

Authorized Representative of Applicant

(except in the case of projects under FTA's university and research training program authorized by 49 U.S.C. 5312(b), the Applicant's legal counsel is required to affirm the legal capacity of the Applicant.)

AFFIRMATION OF APPLICANT'S ATTORNEY for Shasta County Regional Transportation Planning Agency

As the undersigned legal counsel for the above named Applicant hereby I affirm that the Applicant has authority under state and local law to make and comply with the certifications and assurances as indicated in the foregoing pages. I further affirm that, in my opinion, the certifications and assurances have been legally made and constitute legal and binding obligations on the Applicant.

I further affirm that to the best of my knowledge, there is no legislation or litigation pending or threatened that might adversely affect the validity of these certifications and assurances, or the performance of the project. Furthermore, if I become aware of circumstances that change the accuracy of the foregoing statements, I will notify the Applicant, the California State Department of Transportation and FTA.

Date:

Applicant's Attorney

**701.00 PREPARATION AND ADMINISTRATION OF THE REGIONAL
TRANSPORTATION PLAN (RTP)**

Purpose

The Regional Transportation Plan is intended to guide the achievement of a coordinated and balanced regional transportation system including mass transportation, highway, railroad and aviation facilities and services, and the potential of Intelligent Transportation Systems (ITS). The RTP is to be action-oriented and pragmatic, considering both the short and long-term future, and must present clear, concise policy guidance to local and state officials. Additional work tasks to comply with state and federal mandates concerning air quality conformity requirements and administering a new source of funding for Shasta County (CMAQ).

The RTP must consider the potential effects of all transportation decisions and projects, including social, economic, energy and environmental effects, and should provide for RTPA participation in the NEPA/Clean Water Act Section 404 process. Because Shasta County will not conform to the new federal 8-hour ozone standard, the RTP will need be modeled and a conformity finding made prior to July 2002.

The RTP must also provide for early consultation and cooperation with state and federal agencies on major metropolitan transportation investments analysis in accordance with federal regulations (23 CFR 450.318).

Previous and Ongoing Work

- 1998 Regional Transportation Plan update (previous).
- 2001 RTP draft (ongoing).
- Participate on the Regional Team for the COATS ITS Study. (ongoing)

<u>Task</u>	<u>Est. Cost (x \$1,000)</u>	<u>Description/Estimated Completion</u>
701.01	47.8	Bring RTPA traffic model in-house. Prepare model runs and related evaluations of inputs and outputs.-/Continuing.
701.02	17.3	Development of draft 2004 Regional Transportation Plan, including a constrained financial element, incorporating State funding priorities, comments and recommendations pertaining to the 2001 RTP update, and results of the public involvement process; RTP EIR./ongoing.
701.03	6.9	Review and evaluate comments made on the 2001 RTP update by Caltrans, FHWA, local entities and other interested parties in order to incorporate the necessary revisions in the next RTP amendments /June 2002.
701.04	10.8	Develop and administer CMAQ process/Continuing

701.05	29.1	Administer contract with air quality and traffic model consultants for air quality conformity activities. In support of RTP update./June 2002
701.06	6.1	Maintain a working group to better coordinate the regional transportation plan update.
701.07	2.5	City of Anderson - Review of City General Plan to insure consistency with RTP/June 2002
701.08	4.1	City of Redding - Review of City General Plan to insure consistency with RTP/June 2002
Total	124.9	

Products/Completion Target Dates

- 2001 Regional Transportation Plan, June/2001.
- Regional Transportation Plan Working Group. Ongoing
- Complete CEQA review of the RTP. February/2002
- Complete Air Quality Conformity Analysis and Finding for 2001 RTP Amendment./June 2002
- Administer CMAQ Program. Ongoing
- Integrate ITS projects in the RTP based on CORTS study.

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**SHASTA COUNTY REGIONAL TRANSPORTATION PLANNING AGENCY
2001 - 2002 OVERALL WORK PROGRAM
Available Revenue by Source**

Sources of Revenue:	Amount
Federal Highway Administration (FHWA) PL Funds 2001/2002 Allocation	414,469
Federal Highway Administration (FHWA) PL Funds - Carryover from Prior Years	159,087
Federal Transit Administration (FTA) Planning (Section 5303) Funds 2001/2002 Allocation	41,735
Federal Transit Administration (FTA) Section 5303 - Carryover from Prior Years	29,768
Transportation Development Act Funds Allocated for Administration and Planning	203,635
Local In-Kind Match	51,811
Federal Aviation Administration	0
State Planning Partnership	0
State Subvention	0
Match (Caltrans)	0
Total Resources:	\$900,496
Total Expenses In OWP:	\$900,496
Difference between Revenues and Expenses	0

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SHASTA COUNTY REGIONAL TRANSPORTATION PLANNING AGENCY FINANCIAL SUMMARY FOR 2001 - 2002 BY FUNDING SOURCE AND LOCAL AGENCY 2001 - 2002 OVERALL WORK PROGRAM			A G E N C I E S					F U N D I N G	
			SHASTA CO	REDDING	SHASTA LAKE	ANDERSON	RABA	FWA PL	F
Work Element and Description	Funding Sources								
701 Preparation and Administration of the Regional Transportation Plan	FWA PL	104,673	3,653		2,239			110,577	
	FTA 5303								
	INKIND		0		0				
	IDA	13,591	475		290				
	STATE								
701 Subtotal		118,264	4,140		2,529			110,577	
702 Traffic Circulation Systems	FWA PL	69,239	84,941	29,374	3,366			186,941	
	FTA 5303								
	INKIND	8,971	11,605	3,806	439				
	IDA	0	0						
	STATE								
702 Subtotal		78,210	96,546	33,180	3,805			186,941	
703 Public Transportation	FWA PL							0	
	FTA 5303						71,493		
	INKIND						8,774		
	IDA	54,578					489		
	STATE								
703 Subtotal		54,578	0	0	0	80,756		0	
704 Non motorized	FWA PL	7,108	3,842	758	4,280			16,027	
	FTA 5303								
	INKIND		498	103	555				
	IDA	921							
	STATE								
704 Subtotal		8,029	4,340	901	4,835	0		16,027	
705 Aviation	FWA PL	1,965						1,965	
	FTA 5303								
	INKIND								
	IDA	255							
	FAA	0	0						
705 Subtotal		2,220	0	0	0	0	0	1,965	

Go to Page 2 of Revenue by Source

DEPARTMENT OF TRANSPORTATION

District 2
Office of Regional Planning
1657 Riverside Drive
Redding, CA 96001
TDD (530) 225-2019
PHONE (530) 225-3481
FAX (530) 225-3578



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70105

March 4, 2002

RECEIVED

MAR 06 2002

DEPT. OF PUBLIC WORKS

Dan Kovacich, Executive Officer
Shasta County Regional Transportation Planning Agency
1855 Placer Street
Redding, CA 96001

Attention: Bill Ramsdell

Dear Mr. Kovacich:

Attached is a memorandum from the Office of Regional and Interregional Planning (ORIP), dated February 14, 2002, providing the final Federal Highways Administration (FHWA) Metropolitan Planning (PL) allocations for Fiscal Year 2001/2002.

The approved Shasta Regional Transportation Planning Agency's (RTPA's) FY 2001/2002 Overall Work Program (OWP) and Overall Work Program Agreement (OWPA) identified PL of \$416,625 (not including carryover). Per the attached memorandum, Shasta RTPA's final FY 2001/2002 PL allocation is reduced to \$414,469. Since Shasta's final FY 2001/2002 allocation is lower than the initial amount identified in the OWPA by \$2,156, an amendment is needed to the Overall Work Program and OWPA. Amendments are required by April 1, 2002; however, Debbie Pedersen has obtained approval from ORIP to allow your amendment to be submitted and processed after the April 23, 2002, RTPA meeting. Please forward the Draft OWP Amendment to Debbie Pedersen when it has been completed. Upon RTPA adoption, an OWPA will be provided for execution.

If you have any questions or comments please contact Debbie Pedersen at (530) 225-3259.

Sincerely,

A handwritten signature in dark ink, appearing to read "Donald L. Anderson".

DONALD L. ANDERSON, P.E.
Chief, Office of Regional Planning

Attachment

c: DPedersen

Memorandum

To: Deputy District Directors for
Planning and Public Transportation

Date: February 14, 2002

Attn: Regional Planning Branch Chiefs

From: **DEPARTMENT OF TRANSPORTATION**
Division of Transportation Planning

Subject: Federal Highway Administration (FHWA) Metropolitan Planning (PL) allocations
for Fiscal Year (FY) 2001/2002

Attached is a chart with the final FHWA PL allocations for FY 2001/2002 by Metropolitan Planning Organizations (MPOs).

For twelve of the MPOs this allocation is lower than the amount listed in the chart on page 1 of the Overall Work Program (OWP) Guidance dated December 4, 2001. These twelve MPOs need to amend out any overage encumbered through their OWPs and Overall Work Program Agreements (OWPAs). The four MPOs whose allocation is higher, may either amend in these amounts and the activities they will fund, or they may elect to carry over these amounts for expenditure in a subsequent year.

The last date to submit OWP and OWPA amendments to the California Department of Transportation (Department), Districts, and the Office of Regional and Interagency Planning in Headquarters, is April 1, 2002.

There are two reasons why the allocations MPOs' 2001/2002 are different: the total PL apportioned to California was reduced, and the 2000 U.S. Census changed California Department of Finance (DOF) population estimates.

In December 2001, FHWA provided a PL apportionment Notice showing California's amount as \$30,064,602.00, i.e., the amount reflected in the *OWP Guidance*. FHWA later cancelled the Notice with this amount and issued a new Notice showing California's apportionment at \$30,042,000.00, a reduction of \$22,000.00.

Each MPO's allocation of PL is based on a three-component formula: a base amount, a population total using DOF's January estimates, and an air quality multiplier for nonattainment areas.

DOF's January population estimates are based on the latest census, with additional data such as automobile registrations, etc., factored-in for subsequent years. DOF's January 2001 estimate was based on the 1990 Census numbers because 2000 Census numbers were not yet available.

When the 2000 Census numbers became available, DOF revised its estimates, for later years in the 1990s, as well as for 2000 and 2001. The February 2002 DOF estimate for January 2001 is based on the 2000 Census plus an "undercount" adjustment, which the federal government has disallowed. DOF will again recalculate its January 2001 estimates using 2000 Census actual count numbers, but these new population numbers will not be available for several weeks.

Because MPOs need to have sufficient time to complete additional activities if they add funds to their OWPs or need time to reprioritize work if funds are being reduced in their OWPs, we determined to use DOF's February 2002 estimates for January 2001 for the MPOs' PL allocations for 2001/2002.

The change in PL Notice by FHWA and the population recalculations by DOF resulted in twelve MPOs having lower allocations. These MPOs must amend out the overages in their OWPs and OWPAs prior to April 1, 2002. The four MPOs whose apportionment is higher, may elect to expend these funds in a later year.

Should you have any questions or need additional information, please call Brigitte Jaensch at (916) 653-9072/8-453-9072 or contact your District Liaison:

Districts 2, 4, and 5	Andrew Knapp	(916) 651-8202/8-461-8202
Districts 3, 6, 10, and 11	Dara Wheeler	(916) 653-2355/8-453-2355
Districts 7, 8, and 12	Michelle Gallagher	(916) 653-8766/8-453-8766



Sharon Scherzinger, Chief
Office of Regional and Interagency Planning

c: Dennis Scovill, FHWA
Sue Kiser, FHWA
Bill Haas, FHWA
ORIP Staff

FHWA Metropolitan Planning (PL) Allocation for FFY 2001/2002

Southern California Association of Governments (SCAG)	\$13,176,988
Metropolitan Transportation Commission (MTC)	\$5,315,226
San Diego Association of Governments (SANDAG)	\$2,431,368
Sacramento Area Council of Governments (SACOG)	\$1,782,282
Council of Fresno County Governments (COFCG)	\$929,030
Kern Council of Governments (KCOG)	\$830,582
Association of Monterey Bay Area Governments (AMBAG)	\$822,438
San Joaquin County Council of Governments (SJCOG)	\$757,797
Stanislaus Area Association of Governments (StanCOG)	\$653,947
Santa Barbara County Association of Governments (SBCOG)	\$612,824
Tulare County Association of Governments (TCAG)	\$584,144
Merced County Association of Governments (MCAG)	\$469,545
San Luis Obispo Council of Governments (SLOCOG)	\$460,950
Butte County Association of Governments (BCAG)	\$453,906
Shasta County Regional Transportation Planning Agency (Shasta)	\$414,469
Tahoe Metropolitan Planning Organization (TMPO)	\$348,758
Grand Total	\$30,044,254

Previous
416,625

The formula for PL funds is divided into three components: (1) a base allocation, (2) an air quality component based on the proportion of Congestion Mitigation /Air Quality (CMAQ) funds to total programmatic PL fund sources, and (3) a population component based upon January 2001 Department of Finance estimate, which distributes funds by proportion of total population of each MPO. These funds are only available on a reimbursement basis.