



STAFF REPORT

MEETING DATE:	June 27, 2017
SUBJECT:	Approve Amendment #1 to SRTA's Fiscal Year 2017/18 Budget and Overall Work Program
AGENDA ITEM:	5-10
STAFF CONTACT:	Sean Tiedgen, AICP, Senior Transportation Planner

SUMMARY:

An amendment to SRTA's fiscal year (FY) 2017/18 budget and Overall Work Program (OWP) is needed to reflect Caltrans Planning Grant funding, increased funding for the Sustainable Development Incentive Program, and minor changes to the Safe Routes to Schools program.

STAFF RECOMMENDATION:

It is recommended that the board of directors:

1. Approve Amendment #1 to SRTA's FY 2017/18 budget and Overall Work Program pursuant to Resolution 17-10 (Attachment B), thereby increasing SRTA's comprehensive FY 2017/18 budget by \$497,832, for a total of \$13,679,409;
2. Authorize the executive director to sign the amended FY 2017/18 Overall Work Program Agreement (OWPA) and make any future amendments to the FY 2017/18 OWPA as requested by Caltrans.

DISCUSSION:

SRTA's budget and Overall Work Program (OWP) must be amended as described in Table 1. Attachment C shows the changes in full detail by work element. The total impact to SRTA's FY 2017/18 budget is an increase of \$497,832 in funding.

Table 1: Summary of FY 2017/18 OWP Amendment #1 Changes

#	Work Element	Original Staff Budget	New Staff Budget	Original Consultant Budget	New Consultant Budget
702.04	Sustainable Development Incentive Program	\$36,044	No Change	\$150,000	\$175,000
703.05	Sustainable Shasta	\$75,416	\$131,827	\$116,642	\$447,890
706.07	North State Express Connect Business Plan	\$69,959	\$144,383	\$198,365	\$223,203

With regard to the Sustainable Development Incentive program, staff is recommending that an additional \$25,000 be provided for consultant assistance consistent with agenda item #9.

The remaining amendments concern Caltrans' award of Sustainable Transportation Planning Grant Program funds for the North State Express Connect Business Plan and Sustainable Shasta planning projects (Attachment A). SRTA created new work elements for each project in the FY 2017-2019 OWP in anticipation of a potential award, and budgeted staff hours and consultant costs based on a two-year timeline. Caltrans now requests that SRTA amend the OWP and OWP Agreement to reflect the full grant award and local match funds in FY 2017/18 only. This approach advances \$472,832 in staff and consultant

costs from FY 2018/19. Caltrans is requiring this to obligate 100% of the grant funds even though SRTA will not use those funds until FY 2018/19.

ALTERNATIVES:

The board of directors may modify Amendment #1 to the SRTA FY 2017/18 budget, provided that such changes are consistent with project funding eligibility requirements and agreements with Caltrans, the Federal Highway Administration and the Federal Transit Administration.

OTHER AGENCY INVOLVEMENT:

Caltrans District 2, the Federal Highway Administration, and the Federal Transit Administration approve formal OWP amendments. The Technical Advisory Committee (TAC) concurs with the staff recommendation.

FINANCING:

Amendment #1 reflects an increase of \$497,832 in SRTA's FY 2017/18 budget. The comprehensive budget now totals \$13,679,409, while the FY 2017/18 OWP totals \$3,541,776 for planning activities. Caltrans requested advance \$472,832 from FY 2018/19 to FY 2017/18 for projects awarded Caltrans Planning Grant funds, though staff does not intend to use funds until FY 2018/19. Funding increases are within SRTA's estimated grant revenues for fiscal years 2017/18 and 2018/19. Funding changes are summarized in Resolution 17-10 (Attachment B) and highlighted in yellow in Attachments C and D.



Daniel S. Little, AICP, Executive Director

Attachments:

A: Caltrans Planning Grants Award Letter

B: Resolution Number 17-10: Amendment #1 to SRTA's Fiscal Year 2017/18 Budget and OWP

C: Amended OWP Budget Worksheets (changes highlighted in yellow) are available online at:
<http://www.srta.ca.gov/DocumentCenter/View/3687>

D: Amended SRTA Comprehensive Fiscal Year 2017/18 Budget (changes highlighted in yellow)

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a California Way of Life.*

Attachment A

April 21, 2017

Mr. Daniel S. Little
Executive Director
Shasta Regional Transportation Agency
1255 East Street, Suite 202
Redding, CA 96001

Dear Mr. Little:

On behalf of the California Department of Transportation (Caltrans), Division of Transportation Planning, I am pleased to offer my congratulations to the Shasta Regional Transportation Agency (SRTA) for the recent award of the following Federal transportation planning grant for Fiscal Year (FY) 2017–18:

Grant Program: FHWA SPR, Part I, Strategic Partnerships

Grant Title: North State (NS) Express Connect Business Plan
Sub-recipient: None
Grant Award: \$223,203
Local Match: \$115,172
Total Project Amount: \$338,375

Grant Program: FTA Section 5304, Sustainable Communities

Grant Title: Sustainable Shasta: A Walk and Bike Network for Downtowns
Sub-recipient: None
Grant Award: \$447,890
Local Match: \$128,752
Total Project Amount: \$576,642

Please see the list below which identifies specific conditions for a grantee to accept grant funding, to program funds, and to begin work. All conditions must be fulfilled no later than May 1, 2018. Failure to fulfill conditions of grant acceptance by the afore-mentioned date will result in forfeiture of grant funds. Also, please note that final products must be completed no later than June 30, 2020. Final requests for reimbursements must be submitted to Caltrans by August 31, 2020.

Conditions of Grant Acceptance

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These Federal grant funds cannot be encumbered until the following conditions are fulfilled:

1. SRTA will submit a plan to reduce their Consolidated Planning Grant funds carryover balance
2. The revised final Scope of Work, Project Timeline, and Grant Application Cover Sheet are submitted to the Caltrans District 2 Liaison for approval.
3. If applicable, a Third Party In-kind Valuation Plan is submitted for the use of in-kind contributions to satisfy the federal minimum local match requirement. Third party in-kind contributions are goods and services donated from outside the grantee's agency. Examples of third party in-kind contributions include donated printing, facilities, interpreters, equipment, advertising, time and effort, staff time, and other goods and services. The Third Party In-kind Valuation Plan Checklist and Sample Third Party In-Kind Valuation Plan can be found at the following webpage:

<http://www.dot.ca.gov/hq/tpp/offices/orip/Grants/grants.html>

4. The FY 2017–18 Overall Work Program (OWP) and OWP Agreement (OWPA) are amended to incorporate the grant project including the full grant amount and full local match. The OWP/OWPA amendment includes the OWPA, OWP Budget Summary, and a standalone Work Element. The Work Element name/number must remain unchanged until the project is completed. These three items must show consistent funding information for the grant project. Caltrans District staff will send a formal notice to proceed after the OWP/OWPA amendment is processed.

Once the project is underway, quarterly status updates will be required as part of the OWP Quarterly Progress and Expenditure Report, including a transmittal memo noting the percentage of project work completed. If this reporting method is not adequately satisfied, a separate narrative quarterly progress report will be required to monitor project activities.

Please contact Aaron Casas, District 2 Liaison, at (530) 225-4732 or Tyler Monson, Headquarters Liaison, at (916) 653-8699, if you have any questions concerning these grant funds or program requirements.

Sincerely,



ERIN THOMPSON
Chief, Office of Regional Planning

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c: Jennifer Pollom, Senior Transportation Planner, SRTA
Kathy Grah, Senior Transportation Planner, Caltrans, District 2
Aaron Casas, Associate Transportation Planner, Caltrans, District 2
Tyler Monson, Associate Transportation Planner, Caltrans, Headquarters

RESOLUTION

Attachment B



RESOLUTION NUMBER:	17-10
SUBJECT:	Amendment #1 to SRTA's Fiscal Year 2017/18 Budget and Overall Work Program

WHEREAS, Metropolitan Planning Organizations (MPO) are required by state and federal funding partners to maintain an Overall Work Program (OWP) as a planning, programming, and budgeting tool for the fiscal year (FY); and

WHEREAS, SRTA maintains an annual budget, a subset of which constitutes the OWP pursuant to State and Federal requirements; and

WHEREAS, the Shasta Regional Transportation Agency (SRTA) is the designated MPO for the Shasta County region; and

WHEREAS, the OWP must be amended to reflect changes in funding, schedules and work products; and

WHEREAS, Amendment #1 results in a change in estimated revenue and expenses due to receiving Caltrans Sustainable Transportation Planning Grant Program funding for the North State Express Connect Business Plan and Sustainable Shasta planning projects, resulting in a net increase of \$472,832 in both revenue and expenses to SRTA's FY 2017/18 OWP budget for planning activities; and

WHEREAS, Amendment #1 results in a net increase of \$25,000 in both revenue and expenses to SRTA's FY 2017/18 OWP budget for the Sustainable Development Incentive Program; and

WHEREAS, other minor narrative clarifications have been made to various work elements to ensure consistency with expected project outcomes.

NOW, THEREFORE, BE IT RESOLVED that SRTA hereby approves Amendment #1 to the FY 2017/18 OWP, for a net increase of \$497,829, to coincide with the most current projected expenditures and revenues with the following changes by fund source:

<u>Fund Source:</u>	<u>Amount:</u>
• Federal Planning:	(\$8,502)
• Federal Planning Carryover:	(\$23,907)
• FTA 4503:	\$447,890
• Local Transportation Fund:	\$135,000
• Planning Programming and Monitoring Funds:	\$7,154
• <u>Reimbursement & Planning Grants</u>	<u>(\$59,804)</u>
Total:	\$497,832

BE IT FURTHER RESOLVED that Amendment #1 results in a total FY 2017/18 OWP budget of \$3,541,776 and shall be considered final and in full force and effect upon acceptance and approval thereof by Caltrans District 2.

BE IT FURTHER RESOLVED that Amendment #1 results in a net increase of \$497,832 in both revenue and expenses to SRTA's FY 2017/18 comprehensive budget, resulting in a final budget of \$13,679,409.

PASSED AND ADOPTED this 27th day of June, 2017, by the Shasta Regional Transportation Agency.

Greg Watkins, Chair
Shasta Regional Transportation Agency

SHASTA REGIONAL TRANSPORTATION AGENCY -
 Summary of 2017/18 Overall Work Program Funding Requirements

Work Element	Description	FHWA PL 100%	Amendment #1 State Toll Credits 11.47%	Original State Toll Credits 11.47%	FHWA PL C/O 100%	FTA 5303 100%	FTA 5303 Carryover 100%	FTA 5304	LTF 100%	TDA 100%	PPM 100%	Non-Motorized Grants 100%	Other (NISR, Shasta Coll) 100%	Reimb. & Planning Grants 100%	SRTS 100%	Total By Fund Source Proof
701	System Planning		Excluded from Totals	Excluded from Totals												
701.01	Regional Transportation Plan	164,874	18,911	19,083												164,874
701.03	Performance Measures	51,694	5,929	5,929												51,694
701.09	Air Quality	17,179	1,970	1,970												17,179
701.11	Transportation Data Collection & Reporting	62,951	7,220	8,024												62,951
	Total Work Element 701	296,697	34,031	35,006	0	0	0	0	0	0	0	0	0	0	0	296,697
702	Work Program and Administration															
702.01	Transportation Improvement Programs (TIPS)	72,622	8,330	8,330												72,622
702.02	Overall Work Program	98,822	11,335	11,335												98,822
702.03	Grant Writing and Technical Assistance								38,711							38,711
702.04	Sustainable Development Incentive Program		0	6,428	0				175,000		36,044					211,044
	Total Work Element 702	171,444	19,665	26,093	0	0	0	0	213,711	0	36,044	0	0	0	0	421,199
703	Non-Motorized															
703.01	Active Transportation Planning										82,037					82,037
703.04	GoShasta Active Transportation Plan		12,947	12,947	112,877							46,000				158,877
703.05	Sustainable Shasta		7,494	6,692	65,333			447,890			66,494					579,717
	Total Work Element 703	0	20,441	19,639	178,211	0	0	447,890	0	0	148,531	46,000	0	0	0	820,632
704	Public and Agency Participation															
704.01	Public Information & Participation		6,452	6,452	56,249				14,062							70,312
	Total Work Element 704	0	6,452	6,452	56,249	0	0	0	14,062	0	0	0	0	0	0	70,312
705	Technology Applications															
705.01	ITS Planning & Development										19,189					19,189
705.02	GIS Applications	59,403	6,814	6,814									2,000			61,403
705.05	Regional Modeling & Forecasting Tools		9,058	9,058	78,972											78,972
	Total Work Element 705	59,403	15,872	15,872	78,972	0	0	0	0	0	19,189	0	2,000	0	0	159,564
706	Public Transportation Planning															
706.02	Public Transportation Planning & Coordination		5,727	5,727		49,930	35,915		36,000							121,845
706.06	Greenhouse Gas Reduction Fund Programs								25,859							25,859
706.07	North State Express Connect Business Plan		8,587	5,703	74,864						69,519			223,203		367,586
706.08	Sunday Transit Service Demo Project		0	0					82,299							82,299
	Total Work Element 706	0	14,314	11,430	74,864	49,930	35,915	0	144,158	0	69,519	0	0	223,203	0	597,589
707	Special Projects															
707.01	Corridor Studies & Project Review		3,831	3,831	33,400											33,400
707.02	Safe Routes to School Non-Infrastructure Grant														181,318	181,318
707.03	Alternative Fuels Vehicle Planning		3,851	3,851	33,577											33,577
707.04	Goods & Freight Coordination and Planning										73,725					73,725
707.07	RCEA Hydrogen Fuel-Cell Readiness Project		801	801	6,981								2,000			8,981
	Total Work Element 707	0	8,483	8,483	73,959	0	0	0	0	0	73,725	0	2,000	0	181,318	331,002
708	Manage Transportation Development Act															
708.03	Transportation Development Act								114,406							114,406
708.04	Transit and CTSA Agency Administration								30,227	564,000						594,227
	Total Work Element 708	0	0	0	0	0	0	0	144,633	564,000	0	0	0	0	0	708,633
800	Other															
801.01	North State Super Region													8,647		8,647
	Total Work Element 800	0	0	0	0	0	0	0	0	0	0	0	0	8,647	0	8,647
900	Local Agency Projects															
901.01	Hilltop Drive Corridor Signal Optimization Study		1,721	1,721	15,000											15,000
901.02	Victor Avenue Corridor Phasing Plan		4,588	4,588	40,000											40,000
902.01	Cascade Blvd Sustainable Development Assessment		5,162	5,162	45,000											45,000
902.02	Micro-Transit Analysis & Recommendations		3,154	3,154	27,500											27,500
	Total Work Element 900	0	14,624	14,625	127,500	0	0	0	0	0	0	0	0	0	0	127,500
Total of Budget by Fund Source		527,544	133,881	137,600	589,755	49,930	35,915	447,890	516,565	564,000	347,008	46,000	12,647	223,203	181,318	3,541,776

Planning/Administration Funds by Jurisdiction																
	SRTA	527,544	0		462,255	49,930	35,915		516,565	0	347,008	46,000	12,647	223,203	0	2,221,068
	RABA Administration									540,000		0				540,000
	City of Redding	0			55,000							0				55,000
	Shasta Lake City	0			72,500							0				72,500
	City of Shasta- Health & Human Services											0		181,318		181,318
	County of Shasta- TDA Administration									24,000		0				24,000
	Total Png/Admin Funds by Juris.	527,544	0		589,755	49,930	35,915	0	516,565	564,000	347,008	46,000	12,647	223,203	181,318	3,093,886

Capital Infrastructure & Transit Agency Operations																	
Description	RSTP	LTF	STA	LCTOP	Carryover											Total By Fund Source Proof	
STBGP - Streets & Roads	1,639,011																1,639,011
LTF Streets & Roads		3,124,305															3,124,305
LTF Transit Operation		3,074,160															3,074,160
STA Transit Operation			667,441														667,441
Low-Carbon Transit Oper Program				85,000													85,000
CTSA		331,707															331,707
Beach Bus		0															0
Rural Non-motorized		518,512															518,512
2% TDA Bike & Pedestrian Program		0															0
Total Operational and Capital	1,639,011	7,048,684	667,441	85,000	0	0	0	0	0	0	0	0	0	0	0	0	9,440,136

Reconciliation of OWP Expenditures to Overall Budget OWP Expenditures	
Expenditures per OWP	3,541,776
Add: Suite 101/102 Rental Expenses not in OWP	42,200
Less: TDA Administration not in Overall Budget	(564,000)
2015-16 IDC Carryover	(148,734)
Expenditures per Overall Budget OWP Expenditures	2,871,242

Attachment C

Attachment D
Shasta Regional Transportation Agency
Profit & Loss Budget Overview
 July 2017 through June 2018

	Amendment #1		
	Original Jul '16 - Jun 17	Change	
Ordinary Income/Expense			
Income			
41100 · Federal Highway Administration	1,149,708.00	(32,409.00)	1,117,299.00
41300 · Planning, Program. and Monit	339,854.00	7,154.00	347,008.00
41500 · Federal Transit Administration	85,845.00	447,890.00	533,735.00
42100 · Local Transportation Fund	7,411,565.00	(364,829.00)	7,046,736.00
42200 · State Transit Assistance Fund	615,000.00	52,441.00	667,441.00
42650 · Exchange Funds	1,655,000.00	(15,989.00)	1,639,011.00
42710 · TDA Administration	381,565.00	135,000.00	516,565.00
42725 · Non-Motorized	518,512.00		518,512.00
42770 · LCTOP	138,000.00	(53,000.00)	85,000.00
42800 · Safe Routes to Schools	181,318.00		181,318.00
42840 · GoShasta-ATP Cycle 2	46,000.00		46,000.00
42840 · STPG	283,007.00	(59,804.00)	223,203.00
42860 · RCEA	2,000.00		2,000.00
42910 · Shasta College	2,000.00		2,000.00
42920 · Super Region Fees	8,647.00		8,647.00
42980 · CTSA Revenue	301,000.00	30,707.00	331,707.00
43100 · Interest Income	0.00		0.00
43300 · Rental Income			0.00
43310 · Rental Income- Suite 101	51,276.00		51,276.00
43320 · Rental Income- Suite 201	11,280.00		11,280.00
43350 · Vacancy Loss	0.00		0.00
Total 43300 · Rental Income	62,556.00		62,556.00
43400 · LTF Rent Subsidy	0.00		0.00
Total Income	13,181,577.00		13,328,738.00
Gross Profit	13,181,577.00		13,328,738.00
Expense			
51000 · Personnel - Other	1,024,264.00		1,024,264.00
Total 51000 · Personnel	1,024,264.00		1,024,264.00
55000 · Consultants			
55010 · City of Redding on OWP	55,000.00		55,000.00
55015 · City of Shasta Lake on OWP	72,500.00		72,500.00
55058 · Shasta County Mental Health-ATP	170,000.00		170,000.00
55070 · Shasta College	2,000.00		2,000.00
55100 · Civic Plus	4,450.00		4,450.00
55120 · Interwest	20,000.00		20,000.00
55122 · Toole Design	66,000.00		66,000.00
55160 · Consultant- Non Motor	518,512.00		518,512.00
55205 · Consultant LCTOP	138,000.00	(53,000.00)	85,000.00
55000 · Consultants - Other	610,007.00	497,833.00	1,107,840.00
Total 55000 · Consultants	1,656,469.00		2,101,302.00

Amendment #1

	Original Jul '16 - Jun 17	Change	Amended #1
60100 · Advertising	1,000.00		1,000.00
60250 · Books and Educational materials	1,000.00		1,000.00
Total 60300 · Communication	9,200.00		9,200.00
Total 60350 · Computer Support	22,200.00		22,200.00
60400 · Conferences	4,000.00		4,000.00
60500 · Depreciation-Building	71,000.00		71,000.00
60510 · Depreciation-Equipment	1,300.00		1,300.00
60600 · Dues and Subscriptions	8,500.00		8,500.00
60700 · Education and Training	1,000.00		1,000.00
Total 61000 · Insurance	11,500.00		11,500.00
Total 61670 · Interest	26,000.00		26,000.00
61690 · Licenses	17,500.00		17,500.00
61700 · Meetings	1,000.00		1,000.00
62000 · Postage	2,000.00		2,000.00
Total 63000 · Professional Services	57,438.00		57,438.00
63900 · Public Notice	500.00		500.00
Total 65000 · Repairs and Maintenance	23,300.00		23,300.00
65400 · Security	5,000.00		5,000.00
65450 · Software	8,000.00		8,000.00
Total 65500 · Supplies	56,851.00		56,851.00
65600 · Taxes-Property	900.00		900.00
66900 · Reconciliation Discrepancies	0.00		0.00
Total 67000 · Travel	4,000.00		4,000.00
Total 68000 · Utilities	16,000.00		16,000.00
69000 · Payments to Cities and Counties			
69100 · City of Redding			
69110 · RABA-STA	540,000.00	(68,785.00)	471,215.00
69120 · Local Transportation Fund	1,000,000.00	(966,139.00)	33,861.00
69130 · Exchange Funds	1,185,000.00	(11,935.00)	1,173,065.00
69470 · LTF for RABA	3,089,000.00	(153,076.00)	2,935,924.00
Total 69100 · City of Redding	5,814,000.00		4,614,065.00
69200 · City of Anderson			
69220 · Local Transportation Fund	225,000.00	70,495.00	295,495.00
69230 · Exchange Funds	135,000.00	225.00	135,225.00
69250 · STA Payments	40,000.00	23,676.00	63,676.00
69270 · LTF for RABA	20,000.00	46,642.00	66,642.00
Total 69200 · City of Anderson	420,000.00		561,038.00
69300 · City of Shasta Lake			
69320 · Local Transportation Fund	225,000.00	63,844.00	288,844.00
69330 · Exchange Funds	135,000.00	(603.00)	134,397.00
69340 · STA Payments	35,000.00	29,194.00	64,194.00
69370 · LTF for RABA	20,000.00	51,593.00	71,593.00
Total 69300 · City of Shasta Lake	415,000.00		559,028.00

Amendment #1

	Original Jul '16 - Jun 17	Change	Amended #1
69400 · County of Shasta			
69420 · Local Transportation Funds	2,150,000.00	356,105.00	2,506,105.00
· STA Payments	0.00	68,355.00	68,355.00
69430 · Exchange Funds	200,000.00	(3,676.00)	196,324.00
Total 69400 · County of Shasta	2,350,000.00		2,770,784.00
Total 69000 · Payments to Cities and Counties	8,999,000.00		8,504,915.00
69600 · Shasta Snr Nutr. - LTF/TDA	301,000.00	30,707.00	331,707.00
69910 · Payments to SRTA for 2% Bike &	143,000.00	(9,279.00)	133,721.00
69920 · Payments to SRTA Under TDA	381,565.00	135,000.00	516,565.00
			143,815.00
69940 · Non-motorized Payments to SRTA	200,000.00	(85,234.00)	114,766.00
69950 · Payments to SRTA for CTSA	301,000.00	30,707.00	331,707.00
70000 · Indirect Cost Allocation			
70100 · Indirect Cost Allocation	0.00		0.00
Total 70000 · Indirect Cost Allocation	0.00		0.00
Total Expense	13,355,487.00		13,551,951.00
Net Ordinary Income	(173,910.00)		(223,213.00)
Other Income/Expense			
Other Income			
80100 · Transfers In	0.00		0.00
80200 · Transfers Out	0.00		0.00
90003 · Use of Money and Property	184,283.00		184,283.00
Total Other Income	184,283.00		184,283.00
Other Expense			
91009 · IT Support	22,000.00		22,000.00
91011 · Equipment	26,200.00		26,200.00
91013 · Furniture	30,000.00		30,000.00
92001 · Principal Payments	106,083.00		106,083.00
Total Other Expense	184,283.00		184,283.00
Net Other Income	0.00		0.00
Net Income	(173,910.00)		(223,213.00)