APPROVED August 22, 2022
Date
DARLA M HUGABOOM
Digitally signed by DARLA M HUGABOOM
Date: 2022.08.22 16:17:20 -05'00'
FOR THE DIVISION ADMINISTRATOR
FEDERAL HIGHWAY ADMINISTRATION

FINAL

STATE FISCAL YEAR 2023
REGIONAL PLANNING AFFILIATION 1 (RPA-1)
TRANSPORTATION PLANNING WORK PROGRAM (TPWP)

Adopted by RPA-1 May 25, 2022
Due June 1, 2022
Last Updated May 19, 2021

Prepared by
Upper Explorerland Regional Planning Commission
Transportation Policy Board
(RPA-1)

For the
Iowa Department of Transportation

The preparation of this document was financed in part through funds provided by the U.S. Department of Transportation, Federal Highway Administration, Federal Transit Administration and the Iowa Department of Transportation.

Upper Explorerland Regional Planning Commission office location:

325 Washington Street
Decorah, Iowa 52101

Document History:

- Original document approved by the RPA-1 Policy Board on May 25th, 2022.
- Amendment 1 approved by the RPA-1 Policy Board on July 13th, 2022; portions of the document that changed from the original are highlighted in yellow.

Table of Contents

Section 1: Area Background and Description of the TPWP Development Process 4

Planning Priorities and Challenges 5
TPWP Development 6

Section 2: Policy Board and Committee Membership 7

Transportation Policy Board 7
Transportation Technical Committee 8
Transportation Enhancement Committee 8
Public Transportation Advisory Group 9

Section 3: Description of Work Elements 10

Work Element 1: Administration 10
- Subtask 1.1: Develop Transportation Planning Work Program (TPWP) 10
- Subtask 1.2: Administration of overall RPA-1 activities 11
- Subtask 1.3: Equipment and Supplies 12

Work Element 2: Transportation Improvement Program (TIP) 13
Work Element 3: Transportation Planning 15
- Subtask 3.1: Public Participation Plan (PPP) 15
- Subtask 3.2: Passenger Transportation Plan (PTP) 16
- Subtask 3.3: Long-Range Transportation Plan (LRTP) 18
- Subtask 3.4: State and Regional Planning Initiatives 20

Work Element 4: Technical Assistance 22
Special Project 1: Lansing Main Street/IA-9 Corridor Vision Plan 24

Section 4: Budget Summary and Funding Sources 26

Section 5: Resolution(s)/Board Approval(s) 26

Section 6: Additional Required Items 30

TPWP Revisions 30
- Waiver of approvals 30
- Revision and Approval Procedures 30

Federal Planning Funds Carryover Policy 31
- Background 31
- Iowa DOT's Federal Planning Funds Carryover Policy for RPAs 32

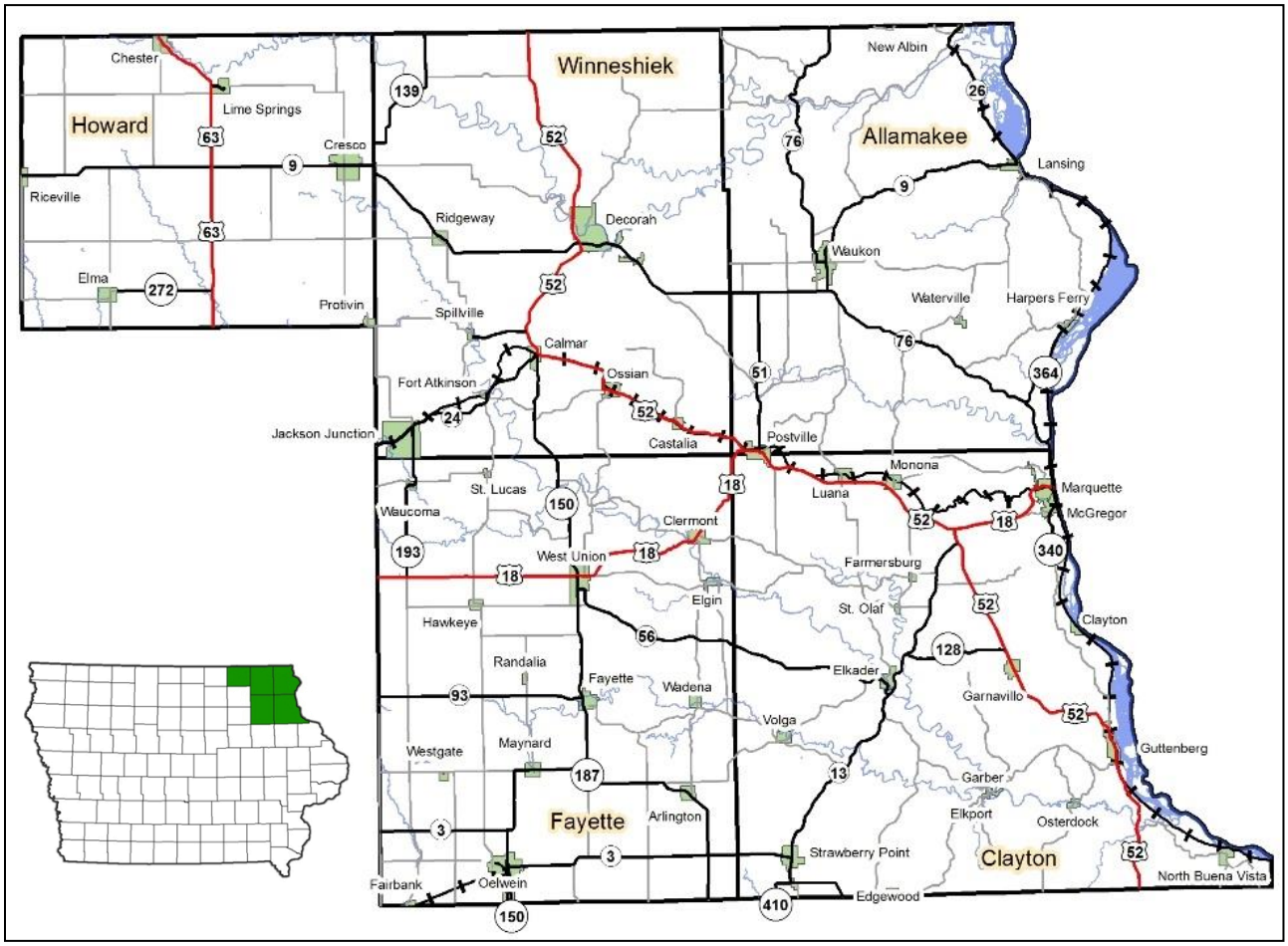
Cost Allocation Plan 33
Certificate of Indirect Cost Proposal/Indirect Cost 37
Self-Certification of Procurement and Consultant Selection Procedures 38

Section 1: Area Background and Description of the TPWP Development Process

Upper Explorerland Regional Planning Commission (UERPC) serves as the Regional Planning Affiliation (RPA-1) for the counties of Allamakee, Clayton, Fayette, Howard, and Winneshiek in northeast Iowa (see Figure 1). In this capacity, RPA-1 is responsible for ensuring that transportation planning and activities are carried out in a manner consistent with federal transportation legislation or reauthorization, with guidance from the Iowa DOT.

The five counties in RPA-1 cover an area of 3,313 square miles. There are 52 incorporated communities within the region. As of the 2020 census, five cities have populations over 2,500 and seven other communities have populations over 1,000. The 2020 population for the combined five counties is 80,152 persons, a decrease of 4.54% since the 2010 census. With a regional population density of approximately 24 persons per square mile, residents across the region may spend a considerable amount of time traveling for employment, healthcare, and shopping. As a corollary, a safe, efficient, and equitable multimodal transportation system is essential to the residents of this largely rural, low-population-density region.

Figure 1: Map of RPA-1 Planning Area



Planning Priorities and Challenges

Planning priorities during state fiscal year (SFY) 2023 will include the day-to-day administration and technical assistance provided by the RPA to our cities, counties, and transportation committees. Ensuring timely Policy Board and committee meetings, maintaining documentation of the meetings, and ensuring the implementation of decisions made at transportation meetings are priorities of the RPA. It is also a priority of RPA-1's planning staff to continue professional and technical education by attending trainings and conferences, and to ensure that our committees and communities are benefiting from the best and most up-to-date transportation knowledge and planning practices.

As applicable and appropriate, RPA-1 planning staff will take into account the updated Planning Emphasis Areas (PEAs) issued by the Federal Highway Administration (FHWA) and Federal Transit Administration (FTA) on December 30, 2021, as they conduct transportation planning and technical assistance within the RPA-1 region. Staff will be particularly focused on tackling the climate crisis; seeking equity and justice; and fostering a transportation system that safely and conveniently accommodates people of all ages and abilities (i.e., "complete streets") through their transportation planning and technical assistance activities in the RPA-1 region.

RPA-1's Long-range, Multimodal Transportation Plan, *Safe Mobility for Everyone*, was completed and adopted by the RPA-1 Policy Board in September 2019. Early planning and coordination for a five-year update to that plan, as well as the Passenger Transportation Plan, will be priorities of SFY 2023.

The overwhelming priority and challenge that emerged from the *Safe Mobility for All* planning process is the desperate need for better, safer infrastructure for walking and bicycling in our region, chiefly the enormous needs in our communities to achieve ADA compliance with regards to their transportation networks. This issue continues to be a challenge and priority for our region. RPA-1 planners will work with the Transportation Policy Board, all three advisory committees, and local communities to further the goals and strategies identified in *Safe Mobility for Everyone*.

The 2018 update to the Passenger Transportation Plan identified goals and strategies for the Passenger Transportation Advisory Group (TAG) to pursue that remain relevant. From the 2018 -2023 Plan, the goals RPA-1 planners will assist TAG in implementing in the coming year include:

- Support better communication between all entities (housing, economic development, tourism, etc.). Related strategies include engaging speakers on key issues and planning for future summits, conferences, and round tables to engage stakeholders.
- Support and collaborate on transportation strategies identified for the region in the 7 Rivers Alliance WISE Plan (2017).
- Establish connections to neighboring transit systems to better serve commuters.
- Consider opportunities for improving technology for public transit.

- Assist public transit in engaging large employers to discuss the establishment of van pool programs for employees.

RPA-1 completed the regional trails economic impact analysis in fiscal year 2022. It will be a priority as a region to continue collecting trail user count data for further analysis and potential future updates of the analysis. The Enhancement Committee continues to prioritize the build-out of a regional "backbone" trail from the Minnesota state line north of Riceville, to the Mississippi River Trail near Guttenberg.

Communities in the RPA-1 region have expressed interest in improving their transportation networks through the completion of local transportation plans. RPA-1 completed a local transportation plan for the City of Oelwein in 2021. The City of Lansing has received funding to complete a corridor visioning plan for Main Street/Highway 9, which UERPC may assist with. It will continue to be a priority in SFY 2023 to identify and work with potential communities interested in completing local transportation plans and other studies, data collection, and analysis.

The limited Federal funding available for transportation planning in RPA-1 has been a challenge. Now that there is sufficient staff dedicated to RPA-1 administration and implementation of the TPWP, the RPA has utilized and no longer accrues the significant carry-over balances seen in previous years, when staffing was less than adequate. The situation may improve as increased funding is made available for transportation planning stemming from the Infrastructure Investment and Jobs Act (IIJA). RPA-1 will work with the Policy Board, Iowa DOT, and other stakeholders as necessary and appropriate in finding funding solutions to support the continued transportation planning functions identified in this work program, which are of critical importance to the communities of the region.

TPWP Development

The Transportation Planning Work Program (TPWP) documents the transportation planning and technical assistance activities that RPA-1 intends to carry out in support of the maintenance and development of a multimodal, regional transportation network that is safe, equitable, and efficient. The TPWP identifies work elements that will occur in SFY 2023 pertaining to RPA administration, programming of funds, long- and short-range transportation planning, and transportation technical assistance. Budgets and funding sources for these activities are addressed in detail.

TPWP activities are developed and discussed with the assistance of the Policy Board and its committees. Prior to its final approval, the TPWP is reviewed by the Transportation Policy Board, transportation committees, and the regional transit provider, and is posted on the UERPC website for a public review and comment period of 15 days. After this public review and comment period, the RPA-1 Policy Board holds a public hearing and considers adoption of the final TPWP. As always, meetings are open to the public and notice is provided through online postings and physical postings at UERPC's offices in Decorah.

Section 2: Policy Board and Committee Membership

The RPA-1 Transportation Policy Board is composed of representatives from each of its five counties and the two cities in the region with populations over 5,000—Decorah and Oelwein. The Policy Board exercises programming authority for Surface Transportation Block Grant (STBG) funding allocated to the region—including STBG funding which is swapped for state funding on road and bridge projects and that which is used for transportation alternatives—in accordance with state and federal rules and regulations.

Supporting the Policy Board are advisory committees whose memberships represent specific areas of expertise and/or interest. The Technical Committee, which consists of the five county engineers and representatives from Decorah and Oelwein, advises the Policy Board on matters of roadway maintenance and operations and recommends projects to receive funding. The Enhancement Committee consists of the five county conservation board directors and other regional stakeholders with interests in regional trails, walking and bicycling, and various tourism and economic development activities. The Enhancement Committee also recommends projects for funding, with a specific focus on building out the region's system of paved, multi-use trails. The Public Transportation Advisory Group is charged with building and operating a coordinated passenger transportation system to support those who do not have access to personal transportation options or who choose not to drive or own a car. This group consists of local transit representatives, private transportation providers, human services providers, and others concerned with transportation for non-drivers. Finally, the Policy Board is supported by UERPC transportation planning staff who provide multimodal technical expertise, analyze regional trends and issues, and provide administrative support for board and committee operations.

Transportation Policy Board

NAME	TITLE	REPRESENTING
Larry Schellhammer	County Supervisor	Allamakee
Ray Peterson	County Supervisor	Clayton
Janell Bradley	County Supervisor	Fayette
Dean Eastman	County Supervisor	Howard
*Mark Vick	County Supervisor	Winneshiek
Lorraine Borowski	Mayor	City of Decorah
Brett DeVore	Mayor	City of Oelwein
Non-voting and ex-officio members:		
Krista Billhorn	District 2 Planner	IDOT
Lori Egan	Region 1 Transit Director	NEICAC
Rachelle Howe	Executive Director	UERPC
Aaron Detter	Senior Transportation Planner	UERPC

*Chairperson

Transportation Technical Committee

NAME	TITLE	REPRESENTING
Brian Ridenour	County Engineer	Allamakee
Rafe Koopman	County Engineer	Clayton
Joel Fantz	County Engineer	Fayette
*Nick Rissman	County Engineer	Howard
Lee Bjerke	County Engineer	Winneshiek
Jeremy Bril	Engineer	City of Decorah
Victor Kane	Utility Superintendent	City of Oelwein
Non-voting and ex-officio members:		
Krista Billhorn	District 2 Planner	IDOT
Aaron Detter	Senior Transportation Planner	UERPC

*Chairperson

Transportation Enhancement Committee

NAME	TITLE	COUNTY/CITY/AGENCY
Jim Janett	Director	Allamakee Co. Conservation
Val Reinke	Director	Allamakee Co. Tourism and Ec. Dev.
Andy Kelleher	Director	Lansing Main Street
Jenna Pollock	Director	Clayton Co. Conservation
Roger Thomas	Resident	Clayton County
Darla Kelchen	Director	Clayton Co. Economic Development
*Rod Marlatt	Director	Fayette Co. Conservation
Sheryl Struthers	Resident	Fayette County
Joshua Johnson	Park Superintendent	City of Oelwein
Jeff Korsmo	Director	Howard Co. Conservation
Craig Fencl	Park Ranger	Howard Co. Conservation
Elaine Govern	Resident	City of Riceville
Barb Schroeder	Director	Winneshiek Co. Conservation
Brian Fuhrmann	Member	Decorah Parks and Recreation Board
Stephanie Fromm	Director	Winneshiek County Development Inc.
Non-voting and ex-officio members:		
Krista Billhorn	District 2 Planner	DOT
Paul Berland	Director	NEI RC&D
Jared Nielsen	Scenic Byways Specialist	NEI RC&D
Mallory Hanson	Director	FCEDT
Aaron Detter	Senior Transportation Planner	UERPC
Ashley Christensen	Safe Routes to School Liaison	UERPC

*Chairperson

Public Transportation Advisory Group

NAME	TITLE	COUNTY/CITY/AGENCY
Spiff Slifka	Development Coordinator	Howard Co. Business and Tourism
Amy Chicos	Rehabilitation Counselor	Iowa Vocational Rehabilitation Services
Janna Diehl		Northeast Iowa Area Agency on Aging
Peggy Shea	Domestic Violence Advocate and Transitional Housing Coordinator	Helping Services for Youth and Families
Lori Egan	Region 1 Transit Director (EARL)	Northeast Iowa Community Action Corp.
Jenna Mockler-Gjerde	Interim Director of Student Activities	Luther College
Aaron Detter	Senior Transportation Planner	UERPC

Section 3: Description of Work Elements

Work Element 1: Administration

Subtask 1.1: Develop Transportation Planning Work Program (TPWP)

- TASK OBJECTIVE:

  Identify expected RPA-1 activities and determine the associated costs for those activities for the coming fiscal year (SFY 2024) and prepare the SFY 2024 TPWP document.

- PREVIOUS WORK:

  Prepared Draft and Final versions of the SFY 2023 TPWP (this document), with revisions as requested.

- PROJECT DESCRIPTION:

  UERPC transportation planning staff identify activities necessary to carry out RPA-1 duties and responsibilities for the coming SFY and develops a corresponding budget. In addition, board, committee, and public input is collected and incorporated. Staff also work with the Policy Board to obtain approval of TPWP through resolution.

- PRODUCT/SCHEDULE:

  The Draft SFY 2023 TPWP will be submitted to the Iowa DOT by April 1, 2022 and the Final TPWP submitted by June 1, 2022.

- BUDGET:

<table>
<tr><th>Staff Hours</th><th colspan="2">Cost</th><th colspan="2">Funding Source</th></tr>
<tr><td rowspan="5">36.65</td><td>Personnel</td><td>$1,704.26</td><td>FHWA-STBG Carryover</td><td>$124.93</td></tr>
<tr><td rowspan="2">Direct Expenses</td><td rowspan="2">$68.17</td><td>FHWA-SPR New</td><td>$522.73</td></tr>
<tr><td>FHWA-STBG New</td><td>$647.50</td></tr>
<tr><td rowspan="2">Indirect Expenses</td><td rowspan="2">$499.92</td><td>FTA-5311 New</td><td>$522.73</td></tr>
<tr><td>UERPC Local Match</td><td>$454.47</td></tr>
<tr><td></td><td>Total:</td><td>$2,272.35</td><td>Total:</td><td>$2,272.35</td></tr>
</table>

Subtask 1.2: Administration of overall RPA-1 activities

- TASK OBJECTIVES:

  Provide ongoing management, administrative duties, and financial record keeping for RPA-1 operations and transportation-related activities.

- PREVIOUS WORK:

  Ongoing support of board and committees; prepare materials for, attend, and facilitate RPA meetings, track and manage funding, and complete DOT reporting. Completed five-year planning review with Iowa DOT, FHWA, and FTA.

- PROJECT DESCRIPTION:

  UERPC transportation planning and finance staff will provide office and administrative support to the Policy Board and its advisory committees. In addition, financial and activity records are maintained and monitored as needed and/or required. Staff members attend RPA and other DOT-sponsored meetings. Staff will maintain membership in relevant professional organizations and attend conferences and trainings that build the necessary knowledge and capacity to support multimodal transportation planning and technical assistance in the region.

- PRODUCT/SCHEDULE:

  All activities are ongoing. Products vary, but include: meeting agendas and minutes, press releases and notifications, DOT quarterly reporting (due July [for last quarter of previous SFY] and October 2022, and January and April 2023), invoices and other financial documentation as required or requested.

- BUDGET:

Staff Hours	Cost		Funding Source	
674.38	Personnel	$31,358.47	FHWA-STBG Carryover	$2,298.76
	Direct Expenses	$1,254.34	FHWA-SPR New	$9,618.14
			FHWA-STBG New	$11,914.00
	Indirect Expenses	$9,198.49	FTA-5311 New	$9,618.14
			UERPC Local Match	$8,362.26
	Total:	$41,811.30	**Total:**	$41,811.30

Subtask 1.3: Equipment and Supplies

- TASK OBJECTIVE:

  Ensure that computer hardware, software, and other equipment and supplies fulfill the needs of staff in carrying out the functions detailed in this TPWP.

- PREVIOUS WORK:

  Necessary supplies and equipment were purchased as needed.

- PROJECT DESCRIPTION:

  In addition to office supplies, UERPC maintains GIS software and licenses, with upgrades as needed. Adobe Illustrator, Photoshop, and InDesign are being considered as a purchase as well. These programs can assist with better presentation of graphic and written materials for transportation plans, studies, and materials. No further equipment purchases are anticipated, but the possibility exists should a need arise or an upgrade be needed, or should any current device fail.

- PRODUCT/SCHEDULE:

  UERPC will maintain up-to-date IT equipment and software, and sufficient supplies and equipment to carry out RPA-1 duties. These activities are ongoing as needed.

- BUDGET:

Staff Hours	Cost		Funding Source	
N/A	Personnel	$0.00	FHWA-STBG Carryover	$74.96
	Direct Expenses	$1,363.41	FHWA-SPR New	$313.64
			FHWA-STBG New	$388.50
	Indirect Expenses	$0.00	FTA-5311 New	$313.64
			UERPC Local Match	$272.68
	Total:	$1,363.41	**Total:**	$1,363.41

Work Element 2: Transportation Improvement Program (TIP)

- TASK OBJECTIVE:

  Develop a list of awarded state- and federal-aid projects in the RPA-1 planning area for the upcoming four federal fiscal years (FFY) that is formally adopted by the RPA-1 Policy Board and approved by the Iowa DOT. Funding programmed in the TIP is fiscally constrained and the TIP development process is conducted through a transparent and consistent public process. Conduct revisions and amendments to the current-year TIP as needed and required.

- PREVIOUS WORK:

  UERPC staff managed the development process and ongoing oversight and administration of the FFY 2022-2025 TIP.

- PROJECT DESCRIPTION:

  UERPC's transportation planner works with the Policy Board and its committees to produce a four-year, fiscally constrained plan that identifies the use of state- and federal-aid funds for multimodal transportation projects in RPA-1: streets and roads, walking and bicycling infrastructure, bridges, and transit. Specific tasks include:

  - Management of the application process for the region's Surface Transportation Block Grant (STBG) Program and Iowa's Transportation Alternatives Program (Iowa's TAP) funding.
  - Coordinate the project selection process, ensuring adequate opportunity for public participation.
  - Maintain funding-tracking spreadsheets.
  - Prepare the FFY 2024-2027 TIP for approval and submission to the Iowa DOT.
  - Facilitate the procedure for approving revisions and amendments to the TIP.
  - Attend TPMS trainings and update TPMS as needed or required.

- PRODUCT/SCHEDULE:

  Submit Final FFY 2023-2026 TIP by July 15, 2022 (primarily developed as part of the SFY 2022 TPWP). Draft FFY 2024-2027 TIP submitted to Iowa DOT by June 15, 2023; Final TIP submitted by July 15, 2023 (activity in July 2023 will be included as part of the future SFY 2024 TPWP). Other final products will include: project application cycle (STBG and Iowa's TAP); meeting minutes, agendas, and public notices for TIP amendments; project reviews; documentation of public engagement; and updates to TPMS (modifications and amendments completed as necessary) and funding-tracking spreadsheets.

- BUDGET:

Staff Hours	Cost		Funding Source	
184.70	Personnel	$8,034.39	FHWA-STBG Carryover	$588.97
	Direct Expenses	$321.38	FHWA-SPR New	$2,464.28
			FHWA-STBG New	$3,052.50
	Indirect Expenses	$2,356.75	FTA-5311 New	$2,464.28
			UERPC Local Match	$2,142.50
	Total:	$10,712.52	**Total:**	$10,712.52

Work Element 3: Transportation Planning

Subtask 3.1: Public Participation Plan (PPP)

- TASK OBJECTIVE:

  The goals of the public participation plan are to (1) inform and educate the public about transportation planning and activities within the region and (2) engage the public in a meaningful way throughout the decision-making process.

- PREVIOUS WORK:

  Ongoing review of the PPP to carry out public notifications and participation as required by the plan. Held public hearings and public input meetings during TIP development and modifications. Created and conducted surveys to collect input on various transportation planning efforts. Expanded educational efforts through speaking engagements as opportunities arose.

- PROJECT DESCRIPTION:

  UERPC's efforts to educate and engage the public in the decision-making process will continue through public hearings and meetings, speaking opportunities, online tools and surveys.

- PRODUCT/SCHEDULE:

  Adherence to the Public Participation Plan. Documentation and fulfillment of the goals and activities outlined therein will ensure an open and compliant process in RPA-1's transportation decision-making. These activities are ongoing.

- BUDGET:

Staff Hours	Cost		Funding Source	
37.50	Personnel	$1,631.22	FHWA-STBG Carryover	$119.58
	Direct Expenses	$65.25	FHWA-SPR New	$500.32
			FHWA-STBG New	$619.75
	Indirect Expenses	$478.49	FTA-5311 New	$500.32
			UERPC Local Match	$434.99
	Total:	$2,174.97	**Total:**	$2,174.97

Subtask 3.2: Passenger Transportation Plan (PTP)

- TASK OBJECTIVE:

  To develop plans and strategies to address the needs for passenger transportation and public transit, and to improve the delivery of these services in the region.

- PREVIOUS WORK:

  Convened and administered meetings of the Passenger Transportation Advisory Group (TAG); conducted survey of employers and employees regarding image and commuter routes for pilot projects; worked closely with the Director of Regional Transit on the planning and development of improved passenger transportation, with a particular focus on preparing for, studying, and exploring funding for a transition to an all-electric vehicle fleet.

- PROJECT DESCRIPTION:

  UERPC transportation planning staff typically coordinate 2-4 TAG meetings per year. Staff also assist our regional transit provider in working with large employers to address employee transportation needs, including surveying employees about transportation needs and priorities, discussing potential establishment of van pools and work routes, educating on multi-modal transportation options, support of workplace electric vehicle (EV) supply equipment implementation, and identifying other employee transportation solutions. In SFY 2023, RPA-1 will continue to assist public transit on work related to several PTP goals, including:

  - Continue to support research and technical assistance related to transitioning regional transit to an all-electric vehicle fleet.
  - Better communication between all entities (housing, economic development, tourism, etc.). Related strategies include engaging speakers on key issues and planning for future summits, conferences, round-tables, etc. to engage stakeholders.
  - Establish connections to neighboring transit systems to better serve commuters.
  - Consider opportunities for improving technology for public transit.
  - Assisting public transit in engaging large employers to discuss the establishment of van pool programs for employees.

  SFY 2023 will also include a large portion of work for the planning effort to do a five-year update to the PTP

- PRODUCT/SCHEDULE:

  Agendas and minutes of TAG meetings submitted to DOT by July 1, 2023.
  Participation in Technical Assistance programs and opportunities.

- BUDGET:

Staff Hours	Cost		Funding Source	
262.50	Personnel	$11,418.57	FHWA-STBG Carryover	$837.05
	Direct Expenses	$456.74	FHWA-SPR New	$3,502.26
			FHWA-STBG New	$4,338.25
	Indirect Expenses	$3,349.45	FTA-5311 New	$3,502.26
			UERPC Local Match	$3,044.95
	Total:	$15,224.77	**Total:**	$15,224.77

Subtask 3.3: Long-Range Transportation Plan (LRTP)

- TASK OBJECTIVE:

  Develop and update as needed a long-range, multimodal transportation plan (LRTP) for the RPA-1 region. Support the Policy Board, its committees, and local communities and stakeholder groups in achieving the goals identified in the LRTP. Ensure that the document is used as a guiding instrument by the Board and its committees as they consider projects, policies, and activities to improve the regional transportation system for all system users and all transportation modes. Update and modify the LRTP as needed and appropriate, in accordance with adopted procedures.

- PREVIOUS WORK:

  Utilizing and promoting the 2045 LRTP, *Safe Mobility for Everyone*, as a resource and reference for communities and stakeholders. Assisting the Policy Board and its committees in using the LRTP to review applications for Surface Transportation Block Grant (STBG) and Iowa's Transportation Alternatives Program (Iowa's TAP) funding.

- PROJECT DESCRIPTION/TIMELINE:

  UERPC transportation planning staff, along with the Policy Board, its committees, and local communities, will use the LRTP to guide project and policy decisions. UERPC staff will ensure that the plan is available to the public and utilized by regional stakeholders. Presentations to various stakeholder groups about the contents of the plan may be offered and letters of support for regional projects that support the goals of the plan will be provided as requested.

  Adoption of the LRTP in September 2019 began a five-year period during which the plan will serve as RPA-1's guiding policy document. During that time, the plan may be updated and amended as appropriate, in accordance with procedures, to reflect changing or evolving circumstances. A large portion of the early work on development of a full update to the plan will take place during SFY 2022, with early coordination and project planning likely beginning in late 2022 or early 2023 for the adoption of a new five-year plan by September of 2024.

- PRODUCT/SCHEDULE:

  A living document that guides RPA-1's transportation planning and policy decisions. Guidance to the Policy board, its committees, regional stakeholders, and the public. Work on and complete RPA-1 LRTP updates as needed, with associated tasks of data collection and mapping, engagement with the RPA-1 Policy Board, committees, regional stakeholders, and the public, and plan submission, revision, and adoption according to the stated timeline.

- BUDGET:

Staff Hours	Cost		Funding Source	
225.00	Personnel	$9,787.35	FHWA-STBG Carryover	$717.47
	Direct Expenses	$391.49	FHWA-SPR New	$3,001.94
			FHWA-STBG New	$3,718.50
	Indirect Expenses	$2,870.96	FTA-5311 New	$3,001.94
			UERPC Local Match	$2,609.96
	Total:	$13,049.80	**Total:**	$13,049.80

Subtask 3.4: State and Regional Planning Initiatives

- TASK OBJECTIVE:

  To engage in state and regional transportation-related initiatives which complement and support the region's long- and short-range transportation goals and bring new partnerships, knowledge and resources to the state, region, and RPA-1 communities.

- PREVIOUS WORK:

  Previous work includes comprehensive planning in the region, Safe Routes planning and coordination for schools and communities, Mississippi River Partnership, Turkey River Recreational Corridor, various trail groups and economic development initiatives, coordination and communication with communities on potential local transportation plans, and coordination with the bi-regional "Highway 150 Coalition" in collaboration with INRCOG and the Highway 150 communities of both regions. During SFY 2022, RPA-1's transportation planner concluded a regional trail economic impact analysis for the region's "Backbone" trail system. The Backbone Trail is intended to connect four major trails in the region to create border-to-border (MN to WI) trail connectivity, serving as the "backbone" for a greater regional trail network.

- PROJECT DESCRIPTION:

  UERPC transportation planning staff will continue to engage in the initiatives listed above and are open to participating in new initiatives as they relate to transportation in the region. Other projects may include:

  - RPA-1 has seen interest in local transportation plans from multiple communities in the region. Planners would like to assist communities as needed in the creation of local transportation plans to address current conditions and future planning for road/bridge, sidewalk, bike, trail, and public transportation in the individual communities. Other planning topics may include safety and regional connections, or other tasks as developed in conversation with individual communities.
  - RPA-1 will continue to help plan, facilitate, and pursue additional funding for the NE Iowa electric vehicle (EV) project, "Driving Electric in Rural NE Iowa: An Analysis, Planning, Workforce, and Major Employer Partnership." The timeline for this ongoing effort includes initial EV study, EV workgroup/partner engagement, EV corridor planning, and employer engagement continuing in SFY 2023, and ongoing EV engagement and workgroup processes where community interest and partner support align.
  - RPA-1 will continue ongoing assistance with the regional trail counting initiative and user surveys.
  - RPA-1 will assist communities with transportation-related data collection and analysis, including geodata and geospatial analysis.

- PRODUCT/SCHEDULE:

  Various sustained initiatives. With the completion of the regional trail economic impact analysis, RPA-1's transportation planner will continue to communicate its findings to communities and present at gatherings and conferences as needed or requested. Trail count and survey data will continue to be collected, compiled, analyzed, and maintained for long term use. Work with the Highway 150 Coalition is ongoing and will include assistance with research and data, and presentations to community groups and the State Transportation Commission as appropriate and requested.

- BUDGET:

Staff Hours	Cost		Funding Source	
225.00	Personnel	$9,787.35	FHWA-STBG Carryover	$717.47
	Direct Expenses	$391.49	FHWA-SPR New	$3,001.94
			FHWA-STBG New	$3,718.50
	Indirect Expenses	$2,870.96	FTA-5311 New	$3,001.94
			UERPC Local Match	$2,609.96
	Total:	$13,049.80	**Total:**	$13,049.80

Work Element 4: Technical Assistance

- TASK OBJECTIVE:

  To serve as the regional point of contact and resource for transportation planning expertise and transportation-related issues, activities, and questions.

- PREVIOUS WORK:

  Assisted communities, governmental and public service agencies, regional advocacy committees, and citizens with transportation research, regional data collection, general transportation questions and grant support. Some examples of work over the last year include:

  - Attend Northeast Iowa Healthy Communities Network meetings.
  - Assisted communities in researching and applying for grants to fund trails and other walking and bicycling infrastructure.
  - Attended Iowa Association of Councils of Governments (ICOG) events.
  - Attended six-county supervisors/engineer's meetings.
  - Assistance with bike and pedestrian safety education for regional youth.
  - Hosted legislative events for the region.
  - Meeting with regional transit director to discuss regional transit issues.
  - Responded to city or county requests for assistance regarding specific road and trail projects.
  - Corresponded with Iowa DOT staff to discuss transportation planning practices and requirements. Reviewed transportation planning information on DOT website, and as received from the Iowa DOT.
  - Researched and relayed information on the Iowa's TAP and STBG application process. Met or corresponded with communities in the region regarding Iowa's TAP or STBG projects.
  - Worked with the regional Passenger Transportation Advisory Group (TAG) on several ongoing initiatives and discussions.
  - Researched information on TAP practices in the region, and provided information on history of TAP projects, annual TAP Flex distribution, and TAP applications to DOT staff as requested.
  - Met with cities regarding potential local transportation plans, data needs, and GIS analysis.
  - Worked with partners on researching electric vehicle plans and data, project framing and coordination, and grant-writing for Northeast Iowa electric vehicle project.

- PROJECT DESCRIPTION:

  UERPC transportation planning staff will continue to fulfill the role as the region's source for transportation expertise and technical assistance by pursuing opportunities to engage communities and groups regarding transportation planning and RPA-1's functions, and by providing ongoing transportation technical assistance

as requested from communities, agencies, committees, and citizens. These activities including:

- Maintain regional transportation data.
- Distribute transportation-related funding notices, programs, educational opportunities, etc. to regional stakeholders.
- Correspondence with Iowa DOT staff to discuss transportation planning practices and requirements.
- Transportation research and GIS analysis.
- Meet with RPA-1 planning staff to discuss regional planning activities, timeframes, and delegation of responsibilities.
- Transportation research in preparation for quarterly Enhancement Committee, Technical Committee, and Policy Board Meetings.
- Meet or correspond with communities in the region to discuss potential Iowa's TAP and STBG projects, including addressing project development options, community needs, and the application process and timeline. Other general project development assistance. Other general research and preparation for the STBG and Iowa's TAP application processes.
- Work with regional transit and the Passenger Transportation Advisory Group (TAG) on ongoing passenger transportation planning and initiatives.
- Research transportation best practices and attend trainings and conferences in order to apply or share information as opportunities arise.
- Project planning, coordination, and grant research for onging regional Electric Vehicle (EV) study.
- Transportation-related grant writing/administration support to communities.

- PRODUCT/SCHEDULE:

  UERPC will assist EARL Public Transit as needed and will continue to assist the RPA-1 region with transportation research and data analysis, along with general transportation inquiries from communities and transportation-related grant writing/administration support. These are all continuing processes with ongoing activities.

- BUDGET:

<table>
<tr><th>Staff Hours</th><th colspan="2">Cost</th><th colspan="2">Funding Source</th></tr>
<tr><td rowspan="6">559.07</td><td>Personnel</td><td>$22,642.38</td><td>FHWA-STBG Carryover</td><td>$1,659.82</td></tr>
<tr><td rowspan="2">Direct Expenses</td><td rowspan="2">$905.70</td><td>FHWA-SPR New</td><td>$6,944.78</td></tr>
<tr><td>FHWA-STBG New</td><td>$8,602.50</td></tr>
<tr><td rowspan="2">Indirect Expenses</td><td rowspan="2">$6,641.76</td><td>FTA-5311 New</td><td>$6,944.78</td></tr>
<tr><td>UERPC Local Match</td><td>$6,037.97</td></tr>
<tr><td>Total:</td><td>$30,189.83</td><td>Total:</td><td>$30,189.83</td></tr>
</table>

Special Project 1: Lansing Main Street/IA-9 Corridor Vision Plan

- TASK OBJECTIVE:

  To conduct a planning and visioning process for the City of Lansing, Iowa, in collaboration with other stakeholders and partners, which reflects the community's needs, desires, and concerns for the Main Street/IA-9 corridor within Lansing's corporate limits.

- PROJECT DESCRIPTION:

  UERPC will complete a Main Street/IA-9 Corridor Vision Plan for the City of Lansing (City). The physical area to be considered in the planning effort includes the Main Street/IA-9 corridor within the City of Lansing's corporate limits, up to the landing/entrance to the IA-9 Mississippi River bridge (however, not including the bridge structure itself). The "corridor" is inclusive of the highway/street right-of-way itself as well as adjacent and/or connecting properties and public rights-of-way. The planning process may include, but is not limited to:

  - Multiple meetings with City Council and/or a steering committee
  - Development and implementation of a community survey
  - Data gathering, analysis, and, potentially, collection
  - Design and rendering services
  - Geographic information systems (GIS) analysis and mapping
  - Two or more community input meetings
  - Plan document layout, drafting, and production
  - Final community open house

- PRODUCT/SCHEDULE:

  The end goal of the effort is to present a community-derived vision for the corridor, looking at specific intersections and other focus areas, and considering community and City input regarding such concerns as traffic safety, utilities, environmental impacts, historic preservation, and more. The final document will feature summaries of community input and relevant data, but the plan's emphasis will be its visual representations and renderings of potential intersection configurations/treatments, street cross-sections, community gateways, and more.

  It is anticipated that the planning effort and project coordination will commence on or after October 1st, 2022, and that the effort will likely take at least one year. As such, this special project will be included in future TPWP's, as appropriate, until the funding is fully spent or the project is complete, whichever comes first. The project shall be considered complete upon delivery of the final planning document to the City of Lansing in both digital and print formats.

  If dedicated STBG funding for this special project should be exhausted before completion of the project, any additional work to complete the project may be

completed under Work Element 3 (Transportation Planning) and/or Work Element 4 (Technical Assistance) of this TPWP, as applicable and appropriate.

- BUDGET:

Staff Hours	Cost		Funding Source	
426.00	Personnel	$18,750.00	FHWA-STBG Carryover	$0.00
	Direct Expenses	$1,250.00	FHWA-SPR New	$0.00
			FHWA-STBG New	$20,000.00
	Indirect Expenses	$5,000.00	FTA-5311 New	$0.00
			UERPC Local Match	$5,000.00
	Total:	$25,000.00	**Total:**	$25,000.00

Section 4: Budget Summary and Funding Sources

			Federal Funds						
Work Element	**Subtask**	**Work Hours**	**FHWA STBG Carryover**	**FHWA SPR New**	**FHWA STBG New**	**FTA 5311 New**	**Total Federal**	**UERPC Local Match**	**TOTALS**
Administration	TPWP	36.65	$124.93	$522.73	$647.50	$522.73	$1,817.88	$454.47	$2,272.35
	Admin. Overall	674.38	$2,298.76	$9,618.14	$11,914.00	$9,618.14	$33,449.04	$8,362.26	$41,811.30
	Equip./ Supplies		$74.96	$313.64	$388.50	$313.64	$1,090.73	$272.68	$1,363.41
	Subtotal	**711.03**	**$2,498.65**	**$10,454.50**	**$12,950.00**	**$10,454.50**	**$36,357.65**	**$9,089.41**	**$45,447.06**
Transp. Improv. Prog. (TIP)		**184.70**	**$588.97**	**$2,464.28**	**$3,052.50**	**$2,464.28**	**$8,570.02**	**$2,142.50**	**$10,712.52**
Transportation Planning	PPP	37.50	$119.58	$500.32	$619.75	$500.32	$1,739.97	$434.99	$2,174.97
	PTP	262.50	$837.05	$3,502.26	$4,338.25	$3,502.26	$12,179.81	$3,044.95	$15,224.77
	LRTP	225.00	$717.47	$3,001.94	$3,718.50	$3,001.94	$10,439.84	$2,609.96	$13,049.80
	Regional Planning	225.00	$717.47	$3,001.94	$3,718.50	$3,001.94	$10,439.84	$2,609.96	$13,049.80
	Subtotal	**749.99**	**$2,391.57**	**$10,006.45**	**$12,395.00**	**$10,006.45**	**$34,799.47**	**$8,699.87**	**$43,499.33**
Technical Assistance		**559.07**	**$1,659.82**	**$6,944.78**	**$8,602.50**	**$6,944.78**	**$24,151.87**	**$6,037.97**	**$30,189.83**
Special Project 1: Lansing Main Street/IA-9 Corridor Vision Plan		**426.00**	**$0.00**	**$0.00**	**$20,000.00**	**$0.00**	**$20,000.00**	**$5,000.00**	**$25,000.00**
TOTALS		**2630.78**	**$7,139.00**	**$29,870.00**	**$57,000.00**	**$29,870.00**	**$123,879.00**	**$30,969.75**	**$154,848.75**

FHWA Statewide Planning & Research (SPR) program funding is transferred to FTA 5305e funding in a consolidated planning grant application.
FHWA Surface Transportation Block Grant (STBG) program funding is transferred to FTA 5311 program funding in a separate FTA transfer grant application.

Section 5: Resolution(s)/Board Approval(s)

UPPER EXPLORERLAND TRANSPORTATION POLICY BOARD
REGIONAL PLANNING AFFILIATION 1 (RPA-1)
RESOLUTION 2022 - 01

RESOLUTION TO APPROVE
THE RPA-1 TRANSPORTATION PLANNING WORK PROGRAM (TPWP), STATE FISCAL YEAR 2023

WHEREAS, the Iowa Department of Transportation requires RPA-1 to develop annually a Transportation Planning Work Program (TPWP) that identifies the transportation planning and administrative tasks on which federal funding will be used over the course of the upcoming state fiscal year (SFY) for the RPA-1 region; and

WHEREAS, the Upper Explorerland Transportation Policy Board members have had a chance to review the draft RPA-1 TPWP for SFY 2023; and

WHEREAS, the draft RPA-1 TPWP for SFY 2023 has been available for public review for at least 15 days; and

WHEREAS, the Upper Explorerland Transportation Policy Board held a public hearing on May 25th, 2022 to receive public comments on the draft RPA-1 TPWP for SFY 2023;

BE IT THEREFORE RESOLVED that the Upper Explorerland Transportation Policy Board hereby approves the RPA-1 TPWP for SFY 2023.

Passed and adopted this 25th day of May, 2022

Signed: _____
Mark Vick, Chair
Upper Explorerland RPA-1 Transportation Policy Board

Attest: _____
Aaron Detter, Transportation Planning Administrator
Upper Explorerland Regional Planning Commission

UPPER EXPLORERLAND TRANSPORTATION POLICY BOARD
REGIONAL PLANNING AFFILIATION 1 (RPA-1)
RESOLUTION 2022 - 02

RESOLUTION TO APPROVE
AMENDMENT 1 TO THE RPA-1 TRANSPORTATION PLANNING WORK PROGRAM (TPWP) for STATE FISCAL YEAR 2023

WHEREAS, the Iowa Department of Transportation (Iowa DOT) requires RPA-1 to develop annually a Transportation Planning Work Program (TPWP) that identifies the transportation planning and administrative tasks on which federal funding will be used over the course of the upcoming state fiscal year (SFY) for the RPA-1 region; and

WHEREAS, the Upper Explorerland RPA-1 Transportation Policy Board formally approved the RPA-1 TPWP for SFY 2023 on May 25th, 2022; and

WHEREAS, the City of Lansing (City) was awarded Surface Transportation Block Grant (STBG) funds in federal fiscal year (FFY) 2023 in the amount of $20,000 by the Upper Explorerland Transportation Policy Board on March 16th, 2022, for the City to complete a Main Street/Highway 9 Corridor Vision Plan (Project); and

WHEREAS, the Iowa DOT has advised that such a planning project can be added to the RPA-1 TPWP and budget via amendment as a special project if the grantee decides to work with Upper Explorerland Regional Planning Commission (UERPC)/RPA-1; and

WHEREAS, the City wishes to work with UERPC/RPA-1 on the Project and supports the inclusion of the Project in the RPA-1 TPWP as a special project, including the transfer of STBG funding to the RPA-1 TPWP budget for the special project, to which the City will contribute up to $5,000 in matching funds; and

WHEREAS, the proposed amendment to add the Project to the RPA-1 TPWP for SFY 2023, as described above, has been publicly noticed and available for public review for at least 15 days; and

WHEREAS, the Upper Explorerland RPA-1 Transportation Policy Board held a public hearing on July 13th, 2022 to receive public comments on the proposed amendment to the RPA-1 TPWP for SFY 2023;

BE IT THEREFORE RESOLVED that the Upper Explorerland RPA-1 Transportation Policy Board hereby approves the proposed amendment, as described above, to the RPA-1 TPWP for SFY 2023.

Passed and adopted this 13th day of July, 2022

Signed: _____

Mark Vick, Chair
Upper Explorerland RPA-1 Transportation Policy Board

Attest: _____

Aaron Detter, Transportation Planning Administrator
Upper Explorerland Regional Planning Commission/RPA-1

Section 6: Additional Required Items

TPWP Revisions

- *Waiver of approvals*

  All work program changes require prior written Federal approval, unless waived by the awarding agency. The following table denotes the approving agency for various changes to work programs:

Revision Type:	Approving Agency:
Request for additional Federal funding	FTA/FHWA
Transferring substantive programmatic work to a third party (consultant)	FTA/FHWA
Capital expenditures, including the purchasing of equipment	FTA/FHWA
Transfer of funds allotted for training allowances	FTA/FHWA
Transfers of funds between categories, projects, functions, or activities which exceed 10% of the total work program budget, or when the Federal share of the budget exceeds $150,000	FTA/FHWA
Revision of the scope or objectives of activities	FTA/FHWA
Transfers of funds between categories, projects, functions, or activities which do not exceed 10% of the total work program budget, or when the Federal share of the budget is $150,000 or less	IDOT
Revisions related to work that does not involve federal funding	RPA-1

- *Revision and Approval Procedures*

  All revision requests will be submitted electronically to the Iowa DOT's Systems Planning Bureau. Four hard copies of the revision shall also be sent to Systems Planning, which will be forwarded to the DOT District, FHWA, and FTA for review and any necessary approvals.

  - Revision requests shall, at a minimum, include:
    - A resolution or meeting minutes showing the revision's approval.
    - Budget summary table with changes highlighted/noted.
    - Modified section(s) of the plan's work elements with changes highlighted/noted.
  - Revisions where **FHWA/FTA** is the designated approving agency shall require written approval by FHWA/FTA prior to commencement of activity, purchasing of equipment, or request for reimbursement.
  - Revisions where the **Iowa DOT Systems Planning Bureau** is the designated approving agency shall require written approval by the Iowa DOT Systems Planning Bureau prior to commencement of activity, purchasing of equipment, or request for reimbursement.
  - Revisions where **RPA-1** is the approving agency shall be approved by the Policy Board.
  - Notification by the approving agency will be in writing.

NOTE: All necessary TPWP approvals shall be in place prior to the commencement of activity, purchasing of equipment, or request for reimbursement. More specifically in regard to the

procurement of equipment and services, there will be no notification of award, signed contract, placement of an order, or agreement with a contractor prior to receiving the necessary TPWP approvals.

Federal Planning Funds Carryover Policy

Background

Each year, federal planning funds from both the Federal Highway Administration (FHWA) and Federal Transit Administration (FTA) are combined into a new consolidated planning grant (CPG) under the FTA. This includes all federal transportation funds that are utilized by metropolitan planning organizations (MPOs) and regional planning affiliations (RPAs) in Iowa for planning, including FHWA metropolitan planning (PL), state planning and research (SPR), and surface transportation block grant (STBG) funds and FTA 5305d, 5305e, and 5311 funds. The FHWA funding sources are transferred to FTA for inclusion in the CPG, and once funds are part of an awarded CPG they are unable to be deobligated for other purposes.

Carryover is defined as any unspent funding that has been targeted to the agency, but is not included in the agency's current state fiscal year (SFY) budget. During the Transportation Planning Work Program (TPWP) development cycle, carryover 'targets' that show the current balances of carryover funding are provided to the agency along with targets for new federal funding. However, it should be noted that an agency does not have to wait for the next TPWP cycle to utilize carryover funding if there are anticipated needs in the current fiscal year. Unbudgeted funding is available to the planning agency to be amended into its budget at any time. Unspent funding from the prior SFY is available to the planning agency to be amended into its budget following close-out of the prior SFY.

When developing the TPWP, agencies are required to program carryover funding before programming new funding. When reimbursement requests are submitted to the Iowa Department of Transportation (DOT), payments are made by utilizing the oldest funding source in the agency's planning agreement. Funding is drawn down first by age, then sequentially by source. This helps streamline bookkeeping and ensure that funding within older CPGs is utilized prior to funding within newer CPGs.

Since MPOs and RPAs are allowed to carry over unused federal planning funds rather than being required to draw them down within a fiscal year, multiple CPGs are open at any given time. FTA has asked Iowa DOT to ensure funds are being drawn down in a timely manner and to work to limit the number of CPGs that are open. Furthermore, the new grant management system FTA launched in 2016 requires additional documentation and justification to keep a grant open past its original end date.

In order to satisfy FTA while still providing flexibility to MPOs and RPAs, Iowa DOT has implemented internal steps to reduce the number of CPGs that are open, and has also developed the policy outlined below. Internal steps that Iowa DOT has taken include discussing the necessity of STBG transfers with individual agencies when substantial carryover balances

exist, and evaluating planning agreements and amending them if necessary early in the SFY to ensure any older funding that was unspent in the previous SFY is utilized prior to newer funding. The MPO/RPA carryover policy, which is outlined below, took effect as part of the SFY 2018 TPWP cycle.

The internal changes and the MPO/RPA carryover policy will help Iowa DOT manage carryover balances that have become problematic for a small number of planning agencies. Over time, reduced carryover balances will allow Iowa DOT to maintain fewer open CPGs. In addition, the policy will prevent unnecessary funding transfers from FHWA to FTA, thus enabling SPR and STBG funding to be used more efficiently.

Iowa DOT's Federal Planning Funds Carryover Policy for RPAs

At the beginning of the calendar year, each planning agency's average annual federal transportation planning expenditures, based on the past five state fiscal years, will be calculated. If an RPA has available carryover balances[1] totaling more than this average, the following will apply.

The RPA will receive its FTA allocation of 5305e and/or 5311 funding. The agency will not receive an SPR allocation or be allowed to transfer STBG funds for planning unless it can substantiate anticipated budget needs tied to significant expenditures (e.g., LRTP update, equipment purchases, consultant services, etc.).

Every year prior to or during the distribution of annual targets, each agency will be provided with its average annual federal expenditures and carryover balances and informed whether or not its SPR and/or STBG funds will be constrained due to available carryover balances. The agency will be provided an opportunity to respond and substantiate any anticipated significant expenditures during the upcoming contract year that would necessitate the SPR and/or STBG funding transfer. Iowa DOT will consider these needs and provide a response to the agency prior to distributing final targets. Any STBG constrained through this process will remain part of the planning agency's STBG balance and will be available for programming toward other projects. Any SPR constrained through this process will remain with Iowa DOT and be utilized as part of its SPR program.

[1] Carryover balances include any unspent funding that has been targeted to the agency but is not included in the agency's current SFY budget.

Cost Allocation Plan

UPPER EXPLORERLAND REGIONAL PLANNING COMMISSION
134 West Greene Street - Postville, IA 52162
325 Washington Street, Suite A - Decorah, IA 52101

COST ALLOCATION PLAN

A. INTRODUCTION

Upper Explorerland Regional Planning Commission (UERPC) is a "council of governments" serving the counties of Allamakee, Clayton, Fayette, Howard, and Winneshiek Iowa. UERPC's mission is to promote regional cooperation and meet the planning and economic development needs of local governments as noted in Chapter 28H of the Code of Iowa. UERPC's main office is located in Postville, Iowa.

UERPC administers a variety of programs with funding received from the Department of Commerce, Department of Transportation, Department of Labor, and Department of Housing and Urban Development.

B. COST ALLOCATION METHODOLOGY

This proposal is for a Cost Allocation Plan (Plan) to cover the period beginning July 1, 2022 and ending June 30, 2023. This proposal is based on UERPC's actual costs reconcilable to the audited financial statements for its fiscal year ending June 30, 2021. The status of our cost allocation plan is:

☐ (a) This is our initial request for the approval of our cost allocation plan. None of the federal agencies have ever officially approved of our cost allocation plan.

■ (b) We have received an official written approval of our cost allocation plan from Department of Commerce funding agency. The most recent acceptance letter was received on July 21, 2021 for the reporting period ending June 30, 2021.

☐ (c) We have received written approval of our cost allocation plan from Iowa Department of Transportation multiple times. However, we have been unable to obtain formal Federal Cognizant approval of our Indirect Cost Proposal.

The Plan has been established as a means of providing an adequate and equitable allocation of costs to the programs administered by UERPC. The allocation of costs is performed on a monthly basis. Formal accounting records are maintained to support the cost allocation plan set forth below. For effective cost allocating, programs with administrative dollars equal to or less than $3,000 will not be included as part of the allocation plan outlined below. Rather, these fees will be deemed "technical assistance" and will follow the guidelines established for technical

assistance fees of the Planning Commission. UERPC maintains adequate internal controls to ensure that no cost is charged both directly and indirectly to Federal contracts or grants.

C. DIRECT COSTS

Direct costs are defined as costs incurred that can be specifically identified with a particular grant/program area. These costs may be identified using employee time sheet data, square footage methodology, usage records, direct program approved costs, and other methods as allowable for direct cost distribution.

Salaries & Wages

Semi-monthly, employees of the Planning Commission will be required to submit to the Finance Manager a time record documenting the number of hours worked in the individual grant/program areas. Gross salaries will be distributed and posted to each grant/program area according to timesheet percentages. Salaries and wages will be charged directly to the program for which work has been done. Costs that benefit all programs will be allocated to those programs based on the ratio of each program's salaries to the total of all direct salaries. See also "Indirect Labor' defined below.

Fringe Benefits - Direct

The Planning Commission has a formal written policy regarding the fringe benefits provided to its employees. The cost of employer contributions to social security, Medicare and the Planning Commission's retirement plan (IPERS and 457(b) option) are distributed based on each employee's individual payroll percentage calculated in any given month for the various grant/program areas.

Employer contributions to health, dental, vision, short term disability, long term disability and life insurance premiums are also distributed in accordance with each employee's individual payroll percentages. Fringe Benefits described within this section that benefit all programs will be allocated to those programs based on the ratio of each program's salaries to the total direct salaries. See also "Fringe Benefits – Indirect" defined below.

Leave Benefits -Direct

Leave costs, including annual leave, sick leave, holidays, and compensatory time will be distributed monthly to the grant/program areas according to each individual employee's time record percentages. Formal leave records are maintained for each employee of the Planning Commission.

Other Costs - Direct

Other direct costs will include but are not limited to advertising, car replacement, conference fees/training, consulting fees, contracted services, depreciation, dues & subscriptions, equipment purchases*, maintenance agreements, office rent, office supplies, postage, printing & reproduction, professional services, and travel & per diem.

* Equipment and other capital expenditures will be allowable as a direct cost provided that specific approval of such expenditures has been granted by the grant/program area and equipment is purchased in accordance with UERPC's procurement policy.
The accounting system records these costs as they are incurred within the series of accounts assigned for that purpose. Further distribution is not required.

D. INDIRECT COSTS

Indirect costs are costs incurred for common or joint objectives and therefore cannot be readily and specifically identified with a particular project or activity. Indirect costs are:

☐ (a) direct charged to all programs and grants, or

■ (b) grouped into common pool(s) and then distributed to benefiting activities by a cost allocation process.

☐ (c) none of the above. Indirect costs are _____.

E. COST POOL AND BASE FOR DISTRIBUTION

UERPC has created an "Allocated Cost Pool" consisting of indirect labor, indirect fringe benefits, indirect leave benefits, and other indirect costs (also referred to as "Allocated Costs").

Indirect (allocated) costs are defined as those costs incurred that benefit more than one grant/program area and cannot be directly assigned to one specific grant/program area. To allow for equitable distribution, the indirect (allocated) costs are distributed to the various program activities on the basis of total direct salaries and wages, including fringe benefits expended on those activities. See also footnote[1] below.

The Allocated Cost Pool consists of but is not limited to:

Indirect Labor

Indirect labor is defined as those salaries chargeable all grant/program areas. For purposes of this plan, indirect labor will include but is not limited to the hours worked by Planning Commission support staff. The director will report indirect labor hours as deemed necessary.

Fringe Benefits - Indirect

Indirect fringe benefits are defined in the same manner as noted above but apply only to indirect labor costs.

Leave Benefits - Indirect

Indirect leave costs are defined in the same manner as noted above but apply only to indirect labor costs. Formal leave records are maintained for each employee of the Planning Commission.

Other - Indirect

Indirect (allocated) costs may also include but are not limited to capital improvements, dues & subscriptions, equipment leases, janitorial, maintenance & repair, miscellaneous, office insurance, office supplies, printing & reproduction, postage, professional services, service contracts, telephone, travel, and utilities.

[1]To maintain reasonable and fair distribution of indirect (allocated) costs such as janitorial and utilities, the floor plan and square footage ratios of the office building(s) will be reviewed no less than bi-annually and changes to the indirect cost method in place will be made as deemed necessary to accommodate equitable cost sharing.

F. DESCRIPTION OF ACCOUNTING SYSTEM

UERPC uses a modified accrual system of accounting. Under the modified accrual basis of accounting, revenues are recognized when susceptible to accrual (i.e. when they become both measureable and available). "Measurable" means the amount of the transaction can be determined and "available" means collectible within the current period or soon enough thereafter to be used to pay liabilities of the current period. Expenditures are recorded when the related liability is incurred.

The Plan of UERPC will be reviewed on a regular basis but no less than annually to determine that a fair and reasonable allocation of expenses is maintained and that such expenses are allowable in accordance with the provisions of each grant/program contract. The Plan will be presented annually to the Board of Commissioners and submitted to UERPC's cognizant agency as required.

G. ORGANIZATIONAL CHART

Attached

H. COST ALLOCATION PLAN CERTIFICATION

Attached

Certificate of Indirect Cost Proposal/Indirect Cost

upper explorerland regional planning commission

Serving Allamakee, Clayton, Fayette, Howard and Winneshiek Counties
325 Washington Street, Suite A, Decorah, IA 52101
PHONE: 563/382-6171, Ext 210, FAX: 563/382-6311
For deaf/hard of hearing, use Relay Iowa 711

www.uerpc.org
keooper@uerpc.org

CERTIFICATE OF INDIRECT COST PROPOSAL/INDIRECT COSTS

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

(1) All costs included in this proposal dated March 14, 2022 to establish a:

■ Cost Allocation Plan
☐ Indirect Cost Rate

for **the Fiscal Year July 1, 2022 to June 30, 2023** are allowable in accordance with the requirements of the Federal awards to which they apply and with Subpart E—Cost Principles of Part 200 as they apply to my:

■ Governmental Organization
☐ Non-Profit Organization

(2) This proposal does not include any costs which are unallowable under Subpart E—Cost Principles of Part 200 such as (without limitation): public relations costs, contributions and donations, entertainment costs, fines and penalties, lobbying costs, and defense of fraud proceedings; and

(3) All costs included in this proposal are properly allocable to Federal awards on the basis of a beneficial or causal relationship between the expenses incurred and the Federal awards 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.

Subject to the provisions of the Program Fraud Civil Remedies Act of 1986, (31 USC 3801 et seq.), and the Department of Labor's implementing regulations, (29 CFR Part 22), the False Claims Act (18 USC 287 and 31 USC 3729); and the False Statement Act (18 USC 1001), I declare to the best of my knowledge that the foregoing is true and correct.

Rachelle Howe
(Signature)

(Signed by the official having the authority to negotiate indirect cost rates for the organization or by a higher level official.)

Rachelle Howe, Executive Director
(Please Print Name and Title)

Upper Explorerland RPC
(Name of Organization)

3/14/2022
(Date Signed)

Self-Certification of Procurement and Consultant Selection Procedures

upper explorerland regional planning commission

Serving Allamakee, Clayton, Fayette, Howard and Winneshiek Counties
325 Washington Street, Suite A, Decorah, IA 52101
PHONE: 563/382-6171, FAX: 563/382-6311
www.uerpc.org

MPO/RPA Self-Certification of
Procurement and Consultant Selection Procedures

This is to certify that I have reviewed the Iowa DOT Purchasing Rules (Iowa Administrative Code 761, Chapter 20) and will ensure procurements or the selection of consultant firms for projects to be reimbursed with federal transportation planning funds will follow the policies and procedures outlined in the above-referenced purchasing rules.

Further, I certify that the following requirements will be adhered to for procurements and consultant services to be reimbursed with federal transportation planning funds.

- Capital expenditures, including the purchase of equipment, will be a separate line item in an approved Transportation Planning Work Program (TPWP) if the anticipated total cost exceeds $5,000.
- An approved TPWP will specify that a project will involve consultant services prior to initiating the consultant selection process.
- Our agency will document the procedures utilized for the procurement or consultant selection, and will retain this documentation on file for a minimum of three years.
- When reimbursement is requested for capital expenditures or consultant services, we will provide our District Planner and the Office of Systems Planning, through email or hard copy, invoices documenting the expenditure(s) at the time the associated reimbursement request is submitted.

I declare to the best of my knowledge and ability that we will adhere to the above requirements.

Rachelle Howe
(Signature)

Rachelle Howe
(Please Print Name)

Executive Director
(Title)

Upper Explorerland Regional Planning Commission
(Name of Organization)

March 14, 2022
(Date Signed)

(Signed by the official having the authority to initiate procurements or consultant selection for the organization or by a higher level official.)