STAFF REPORT

Shasta County Regional Transportation Planning Agency

MEETING DATE:	**May 22, 2012**
SUBJECT:	**Adopt the 2012/13 Overall Work Program (OWP)**
AGENDA ITEM:	**7**
STAFF CONTACT:	**Daniel Little**

SUMMARY:

The OWP is the agency's annual program of transportation planning activities and corresponding budget. Approval by federal and state funding partners, certification by the federal government and board adoption are prerequisites to receiving federal and state funding.

STAFF RECOMMENDATION:

It is recommended that the board hold a public hearing and adopt the 2012/13 OWP pursuant to Resolution No. 12-05.

DISCUSSION:

Federal and state regulations governing the metropolitan transportation planning process requires the development of an OWP and corresponding budget detail. The OWP covers the next fiscal year (July 1 to June 30) and contains a prospectus, financial summary, and an overview of planning activities organized by work element. Work elements describe the agency's planning activities, products, and schedule.

The agency's draft 2012/13 OWP was submitted to federal and state funding partners (California Department of Transportation (Caltrans), Federal Highway Administration (FHWA) and Federal Transit Administration (FTA)) for review and certification that all activities are consistent with applicable statutes and regulations.

Based on comments received, changes were made to the draft 2012/13 OWP in several key areas:

Pass-thru funding to local agencies for special projects was suspended – New projects (i.e. Anderson's Bicycle Plan, the County's Gas Point Road Study, and Redding's corridor study) along with associated funding have been removed from the OWP until such time as formal agreements can be developed between the RTPA and local agencies to the satisfaction of FHWA. Projects in the prior year's OWP were carried over (i.e. the City of Redding's sidewalk assessment for compliance with the Americans with Disabilities Act (ADA)).

An 'indirect costs allocation plan' (ICAP) was added – Indirect costs are incurred for functions not easily assigned to a specific work element, such as overhead and general management. Indirect costs are summarized via work element 700.99 and distributed throughout the OWP by way of a percentage formula among eligible work elements/activities. The ICAP is an accounting process used to determine which costs of the OWP should be borne by the federal government and subsequently reimbursed to the agency.

Miscellaneous other changes:
The following additional refinements were made to the 2012/13 OWP in response to reviewer feedback:

- The prospectus was expanded to include discussion of metropolitan planning organization (MPO) planning responsibilities;
- Work element descriptions were expounded to better inform the reader with regard to respective objectives, tasks, and products; and
- Where consultant fees and staff labor for the same project were previously separate work elements, they have now been combined under a single work element.

Adoption of the 2012/13 OWP will allow staff to carry out transportation planning activities consistent with federal and state requirements while still meeting regional needs and goals.

ALTERNATIVES:
The board may decline to approve the OWP; this is not recommended as the agency would not be eligible for federal or state funds.

OTHER AGENCY INVOLVEMENT:
Funding partners include the FHWA, FTA, Caltrans and the California Transportation Commission. Participating agencies are the cities of Anderson, Redding and Shasta Lake, the County of Shasta, and the Redding Area Bus Authority (RABA). The Technical Advisory Committee concurs with the staff recommendation.

FINANCING:
Total funding for the 2012/13 OWP is $1,840,583. This is within $10,000 of last year's budget, but includes $151,000 in support costs previously paid for by the county.

Consistent with RTPA Policy 5-1, $450,000 in federal planning funds are reserved to cover contingencies and delays in the federal budget process.

Daniel S. Little, AICP, Executive Director

Attachments: Resolution No. 12-05
Financial Summary
ICAP/ICRP Submission Certification
2012/13 Overall Work Program http://www.scrtpa.org/RT_OWP.html

RESOLUTION

Shasta Regional Transportation Agency

RESOLUTION NUMBER:	**12-05**
SUBJECT:	**Adopting the 2012/13 Overall Work Program for Shasta County**

WHEREAS, the Federal Highway Administration (FHWA) and Federal Transit Administration (FTA), as a condition to the allocation of federal transportation planning funds, require each Metropolitan Planning Organization (MPO) to annually develop a comprehensive Overall Work Program (OWP) as a planning, programming and budgeting tool for the coming fiscal year; and

WHEREAS, the Shasta Regional Transportation Agency (SRTA) has developed OWP activities and projects that are mandated by metropolitan planning regulations; and

WHEREAS, the draft OWP was submitted to state and federal funding agencies for review, comment and recommendations; funding agency comments were incorporated into the final OWP; and

WHEREAS, the draft OWP has been reviewed and is found to conform to all state and federal planning regulations and to reflect the priorities, scope of work and level of effort required for regional transportation planning for fiscal year 2012/13.

NOW, THEREFORE, BE IT RESOLVED that the 2012/13 OWP is approved and adopted.

NOW, THEREFORE, BE IT FURTHER RESOLVED that the Shasta Regional Transportation Agency:

1. Certifies that certifications and assurances required by the FHWA and FTA are included in the 2012/13 OWP; and

2. The chair is authorized to sign the annual certifications and assurances for FHWA and FTA assistance programs; and

3. The executive director is authorized to make modifications, as requested, by the FHWA for minor, non-financial administrative changes.

PASSED AND ADOPTED this 22nd day of May, 2012, by the Shasta Regional Transportation Agency.

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Leonard Moty, Chair
Shasta Regional Transportation Agency

SHASTA COUNTY REGIONAL TRANSPORTATION PLANNING AGENCY
FINANCIAL SUMMARY BY LOCAL AGENCY
2012/2013 OVERALL WORK PROGRAM

Work Element	Description	Funding Sources	RTPA	COUNTY	REDDING	S. LAKE	ANDERSON	RABA	TOTAL	% of Budget
			LOCAL AGENCY							
701	System Planning	FHWA PL	$ 198,822	$ -	$ 65,065	$ -	$ 4,701		$ 268,588	
		Prop 84							$ -	
		SPR	$ 170,000						$ 170,000	
		PPM	$ 138,327	$ 10,000	$ 20,000	$ 10,000	$ 10,000		$ 188,327	
		Total 701	**$ 507,149**	**$ 10,000**	**$ 85,065**	**$ 10,000**	**$ 14,701**	**$ -**	**$ 626,915**	**34.06%**
702	Financial Planning and Programming	FHWA PL	$ 117,495						$ 117,495	
		FHWA Carryover	$ 115,255						$ 115,255	
		PPM	$ 15,021						$ 15,021	
		Total 702	**$ 247,772**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ 247,772**	**13.46%**
703	Non Motorized Network	FHWA PL	$ 33,531	$ 5,000	$ 22,920	$ 3,500	$ 3,500		$ 68,451	
		PPM	$ -						$ -	
		Total 703	**$ 33,531**	**$ 5,000**	**$ 22,920**	**$ 3,500**	**$ 3,500**	**$ -**	**$ 68,451**	**3.72%**
704	Public & Agency Participation	FHWA PL	$ 75,072						$ 75,072	
		FHWA Carryover	$ 119,957						$ 119,957	
		PPM	$ 15,542						$ 15,542	
		Total 704	**$ 210,570**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ 210,570**	**11.44%**
705	Technology Applications	FHWA PL	$ 78,127						$ 78,127	
		PPM	$ 15,269						$ 15,269	
		Prop84	$ 35,000						$ 35,000	
		SPR	$ 60,000						$ 60,000	
		Total 705	**$ 188,396**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ 188,396**	**10.24%**
706	Transit Planning	FHWA PL							$ -	
		FTA 5303						$ 66,196	$ 66,196	
		FTA Carryover	$ 25,988					$ -	$ 25,988	
		FTA 5304						$ 71,001	$ 71,001	
		5311	$ 22,567						$ 22,567	
		INKIND						$ 8,144	$ 8,144	
		PPM	$ 20,700						$ 20,700	
		Total 706	**$ 69,255**	**$ -**	**$ -**	**$ -**	**$ -**	**$ 145,341**	**$ 214,596**	**11.66%**
707	Special Planning Studies	FHWA PL							$ -	
		PPM	$ 78,244	$ -					$ 78,244	
		Other	$ 140,101						$ 140,101	
		Prop 84							$ -	
		Total 707	**$ 218,345**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ 218,345**	**11.86%**
708	Manage TDA	LTF	$ 65,541						$ 65,541	
		PPM	$ -						$ -	
		Other	$ -						$ -	
		Total 708	**$ 65,541**		**$ -**	**$ -**	**$ -**	**$ -**	**$ 65,541**	**3.56%**
	Summary	FHWA PL	$ 503,047	$ 5,000	$ 87,985	$ 3,500	$ 8,201	$ -	$ 607,733	33.02%
		FHWA Carryover	$ 235,212						$ 235,212	12.78%
		FTA 5303						$ 66,196	$ 66,196	3.60%
		FTA Carryover	$ 25,988					$ -	$ 25,988	1.41%
		FTA 5304						$ 71,001	$ 71,001	3.86%
		FTA 5311	$ 22,567						$ 22,567	1.23%
		PPM	$ 283,102	$ 10,000	$ 20,000	$ 10,000	$ 10,000		$ 333,102	18.10%
		SPR	$ 230,000						$ 230,000	12.50%
		Prop 84	$ 35,000						$ 35,000	1.90%
		LTF	$ 65,541						$ 65,541	3.56%
		INKIND-LTF						$ 8,144	$ 8,144	0.44%
		SRTS/Other	$ 140,101						$ 140,101	7.61%
OWP Work Element Totals:			**$ 1,540,558**	**$ 15,000**	**$ 107,985**	**$ 13,500**	**$ 18,201**	**$ 145,341**	**$ 1,840,585**	**100.00%**
	Percent of Budget by Agency		**83.70%**	**0.81%**	**5.87%**	**0.73%**	**0.99%**	**7.90%**	**100.00%**	
									$ -	

Attachment D
ICAP/ICRP SUBMISSION CERTIFICATION

Shasta County Regional Transportation Planning Agency (SCRTPA)
Indirect Cost Rate
FY 2012/13

The indirect cost rate plan contained herein is for use on grants, contracts and other agreements with the Federal Government and the California Department of Transportation (Department), subject to the provisions in Section II. This rate was prepared by the SCRTPA and accepted by the Department.

SECTION I: Rates

Rate Type*	Effective Period	Rate**	Applicable to
Fixed w/carry forward	7/1/12 to 6/30/13	60.11%	SCRTPA
Fringe Benefit (if applicable)	7/1/12 to 6/30/13	41.08%	SCRTPA

* For LGAs that receive federal funds each year, a fixed rate with carry forward should be used. For LGAs that receive federal funds once every few years, a predetermined rate should be used.
** Base: BASE is 12/13 SCRTPA (MPO) Overall Work Plan direct expenses. Plus state funds with unallowable expenses.

SECTION II: General Provisions

A. Limitations:
The rate in this Agreement is subject to any statutory or administrative limitations and applies to a given grant, contract, or other agreement only to the extent that funds are available. Acceptance of the rate is subject to the following conditions: (1) Only costs incurred by the organization were included in its indirect cost pool as finally accepted; such costs are legal obligations of the organization and are allowable under the governing cost principles; (2) The same costs that have been treated as indirect costs are not claimed as direct costs; (3) Similar types of costs have been accorded consistent accounting treatment; (4) The information provided by the organization which was used to establish the rate is not later found to be materially incomplete or inaccurate by the Federal Government or the Department. In such situations the rate would be subject to renegotiation at the discretion of the Federal Government or the Department; (5) Prior actual costs used in the calculation of the approved rate are contained in the grantee's Single Audit which was prepared in accordance with OMB A-133. If a Single Audit is not required to be performed, then audited financial statements should be used to support the prior actual costs; and, (6) This rate is based on an estimate of the costs to be incurred during the period.

B. Accounting Changes:
This Agreement is based on the accounting system purported by the organization to be in effect during the Agreement period. Changes to the method of accounting for costs which affect the amount of reimbursement resulting from the use of this Agreement require prior approval of the authorized representative of the cognizant agency. Such changes include, but are not limited to, changes in the charging of a particular type of cost from indirect to direct. Failure to obtain approval may result in cost disallowances.

C. Fixed Rate with Carry Forward:
The fixed rate used in this Agreement is based on an estimate of the costs for the period covered by the rate. When the actual costs for this period are determined – either by the grantee's Single Audit, or if a Single Audit is not required, then by the grantee's audited financial statements – any differences between the application of the fixed rate and actual costs will result in an over or under recovery of costs. The over or under recovery will be carried forward, as an adjustment to the calculation of the indirect cost rate, to the second fiscal year subsequent to the fiscal year covered by this plan. *(Note: If a predetermined rate is used, then the carry forward provision does not apply).*

D. Audit Adjustments:
Immaterial adjustments resulting from the audit of information contained in this plan shall be compensated for in the subsequent indirect cost plans approved after the date of the audit adjustment. Material audit adjustments will require reimbursement from the grantee.

E. Record Retention:
The proposal and all related documentation must be retained for audit in accordance with the record retention requirements of the State or Federal agreements for which the indirect rate will be billed or for three years after the fiscal year for which the rate is calculated, whichever is longer.

F. Use by Other Federal Agencies:
Authority to accept this agreement by the Department has been delegated by the Federal Highway Administration, California Division. The purpose of this acceptance is to permit subject local government to bill indirect costs to Title 23 funded projects administered by the Federal Department of Transportation (DOT). This acceptance does not apply to any grants, contracts, projects, or programs for which DOT is not the cognizant Federal agency.

The acceptance will also be used by the Department in State-only funded projects.

G. Other:
If any Federal contract, grant, or other agreement is reimbursing indirect costs by a means other than the accepted rate in this Agreement, the organization should (1) credit such costs to the affected programs, and (2) apply the accepted rate to the appropriate base to identify the proper amount of indirect cost allocable to these programs.

H. Rate Calculation:

FY 2012 Budget Indirect Costs	$360,382
Carry Forward from FY 2010	$0
Budgeted FY 2012 Indirect Costs	$360,382
FY 2012 Budgeted Direct Salaries & Wages (or applicable base)	$599,577
FY 2012 Indirect Cost Rate	60.11%

CERTIFICATION OF INDIRECT COSTS

This is to certify that I, name of responsible official, have reviewed the indirect cost rate proposal submitted herewith and to the best of my knowledge and belief:

(1) All costs included in the proposal to establish billing or final indirect cost rates for fiscal year 2012/13 (July 1, 2012 to June 30, 2013) are allowable in accordance with the requirements of the Federal and State award(s) to which they apply and 2 Code of Federal Regulations (CFR), Part 225, "Cost Principles for State, Local, and Indian Tribal Governments." Unallowable costs have been adjusted for in allocating costs as indicated in the cost allocation plan.

(2) All costs included in this proposal are properly allocable to Federal and State awards on the basis of a beneficial or causal relationship between the expenses incurred and the agreements to which they are allocated in accordance with applicable requirements. Further, the same costs that have been treated as indirect costs have not been claimed as direct costs. Similar types of costs have been accounted for consistently and the Federal Government and the Department will be notified of any accounting changes that would affect the final rate.

(3) Additionally, I understand that in accordance with 2 CFR, Part 225, Appendix E, Section E.4, refunds shall be made if proposals are later found to have included costs that are unallowable as specified by law or regulation, as identified in Appendix B to this part, or by the terms and conditions of Federal and State award, or are unallowable because they are clearly not allocable to Federal or State awards. These adjustments or refunds will be made regardless of the type of rate negotiated (predetermined, final, fixed or provisional).

I acknowledge as a representative of the Shasta County Regional Transportation Planning Agency that the proper use and application of the indirect rate contained in this indirect cost rate proposal is the responsibility of the Shasta County Regional Transportation Planning Agency and such use may be subject to audit by the Department or Federal Highway Administration. Failure to cooperate with an audit can result in the withdrawal of Department acceptance and require immediate reimbursement of previously reimbursed indirect costs.

I declare that the foregoing is true and correct.

Government Unit: Shasta County Regional Transportation Planning Agency (SCRTPA)

Signature: ______________________	Signature: ______________________
Reviewed, Approved and Submitted by:	Prepared by:
Name of Official: Leonard Moty	Name of Official: Dan Little
Title: SCRTPA Chair	Title: Executive Director
Date of Execution:________________	Telephone No.: 530-245-6819

INDIRECT COST RATE SUBMISSION ACCEPTANCE

The Department has received this ICAP/ICRP and accepts the plan for billing and reimbursement purposes.

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Signature

Accepted by:

____

NAME

Position:______________________

Date: _________________________

Phone Number: ________________