

Regional Planning Commission of Greater Birmingham



To serve as
a catalyst
for regional
leadership,
cooperation and
sustainability in
Blount, Chilton,
Jefferson, Shelby,
St. Clair and
Walker Counties
of Central
Alabama

Fiscal Year 2014 Adopted Budget
(October 1, 2013 - September 30, 2014)



Dear RPCGB Stakeholders:

Your Regional Planning Commission of Greater Birmingham (RPCGB) has had a very exciting year with the potential for even greater developments in 2014. As Fiscal Year 2013 comes to a close, the RPCGB anticipates ending the year with a positive fund balance of approximately \$1,000,000. This is only the fourth time in twelve years that we could make such a claim. In addition, it was not long ago (2006) when the RPCGB faced a record deficit of over \$1.6 million.

While some agencies are able to either add revenue or cut expenses to bring fund balances back in line, the RPCGB's options were more limited. We have very little general operating revenue, as most funding is tied to a specific project or program. However, through disciplined management and extremely hard work on the part of our staff, your Commission has continued to remain in good fiscal health. The following budget will detail many of these continuing efforts and offer a glimpse of our future efforts to bring prosperity to the region.

A major addition to the RPCGB family of services was the Medicaid Waiver program in FY2012. This program more than doubled our budget income and doubled our staff. We were able to provide all the resources necessary to accommodate this addition and continue to have excellent cash flow. In addition to the financial portion of the operations, our team was able to eliminate a 2-year waiting list for applications to the program.

Along with the long-term effects of sequestration there are a number of looming developments over which we remain vigilant. First, a large majority of RPCGB funding is tied directly to the federal budget, particularly funding for transportation projects. With the passage of the new transportation bill, MAP-21, and continued regulation development we will continue to closely follow the continued policy discussions and make adjustments, if and when, necessary.

We must continue to be cognizant of the fiscal health of our local member governments. Among the major concerns are the ongoing deliberations between Jefferson County and its creditors. We continue to monitor the effects of the bankruptcy throughout the region. Other jurisdictions in the region are faring better, although few if any are experiencing any measurable growth in revenues.

Despite these challenges, the future of the RPCGB looks bright. For the past year, the Commission and the Birmingham Metropolitan Planning Organization (MPO) have worked to develop the Transportation Improvement Program (TIP). The TIP is the 3-5 year implementation strategy for the 25-year Regional Transportation Plan (RTP).

The past success of the RPCGB is a tribute to the strong collaborative spirit that exists in our region. In the next sections of this budget, we clearly demonstrate the Commission's: 1) dedication to maintaining the momentum of collaboration; 2) dedication to fiscal responsibility; and 3) dedication to providing member governments and citizens the most efficient and effective service possible.

Sincerely,

Charles Ball, AICP
Executive Director



GOVERNMENT FINANCE OFFICERS ASSOCIATION

*Distinguished
Budget Presentation
Award*

PRESENTED TO

**Regional Planning Commission of Greater Birmingham
Alabama**

For the Fiscal Year Beginning

October 1, 2012

Tim Fikestrine

President

Jeffrey R. Enlow

Executive Director

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2013/2014 Officers and Board of Directors

Honorable Valerie Abbott, City of Birmingham, Chairman
Honorable Theoangelo Perkins, Town of Harpersville, Vice -Chairman
Mr. Chester Jolly, City of Warrior, Secretary
Mr. Tom Barnett, City of Birmingham, Treasurer

Honorable Stanley Batemon, St. Clair County Commission
Honorable Delor Baumann, City of Hueytown
Honorable William Bell, City of Birmingham
Honorable Jerry Brasseale, City of Pleasant Grove
Honorable Sandra Little Brown, Jefferson County Commission
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Honorable Joe T. Funderburg, City of Pell City
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2014 Budget Development Staff

Mr. Charles Ball, Executive Director
Dr. Ray Morris, Deputy Executive Director
Mr. Brian O'Dell, Director of Administration
Mr. Scott Tillman, Director of Planning and Operations



1.0 INTRODUCTION

1.1 Overview

The History

The Regional Planning Commission of Greater Birmingham (RPCGB) began in 1963 through enabling legislation to establish a service agency to assist Birmingham and Jefferson County in planning activities. In 1969, the legislation was amended to authorize the creation of Regional Councils throughout the state resulting in 12 regional councils to serve all counties in Alabama. The RPCGB includes the counties of Blount, Chilton, Jefferson, Shelby, St. Clair and Walker. The RPCGB region includes the largest metropolitan statistical area (MSA) in Alabama with a total population of over 1.1 million people.

The Mission and Values

RPCGB's mission is to serve as a catalyst for regional leadership, cooperation, and sustainability in Blount, Chilton, Jefferson, Shelby, St. Clair and Walker Counties. The 90 member governments of the Regional Planning Commission of Greater Birmingham benefit from professional, innovative and high quality resources. Using our expertise, the RPCGB collectively and progressively ensures that all localities have the capacity to fully participate in economic growth and development, respectful of each community's values and objectives. RPCGB is dedicated to the betterment of our members, partners, and communities and is committed to collaboration and mutual respect. RPCGB upholds the diversity and identity of the natural, social, and built environments.

The Services

The activities of the RPCGB benefit local governments in the region in several ways. In many instances, the activities of the RPCGB are prerequisite to the eligibility for Federal project construction funds for local governments. Although not an exclusive benefit to any one government, these certification activities are considered a major responsibility of the RPCGB. These activities result in substantial benefits to the region and help assure eligibility for public and private funding when member governments need financial assistance for projects such as

transportation, economic, and community development. Funds contributed by member governments are matched with various Federal and State grants, which enable the RPCGB to undertake the following activities. Many of these services are provided as part of the overall operations of the RPCGB staff, while others are provided on a contract for fee basis negotiated to benefit RPCGB member governments.

1.2 Regional Profile

The RPCGB region includes the counties and 84 municipal governments of Blount, Chilton, Jefferson, St. Clair, Shelby and Walker Counties. The region varies significantly in demographics ranging from more urban/suburban in Jefferson and Shelby Counties to more rural in the other four counties. From coal mining in the late 19th and 20th centuries to the civil rights era of the 50's and 60's, to the medical breakthroughs by researchers at University of Alabama at Birmingham (UAB) during the 20th and 21st centuries, the RPCGB six-county region is rich in history, culture, natural beauty, education, and recreation.

Geography: The RPCGB region contains a vast geographical mixture of mountain ranges, valleys and natural resources. The region sits at the foothills of the Appalachian Mountain Range with Red Mountain, Ruffner Mountain and Sand Mountain encompassing the area. The Cahaba, Black Warrior and Coosa Rivers along with other tributaries flow throughout the region and some serve as a major source of drinking water. These rivers and streams serve as home to diverse and unique aquatic and floral life.

Healthcare: In the area of healthcare, the RPCGB region is second to none. The region contains 11 hospital / health systems, including the Children's Health System, which is the only primary hospital for children in the state. UAB Hospital has been named one of the top hospitals in the country for 18 years by US News.

Housing: Housing in the RPCGB region is vast and diverse. The region offers a wide variety of styles, both for sale and for rent, to meet every price range, from a quiet country farm to new subdivision homes to older homes and apartments. New construction cost of housing in the region is among the most affordable in the nation.

Education: With ten major colleges and universities, the region is rich in educational choices for any profession or course of study. Among the educational resources in the area, students can choose between minor colleges like Beville State and Jefferson State Community College to curriculum specific colleges like Southeastern Bible College and Cumberland School of Law to major universities like Miles College, University of Alabama at Birmingham and the University of Montevallo.

Recreation: For anyone seeking fun and adventure, the RPCGB region offers a multitude of activities, including boating, swimming and fishing at many of the numerous waterways.

Anyone interested in camping and hunting will find a number of campgrounds and hunting areas. The region is also home to plenty of shopping at upscale venues and antique and craft shops. Fine dining establishments feature nationally renowned award-winning chefs. Parks, trails, youth sports leagues, libraries and golf courses as well as annual fairs, festivals and celebrations round out area recreation to make the RPCGB region a vibrant community.

Entertainment: The entertainment possibilities in the RPCGB region are endless, from live theatre at the Birmingham Children’s Theater, Red Mountain Theatre Group, and the Virginia Samford Theatre to live concerts at the Verizon Wireless Amphitheatre, the Birmingham-Jefferson County Civic Center, and Alys B. Stephens Performing Arts Center. The Carver Theater, found in the Historic Fourth Avenue District in Birmingham is home to the Jazz History Museum and the annual Jazz music competition for high schools in the region along with the many live comedy and music shows featured annually. The Historic Alabama Theatre, built in 1927, is one of the oldest remaining movie showplaces of the early 20th century still in operation. The Historic Alabama Theatre annually hosts over 300 events from classic movies like *Gone with the Wind* and *Casablanca*, to music concerts.

Tourism: Visitors to the RPCGB region can find a vast array of tourist attractions to fill a day. Shelby County is home to a National Cemetery and the American Village along with many wine vineyards that offer daily tours. Blount County Alabama is home to Rickwood Caverns as well as a handful of the few remaining covered bridges in the country.

St. Clair County boasts of being the site for the annual Homestead Hollow festivals that feature arts, one of a kind handmade crafts, pioneer demonstrations such as wood carving, ironwork, blacksmithing, smoke house cooking, gardening, quilting, whiskey making in an original working still, original cabins as built by early settlers, food, games and children’s activities.

Walker County is world renowned for Lewis Smith Lake, site of national bass fishing tournaments as featured on ESPN. Chilton County is located in the center of Alabama and is known internationally for their peaches and pecans. Tourists visiting Chilton County can enjoy peaches from Durbin Farms and pecans from Heaton Pecan Farm before visiting the Alabama Power Water Course Educational Center for an educational tour.

Jefferson County is the hub of tourist attractions, ranging from the Civil Rights Institute and 16th Street Baptist Church in Birmingham to Alabama Splash Park in Bessemer. Jefferson County is also home to the Birmingham Zoo, Birmingham Botanical Gardens, Barber Motorsports Park, Vulcan, McWane Science Center, Tannehill Park and the Irondale Café, as made famous in Fanny Flagg’s book and movie, *Fried Green Tomatoes*. Jefferson County is also home to Historic Rickwood Field, America’s oldest ballpark in the country, as well as Sloss Furnaces, built in 1881 as a premier pig iron foundry and helped make Birmingham known as the Pittsburgh of the South.

RPCGB REGIONAL PROFILE

Prepared by the Regional Planning Commission of Greater Birmingham

REGIONAL PLANNING COMMISSION OF GREATER BIRMINGHAM



Sources include the Alabama Dept. of Industrial Relations, the U.S. Bureau of Labor Statistics, the U.S. Bureau of the Census, & the RPC of Greater Birmingham.



2010 HOUSING CHARACTERISTICS

	NUMBER	PERCENT
TOTAL HOUSING UNITS	491,044	
OCCUPIED UNITS	433,971	88.4
OWNER-OCCP. UNITS	305,993	70.5
RENTER-OCCP. UNITS	127,978	29.5
VACANT UNITS	57,073	11.6
FAMILY HOUSEHOLDS	226,132	52.1
NON-FAMILY HHLDs	79,861	18.4
MEDIAN HOUSING VALUE*	\$141,400	
PER CAPITA INCOME*	\$26,462	
MEDIAN HOUSEHOLD INCOME*	\$47,760	

* Data reported for Birmingham-Hoover MSA

2010 DEMOGRAPHIC CHARACTERISTICS

	NUMBER	PERCENT
TOTAL POPULATION	1,105,132	
MALE	531,912	48.1
FEMALE	573,220	51.9
18 YRS AND OVER	833,500	75.4
65 YRS AND OVER	143,233	12.9
MEDIAN AGE	37.5	
WHITE	735,777	66.6
BLACK	313,326	28.3
OTHER	56,029	5.1
HISPANIC ORIGIN	48,124	4.4

2010 SELECTED INDUSTRY CHARACTERISTICS (5-YR ACS)

	NUMBER	PERCENT
EDUCATIONAL, HEALTH CARE, & SOCIAL ASSISTANCE SERVICES	107,918	21.6
RETAIL TRADE	59,314	11.9
PROFESSIONAL, SCIENTIFIC, MANAGEMENT, & ADMINISTRATIVE SERVICES	50,845	10.2
MANUFACTURING	49,091	9.8
FINANCE, INSURANCE, & REAL ESTATE	42,969	8.6
CONSTRUCTION	39,004	7.8
ARTS, ENTERTAINMENT, FOOD SERVICES, & ACCOMMODATION	37,346	7.5

REGIONAL POPULATION CHANGE, 1980 - 2010



2010 AVG. ANNUAL EMPLOYMENT CHARACTERISTICS (ADIR)

	NUMBER
LABOR FORCE	518,983
EMPLOYMENT	472,692
UNEMPLOYMENT	46,291
UNEMPLOYMENT RATE	8.9

REGIONAL EMPLOYMENT CHANGE, 2007 - 2010 (USBLS)



Figure 1: Regional Profile

1.3 Strategic Plan

In May 2007, the RPCGB began a strategic planning process to identify the organization's future course. This may seem like a natural and appropriate business decision; however, RPCGB's position in 2006 weighs significantly on the context and milestones that were achieved prior to engaging in the planning process.

In 2006, the prior RPCGB executive director left after ten years. Unfortunately, the organization was also experiencing financial difficulties and a "crisis" of member confidence. The Board of Directors assumed the management role and appointed Mr. Bill Foisy as Interim Executive Director. With the Board's oversight, Mr. Foisy's leadership and the staff's dedication, the RPCGB regained member confidence and achieved financial stability. In December 2006, Mr. Charles Ball was hired as the Executive Director. He secured grant funding to begin planning RPCGB's future rather than dwelling on difficult past issues.

Guidant Consulting, Inc. was awarded a contract to assist the RPCGB in developing a strategic plan. From June through August 2007, internal and external data gathering tools from personal interviews to Internet based surveys captured member, board and staff insights. This data was summarized and prioritized by a follow-up electronic ranking process again distributed to members, board and staff for input. A planning day was held on September 11, 2007, to review and revise RPCGB's mission, vision and values to ensure that the plan goals and objectives were in line with the overall core beliefs of the organization. The planning day concluded with a Strategic Planning Committee being formed to lead and facilitate the remaining process.

The recommendations were sorted into larger categories (Revenue, Administrative, Service, Communications, Personnel and Governance) and then distributed to the members, staff and board to prioritize. The objective was to identify the top goals to be RPCGB's focus for the next five years with no more than two primary goals. The Strategic Planning Committee met several times and progressively reviewed, discussed and developed the following draft plan.

The following goals were adopted in early 2008 and include action and achievements through 2013:

Revenue Goals:

- RPCGB will sustain a 96% annual member retention and dues collections rate through June 2013.
Achievements: The RPCGB has sustained a 96% or better annual member retention and dues collections through FY2013.
- RPCGB will broaden grant funding resources and increase grant funding by 2% annually through June 2013 to diversify revenue base.

Achievements: RPCGB's Revolving Loan Fund (RLF) has obtained grants for \$200,000 annually since 2007. In 2011, the RLF received almost \$1 million to recapitalize the RLF. In 2013, 43 loans were made and 36 are accounts receivable loans. The RLF fund is close to ranking first in the state in terms of growth and activity. In 2013, Pop-Up Project utilized both public and private funds to achieve its goals of promoting transportation alternatives such as bicycling and walking to redeveloping communities. The RPCGB was awarded the Medicaid Waiver program for \$4.3 million in 2011 and was expanded with additional personnel and resources in 2012. This program continues to be a steady stream of income.

- RPCGB will increase programmatic and service income by 5% annually for personnel and staff expenses through June 2013 to diversify revenue base.
Achievements: RPCGB has undertaken the responsibility of completing planning and transportation projects in-house that increased income above the 5% goal. These projects are related to the Building Communities Program.
- RPCGB will have six (6) months of operating revenue or \$500,000 in a reserve fund by June 2013.
Achievements: The RPCGB delayed the reserve fund until the long-term debt was satisfied in FY2016. The long-term debt was paid off February 2013 well ahead of the 2016 agreement date. RPCGB will begin to focus on building a reserve fund.

Administrative Goals:

- A comprehensive technology evaluation will be conducted to assess RPCGB's hardware, software and data management needs by June 2009.
Achievements: RPCGB hired an in-house IT person to evaluate the technology needs. Hardware, software and data management was updated and is now on an annual review for updates.
- Evaluate use/functionality of current office space and building by 2013.
Achievements: The RPCGB moved its office to a new location that offers improved workspace and environment. The move was completed July 31, 2012. The RPCGB has completed their first year and are very pleased with the overall space and building management.

Service Goal:

- RPCGB will be the primary resource for member services by June 2013.
Achievements: The RPCGB has become a more viable resource for services that can be provided at a substantial savings to the local governments when local revenues are reduced.

Communication Goal:

- Provide communications and resources to increase member awareness of RPCGB services, state and national trends, and best practices.

Achievements: In 2013, the website continues to provide up-to-date information about the services and engage the public to participate in the decision making process. New software is being used to allow the public to vote, comment and exchange information on projects and programs. Each year, the RPCGB conducts several one-day conferences on national trends and best practices. In 2013 the Brown Bag Series was introduced providing training during lunch time.

Personnel Goal:

- Enhance staff development, communications and morale.

Achievements: RPCGB management recognizes the importance of having staff who have the resources and education they need to do their job with excellence. Requests for education, hardware and software products are budgeted each year. Several staff social outings are scheduled each year.

Governance Goal:

- Review and revise the RPCGB bylaws.

Achievements: As of FY2013, there has not been a need to revise the RPCGB bylaws.

A strategic plan update will be completed during FY2014 to continue to focus on programmatic growth and a methodology for establishing a reserve fund.

1.4 Organization and Management

RPCGB is governed by a Board of Directors composed of twenty six (26) members plus the Past Chairs still serving in their local elected capacity as members, four (4) of the Board Members are Chairman, Vice- Chairman, Secretary, and Treasurer of the Commission. All members of the Board of Directors and Officers are elected by the members of the Commission upon recommendation by the RPCGB Nominating Committee.

The Board of Directors receives guidance from several working committees.

- Finance Committee – reviews financial reports and makes recommendations
- Program/Budget Committee – reviews programs, agreements, budgets and makes recommendations
- Personnel Committee – reviews personnel policies / procedures, hiring additional staff and makes recommendations
- Nominating Committee – considers possible candidates for Board of Directors and Officers and makes recommendations.

RPCGB's Executive Director reports to the Board of Directors and is responsible for the day-to-day management of the organization. The Deputy Executive Director reports to the Executive Director and the department directors report to the Deputy Executive Director. The four departments are Planning and Operations, Economic Development, Administration and Health Services.

Planning and Operations oversees all community planning, transportation planning and mapping and data services. Community planning provides a variety of services for member governments, including comprehensive community and county planning, downtown revitalization and neighborhood strategic planning always seeking to integrate transportation with land use. The transportation element serves as staff to the Birmingham Metropolitan Planning Organization, which decides, in cooperation with the Alabama Department of Transportation (DOT), what transportation projects are funded with the available local, state and federal dollars in Jefferson, Shelby and portions of Blount and St. Clair counties. This department also provides mapping and data services to our member governments some of which are site analysis reporting, boundary and annexation (BAS) reporting, demographic and socioeconomic profiles, existing and future land use and municipal redistricting. CommuteSmart and Alabama Partners for Clean Air are initiatives of the RPCGB and operate under this department

Economic Development operates as the service provider for the U.S. Department of Commerce's designated economic development district (EDD) and the Appalachian Regional Commission's local development district (LDD) for the six-county area. The Economic Development staff offers a variety of services primarily focused on financial tools. The Revolving Loan Fund (RLF) is handled in this department. The RLF provides supplemental financing for expanding and new businesses whose projects will result in the creation of new permanent jobs.

Administration ensures proper management of RPCGB funds, oversees the annual audit and overall operations of the RPCGB office.

Health Services administers the Medicaid Waiver program which is a program designed to allow elderly or disabled individuals who are at risk of nursing home placement to remain in their home as long as possible.

RPCGB endeavors to maintain an environment of respect and fairness for its employees and to encourage their input regarding work related matters and strives to maintain the operational, ethical, and financial integrity of the organization.

The following provides an illustration of the current organizational structure by functional areas. Administration works in support of all the other areas.

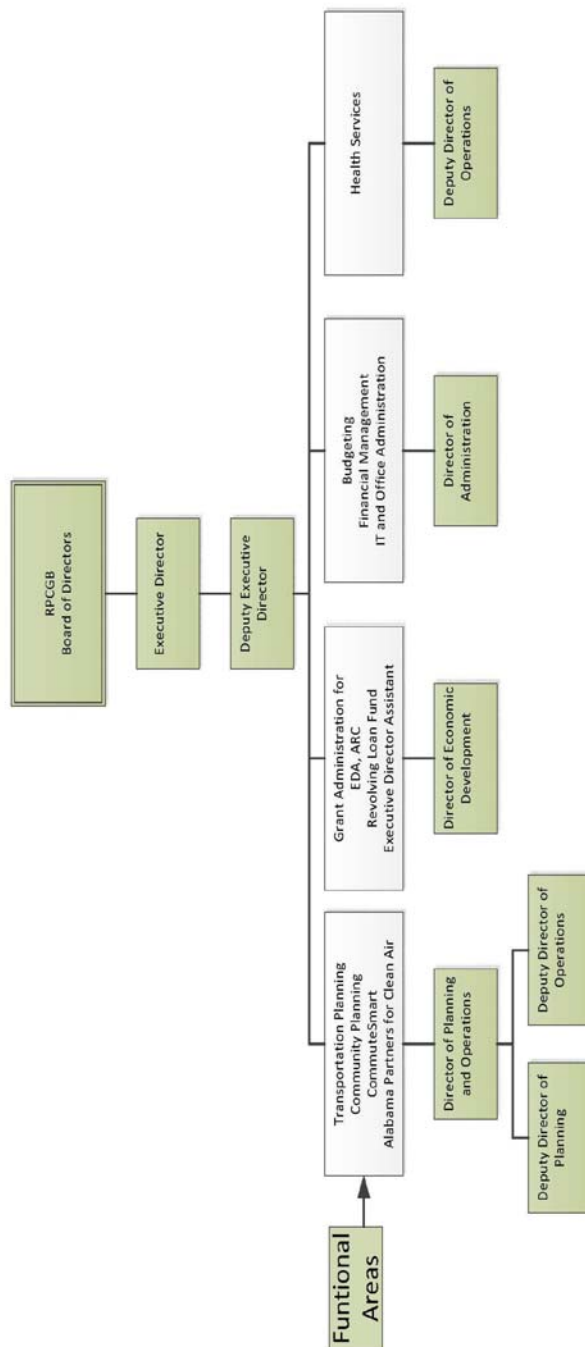


Figure 2: Structure of Functional Areas

1.4.1 Personnel

The 2014 budget includes an increase in personnel for positions that were vacated in 2013 but will be replaced in 2014. Additional staff will be necessary due to increase in contracts and to assure timely deliverance of projects with member governments. The following is a detail of allocation of full time personnel. In addition to full time personnel, RPCGB employs contractors on an as-needed basis to work on specific projects.

Departments	FY12	FY13	FY14
Administration	8	8	7
Economic Development	1	2	3
Planning and Operations	16	13	17
Health Services	18	18	19
TOTAL EMPLOYEES	43	41	46

1.5 Financial Planning

1.5.1 Financial Policies

The following are RPCGB policies:

- Financial Accounting and Budget Policies
- General Accounting Policy
- Financial Grant Monitoring, Reporting and Control System
- Annual Audit
- Fund Balance Policy
- Fees and Charges
- Use of One-Time Revenues
- Capital Expenditures
- Debt Capacity
- Procurement Policies
- Cash Management

The Board appointed the RPCGB Finance Committee for oversight of the financial reporting and adhering to the adopted financial policies. The committee meets monthly to review the financial statements and determine if the RPCGB is operating within the appropriate guidelines. Appendix A includes full financial policy information.

1.5.2 Government-Wide and Fund Financial Statements

The government-wide financial statements (i.e., the statement of net assets and the statement of changes in net assets) report information on all of the non-fiduciary activities of the primary government. The effect of inter-fund activity is removed from the above-mentioned statements. Governmental activities are normally supported by regional appropriations, intergovernmental revenues and grants.

The statement of activities demonstrates the degree to which the direct expenses of a given function or segment is offset by program revenues. Direct expenses are those that are clearly identifiable with a specific function or segment. Direct expenses also include charges for an indirect overhead rate that is based upon general administrative expenses. RPCGB program revenues include 1) charges to customers or applicants who purchase, use, or directly benefit from goods, services, or privileges provided by a function or segment and 2) grants and contributions that are restricted to meeting the operational requirement of a particular function or segment. Regional appropriations and other items not included among program revenues are reported instead as general revenues. Separate financial statements are provided for governmental funds and fiduciary funds, even though the latter are excluded from the government-wide financial statements. Major individual governmental funds are reported as separate columns in the fund financial statements.

1.5.3 Measurement Focus, Basis of Accounting, and Financial Statement Preparation

The government-wide financial statements are reported using the economic resources measurement focus and the accrual basis of accounting, as are the fiduciary fund financial statements. Revenues are recorded when earned and expenses are recorded when a liability is incurred, regardless of the timing of related cash flows.

Regional appropriations are recognized as revenues in the year for which they are due. Grants and similar items are recognized as revenue as soon as all eligibility requirements imposed by the provider have been met.

Governmental fund financial statements are reported using the current financial resources measurement focus and the modified accrual basis of accounting. Revenues are recognized as soon as they are both measurable and available. Revenues are considered available when they are collectible within the current period or soon enough thereafter to pay liabilities of the current period. Expenditures generally are recorded when a liability is incurred, as under accrual accounting. However, expenditures related to compensated absences and claims and judgments are recorded only when payment is due.

Dues from member municipalities and counties, interest and grant revenue associated with the current fiscal period are all considered susceptible to accrual and so have been recognized as revenues of the current fiscal period.

The RPCGB reports the following major governmental funds:

- The general fund is the RPCGB's primary operating fund. It accounts for all financial resources of the Commission, except those required to be accounted for in another fund.
- The transportation program fund is used to account for Alabama Department of Transportation Funded Unified (Transportation) Planning Work Program and Special Transportation Projects within the following elements of the Commission's work program: Base Data for Planning; Comprehensive Planning; Transportation Planning
- The Federal Transit Administration, the Federal Highway Administration, and the Alabama Department of Transportation provides financing.
- The health services program funds are used to account for the Medicaid Waiver program and the 530 program which is a program of the Alabama Department of Senior Services (ADSS) and the Alabama Medicaid Agency.
- The other regional planning fund is used to account for the operations that are not considered major programs. This includes funds received from the Appalachian Regional Commission (ARC), the Federal Economic Development Association (EDA), and local governments.

The RPCGB maintains two fiduciary funds, the regional loan fund (RLF) and the deferred compensation fund. The regional loan fund was created from a bond issue by the state of Alabama, the proceeds of which were distributed equally to each of the State's planning commissions, and is used to account for funds loaned to small business for area economic development. The deferred compensation plan fund is used to account for RPCGB's pension fund. The fiduciary funds are not reflected in the government- wide financial statements because the resources from those funds are not available to support the RPCGB's own programs. RLF uses the specific identification method of creating allowances for nonperforming loans.

The RPCGB has no material proprietary funds for reporting purposes.

As a general rule, the effect of inter-fund activity has been eliminated from the government-wide financial statements.

Likewise, general revenues include all regional appropriation dues from member municipalities and counties, interest and other miscellaneous receipts.

When both restricted and unrestricted resources are available for use, it is the Commission's policy to use restricted resources first, then unrestricted resources as they are needed.

1.5.4 Fund Balance Disclosure

In accordance with Government Accounting Standards Board 54, Fund Balance Reporting and Governmental Fund Type Definitions, the Commission classifies governmental fund balances as follows:

- Non-spendable - includes fund balance amounts that cannot be spent either because it is not in spendable form or because of legal or contractual constraints.
- Restricted - includes fund balance amounts that are constrained for specific purposes which are externally imposed by providers, such as creditors or amounts constrained due to constitutional provisions or enabling legislation.
- Committed - includes fund balance amounts that are constrained for specific purposes that are internally imposed by the Commission through formal action of the highest level of decision making authority and does not lapse at year-end.
- Assigned - includes fund balance amounts that are intended to be used for specific purposes that are neither considered restricted or committed. Fund Balance may be assigned by management as deemed appropriate.

- Unassigned - includes positive fund balance within the General Fund which has not been classified within the above mentioned categories and negative fund balances in other governmental funds.
- The Commission uses *restricted /committed* amounts to be spent first when both restricted and unrestricted fund balance is available unless there are legal contracts that prohibit doing this, such as a grant agreement requiring dollar for dollar spending. Additionally, the Commission would first use *committed, then assigned, and lastly unassigned amounts* of unrestricted fund balance when expenditures are made.

The Government does not have a formal minimum fund balance policy. For additional information, see Appendix A.

1.6 Annual Budget Planning and Development Process

The primary objective of the annual budget process is to identify goals and objectives and allocate resources accordingly. Operating revenue and expenses are budgeted on an accrual basis and the financial statements use the accrual basis of accounting. Budget performance is monitored and controlled monthly throughout the year by the RPCGB Finance Committee. The Committee reports to the Board of Directors at each Board meeting.

The Budget identifies the work program for planning/operations, administrative, economic development and health services. Due to timing factors and negotiations with third-party contractors, some projects are carried forward from the previous fiscal year. The budget process relies on allocations from federal and state grants which customarily requires a match of cash or inkind. The allocations are leveraged with member government dues and services to meet the match requirement.

Preparation of the RPCGB budget process begins in May with RPCGB Budget Development Staff reviewing documentation received from federal and state agencies identifying the level of funding available. A review of historical and year-to-date actuals and projections are analyzed. A detailed work program is established allocating man months for each assigned staff member. Total salaries, fringe and indirect expenses are calculated and third party contracts are estimated.

In August, a draft is presented at a combined meeting of the RPCGB Finance Committee and Program Budget Committee. The Committee's comments and recommendations are incorporated into a final draft that is presented to the Board of Directors for adoption. The RPCGB Board of Directors officially adopted the FY2014 budget August 21, 2013.

1.6.1 Budget Preparation Calendar

May	Budget Development Staff review preliminary projections Budget Development Staff develops preliminary budget
June	Budget narratives are prepared. Project Managers examine and revise goals and objectives for the coming year and previous year's performance
July	Leadership Team reviews budget draft and prepares for presentation
August	Presentation of budget draft to Joint Program Budget Committee and Finance Committee for discussion
August	Board of Directors adopt final budget

1.6.2 Budget Modification Process

The budget undergoes budget modifications during the fiscal year as funding comes available or is modified and new agreements are entered into between RPCGB and other entities. These modifications are reviewed by the Program Budget Committee and sent to the Board of Directors for approval.

1.7 Financial Outlook

When the budget is put together each year, there are three main goals. First, the Committee tries to be as conservative as possible in their estimation. Second, the Committee tries to have verifiable commitments for all of projects and funding. Third, the Committee wants the budget to be level from year to year. All this has been achieved for the FY2014 budget.

So far, RPCGB has not seen detrimental effects from federal sequestration or state budget cuts. This is largely because of the controls RPCGB has in place and the close monitoring of expenses. Everyone involved in the oversight of RPCGB finances, has done a commendable job of insulating the organization from some of the negative impacts seen by other organizations and communities.

With the passage of the new transportation bill, Moving Ahead for Progress in the 21st Century (MAP-21), we will continue to closely follow the on-going policy discussions and make adjustments if and when necessary.

We must be cognizant of the fiscal health of our local member governments. Among the major concerns are the continuing deliberations between Jefferson County and its creditors. We continue to monitor the effects of this throughout the region.

The past success of the RPCGB is a tribute to the strong collaborative spirit that exists in our region. In the next sections of this budget, we clearly demonstrate the Commission's: 1) dedication to maintaining that momentum of collaboration; 2) dedication to fiscal

responsibility; and 3) dedication to providing member governments and citizens the most efficient and effective service possible.

In FY 2006, the Commission acquired two loans totaling \$1.5 million. The first loan was a short-term working capital note in the amount of \$250,000. This was used to process payables for which the Commission was eligible to be reimbursed. The note was repaid in accordance with the terms on November 30, 2006.

The second note was for \$1.25 million and used to pay debts incurred by the Commission for which it had already been reimbursed either directly from programs or through the application of the indirect rate (see the MD&A from FY2003-FY2008 for a more detailed explanation). Additionally, \$240,000 of the proceeds was used to pay off the line of credit. At the end of FY 2012, the balance of the \$1.25 million note was \$357,946.

In FY2008, the Commission entered into a line of credit agreement with a bank in the amount of \$500,000. This was done to resume financial responsibility for Rideshare and Air Quality programs, which had been transferred to Jefferson County in 2006. In FY 2011, the \$500,000 line of credit agreement expired and a new line of credit agreement was initiated with another bank. The new credit line provides up to \$750,000 of seasonal working capital. The larger amount was needed to support adding the Waiver Program for FY 2012.

While the line of credit had a zero balance at September 30, 2013, there were several draws and repayments during the fiscal year. The high balance on the line was \$350,000 during FY2013.

In February 2013, the Commission repaid the remaining amount of the note. At the end of FY2013, the Commission was debt free.

1.8 Fund Structure

The total Fiscal Year 2014 dollars available is \$13,301,838. Budget dollar amounts are not estimates but included in executed agreements.

The budget is predominantly federally funded for transportation, health services, economic development / community development and community planning programs. Other sources of funds include member government annual dues, Alabama State Technical Assistance and contractual services.

The following describes major funding sources.

- The Federal Highway Administration (FHWA) funds available are \$1,290,910 and will be used to provide staffing and support of the Birmingham Metropolitan Planning Organization (MPO).
- The Federal Transit Authority (FTA) funds available are \$1,423,428 will be used to fund the U.S. 11 East/U.S. 78 East Corridors.
- The State Planning Research (SPR) rural funds available are \$62,500 will be used to continue the transportation consultation process to RPCGB's four rural counties, Blount, Chilton, St. Clair and Walker.
- The Congestion Mitigation Air Quality (CMAQ) funds available are \$1,000,000 and provides for the Air Quality program, which operates in the RPCGB's urban area to achieve and maintain compliance with national air quality standards.
- The Surface Transportation Program (STP) funds available are \$2,300,000 and provides for the Rideshare/CommuteSmart program, Congestion Management Process, Corridor Feasibility Studies and the Building Communities Program.
- The Economic Development Administration (EDA) funds available are \$126,000 and will be used to fund support of the Comprehensive Economic Development Strategy (CEDS).
- The Appalachian Regional Commission (ARC) funds available are \$200,000 will be used to fund assistance with grant applications and technical information.
- The Revolving Loan Fund (RLF) Administration funds available are \$65,000 and provides staff oversight in administering this program.
- The Alabama Council for Developmental Disabilities (ACDD) funds available are \$375,000 and will be used to conduct a needs assessment to determine transportation needs and options available in Alabama's counties.
- The State Technical Assistance (TA) funds available are \$120,000 and provides underwriting the costs of RPCGB staff assisting local governments with technical information.
- The Medicaid Waiver E&D funds available are \$6,139,000 and provides for RPCGB program staffing, program materials, and client services provided by the Medicaid Waiver program.
- The Medicaid Waiver 530 funds available are \$200,000 and provides for RPCGB program staffing, program materials, and client services provided by the 530 Waiver program.

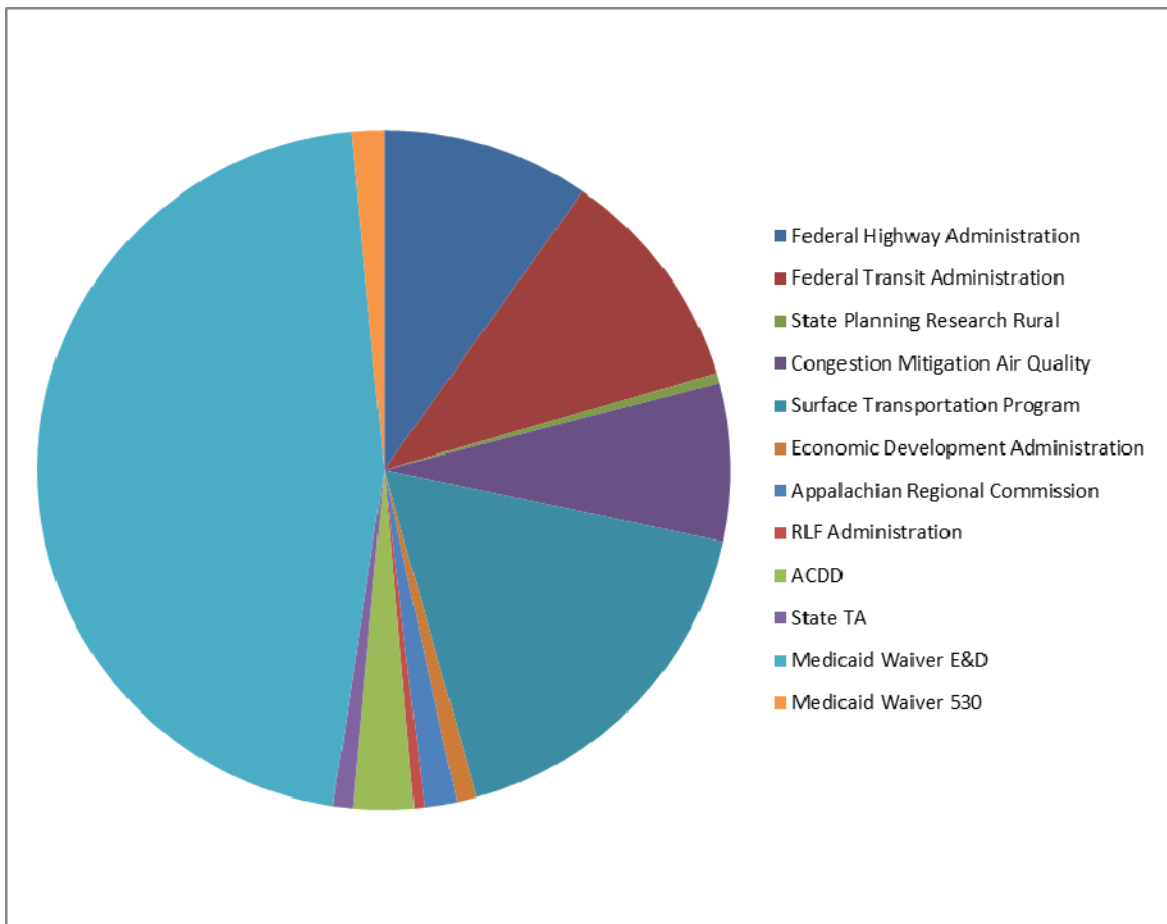


Figure 3: Major Fund Sources

Table 1: Comparison of FY2012 Actual and FY2013 and FY2014 Budget

	FY2012 Actual		FY2013 Budget		FY2014 Budget	
	Funding Available	Expenses	Funding Available	Expenses	Funding Available	Expenses
Federal Highway Administration	\$1,312,841	\$1,095,943	\$1,279,924	\$1,090,004	\$1,290,910	\$1,290,910
Federal Transit Administration	\$2,665,653	\$173,618	\$2,596,470	\$414,116	\$1,423,428	\$467,585
State Planning Research Rural	\$62,500	\$68,129	\$62,500	\$62,500	\$62,500	\$62,500
Congestion Mitigation Air Quality	\$1,500,000	\$574,489	\$1,036,935	\$1,036,935	\$1,000,000	\$1,000,000
Surface Transportation Program	\$2,431,250	\$1,714,033	\$2,215,000	\$1,938,966	\$2,300,000	\$2,300,000
Economic Development Administration	\$106,000	\$139,220	\$126,000	\$126,000	\$126,000	\$126,000
Appalachian Regional Commission (ARC)	\$200,000	\$176,715	\$200,000	\$200,000	\$200,000	\$200,000
RLF Administration	\$65,000	\$70,954	\$65,000	\$65,000	\$65,000	\$65,000
Redistricting	\$40,000	\$31,003	N/A	N/A	N/A	N/A
EDA DRPP	\$125,000	\$85,454	N/A	N/A	N/A	N/A
Clean Cities Study	\$30,000	\$30,684	N/A	N/A	N/A	N/A
ACDD	N/A	N/A	N/A	N/A	\$375,000	\$375,000
State TA	N/A	N/A	N/A	N/A	\$120,000	\$120,000
Medicaid Waiver - E&D	\$5,430,245	\$4,518,949	\$6,962,752	\$6,788,114	\$6,139,000	\$6,139,000
Medicaid Waiver - 530	\$124,000	\$55,069	\$400,000	\$400,283	\$200,000	\$200,000
Total Budget	\$14,092,489	\$8,734,260	\$14,944,581	\$12,121,918	\$13,301,838	\$12,345,995

2.0 FINANCIAL SECTION

2.1 Fund/Grant Source Based Budget

Table 2, Revenues and Expenses by Fund Source, identifies 15 revenue/fund sources with the match requirements, including RPCGB dues and other sources of match.

- a. The first column is a summation of all funding sources available to the RPCGB for FY 2014. These total \$13.2 million. This represents a decrease from the \$14.9 million included in the final FY 2013 budget, revised May, 2013. The funding sources are predominantly the same in FY 2014 as in FY 2013. Dues continue to be frozen at 2010 levels. However, due to Commission By-Laws the distribution of the dues was reapportioned in FY 2011 according to the 2010 decennial census, thus causing an increase in the overall dues amount resulting from an increase in population over the 10-year period. Only one local assistance program is currently contracted for FY 2014 and FY 2015 therefore a line item for the Alabama Commission for the Developmentally Disabled (ACDD) project has been added to the budget. In a reversal from FY 2013, the State of Alabama has held constant the State Technical Assistance funding category and legislation was adopted to remove an additional restriction that the funds could not be used for salaries. However, the funds must be used to match grants, but that has been the RPCGB policy for a number of years. These funds have been programed against EDA and ARC grant funding sources.
- b. Subsequent columns detail total expenses for salaries, fringe and indirect; direct costs and contracts. Total FY 2014 budgeted expenses are \$13.3 million, down from the \$14.9 million budgeted in FY 2013. This decrease is largely due to a decrease in Medicaid Waiver funding. This decrease came about due to a rebalancing of clients statewide. There is no significant operation impact to RPCGB due to these cuts.
- c. The remaining columns represent the total amount of match used to leverage the revenue sources. Types of match include RPCGB dues, donated/in-kind match, and cash match provided by RPCGB partners and the State of Alabama.

**FY 2014 RPC Budget Summary
Revenues and Expenses by Fund Source**

[b]		[c]					[a]			
Revenue/Fund Sources	Total Revenue Available	Expenses				Match %	Match			Balance Available
		Salaries/Fringe/ Indirect	Direct Costs	Contracts	Total Expenses		Expenses Without Match	RPC Dues	Other Match Amount Type	
FHWA PL	\$ 1,290,910	\$ 902,008	\$ 50,000	\$ 338,902	\$ 1,290,910	20%	\$1,032,728	\$ 258,182	\$ -	-
U.S. 11/U.S. 78 East	\$ 1,423,428	\$ 66,585	\$ 1,000	\$ 400,000	\$ 467,585	20%	\$374,068	\$ -	\$ 93,517 Cash	955,843
STP Rideshare	\$ 1,200,000	\$ 544,740	\$ 55,260	\$ 600,000	\$ 1,200,000	0%	\$1,200,000	\$ -	\$ -	-
STP Building Comm.	\$ 625,000	\$ 319,417	\$ 10,000	\$ 295,583	\$ 625,000	20%	\$500,000	\$ 63,883	\$ 61,117 Cash	-
CMAQ Air Quality	\$ 1,000,000	\$ 91,473	\$ 150,000	\$ 758,527	\$ 1,000,000	20%	\$800,000	\$ 18,295	\$ 181,705	-
STP Corridor Feasibility Studies	\$ 225,000	\$ 17,675	\$ -	\$ 207,325	\$ 225,000	20%	\$180,000	\$ -	\$ 10,493 Cash	-
STP Congestion Management	\$ 250,000	\$ -	\$ -	\$ 250,000	\$ 250,000	20%	\$200,000	\$ -	\$ 50,000	-
SPR Rural	\$ 62,500	\$ 56,224	\$ 6,276	\$ -	\$ 62,500	20%	\$50,000	\$ 12,500	\$ -	-
EDA	\$ 126,000	\$ 115,114	\$ 10,886	\$ -	\$ 126,000	50%	\$63,000	\$ 63,000	\$ -	-
ARC	\$ 200,000	\$ 196,733	\$ 3,267	\$ -	\$ 200,000	50%	\$100,000	\$ 100,000	\$ -	-
RLF administration	\$ 65,000	\$ 50,345	\$ 14,655	\$ -	\$ 65,000	0%	\$65,000	\$ -	\$ -	-
ACDD	\$ 375,000	\$ 63,027	\$ -	\$ 311,973	\$ 375,000	20%	\$300,000	\$ -	\$ 75,000	-
State TA	\$ 120,000	\$ 74,157	\$ -	\$ 45,843	\$ 120,000	0%	\$120,000	\$ -	\$ -	-
Medicaid Waiver - E&D	\$ 6,139,000	\$ 1,126,844	\$ 312,296	\$ 4,699,860	\$ 6,139,000	0%	\$6,139,000	\$ -	\$ -	-
Medicaid Waiver - 530	\$ 200,000	\$ 86,884	\$ 23,760	\$ 89,356	\$ 200,000	0%	\$200,000	\$ -	\$ -	-
Total	\$ 13,301,838	\$ 3,711,226	\$ 637,400	\$ 7,997,369	\$ 12,345,995		\$ 11,323,796	\$ 515,860	\$ 471,832	955,843

Table 2: Revenues and Expenses by Fund Source

2.2 Dues (Fund Balance)

In summary, the 2014 budget programs RPCGB member government dues as follows:

Dues Available:	\$668,587
Dues Programmed for Match:	<u>\$515,860</u>

Net Unreserved Fund Balance	\$152,727
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The dues available for FY 2014 reflect the recommendation that the dues be frozen at the FY 2010 levels, albeit the amount does include the aforementioned population shift. The dues rate remains at \$.605 per capita. The Debt RPCGB once held at approximately \$15,000/month and the monthly interest rate is based on LIBOR was repaid in FY 2013. Four years before maturity.

A net unreserved fund balance will help soften the impact of potential funding challenges such as federal rescissions, particularly in regard to the multi-year federal transportation funding bill, MAP-21 and Medicaid. In addition, dues will be needed when 100 percent federal funding for programs such as air quality planning is no longer available which may occur sometime during FY 2014.

2.3 Indirect (Administrative) Expenses

Table 3, Indirect (Administrative) Expenses, documents the administrative expenses used to calculate the indirect rate. The FY 2014 budget has been prepared in accordance with actual expenses through June 30, 2013 projected for the remainder of FY 2013 as well as other anticipated costs during FY 2014. The FY 2014 net administrative expenses of \$571,000 are extremely close to the same costs over the past five fiscal years. However, the increase can be attributed in the majority to the relocation of the RPCGB offices.

2.3.1 Capital Expenditures

Capital Expenditures: There are no significant, non-routine capital expenditures programed in the FY2014 budget. For the sake of my fellow GFOA budget reviewers, I hope to draw your attention to this fact rather plainly as the RPCGB has been gigged over this item nearly every time we have submitted a budget for review under the awards program. The Commission does not have very much in the way of capital equipment other than office furniture and we only buy that on a very limited basis. We lease our vehicles and only once in 50-years have we purchased a vehicle and that was an unplanned, yet cost effective, expenditure. We contract for most services and any major projects that we undertake are through the MPO process and have sponsors other than RPCGB. The bulk of our costs go to salaries, fringe, and indirect expenditures, none of which are capital. Therefore, we do not anticipate nor budget for any capital expenditures. If we do in the future they will certainly be included in the appropriate category and a notation made. For additional details on Capital Assets/Expenditures see Page A-2

INDIRECT (ADMINISTRATIVE) EXPENSES

Accounting		Budgeted FY 2013
Code	Staff Development	
5210	Organizational Dues	\$ 15,000
5221	Subscriptions	\$ 500
5222	Books, Educational Manuals, and Training/Teaching Aide:	\$ 500
5230	Training	\$ 6,000
5241	Meetings	\$ 6,000
5242	Conferences	\$ 7,000
5250	Educational Reimbursement	\$ 25,000
5261	Staff Development Travel - In State	\$ -
5262	Staff Development Travel - Out of State	\$ -
5270	Meals	\$ 4,000
5280	Lodging	\$ 12,000
5299	Other Staff Development	
	Total Staff Development	\$76,000
	Repair, Maintenance & Utilities	
5310	Building, Maintenance & Repair:	\$ 1,000
5320	Grounds Maintenance & Repairs	\$ -
5331	Vehicle - Gas and Oil	\$ 3,000
5332	Vehicle - Insurance	\$ -
5340	Vehicle - Repairs	\$ 1,000
5350	Office Equipment Repairs	\$ -
5351	Maintenance Contracts - Equipment	\$ 7,000
5381	Communication - Telephone	\$ 40,000
5382	Communication - Cellular Telephone	\$ 10,000
5383	Communications - Beepers	\$ -
5384	Communications - Long Distance	\$ -
5389	Communications - Other	\$ -
5360	Depreciation	\$ -
5399	Other Maintenance and Repai	\$0
	Total Repair, Maintenance & Utilities	\$62,000
	Less Depreciation	
	Total Repair, Maintenance & Utilities	\$62,000
	Contractual Services	
5400	Accounting and Auditing	\$ 27,000
5420	Advertising	\$ 1,000
5425	Awards and Plaques	\$ -
5427	Bank Charges	\$ 1,000
5430	Clerical - Outsourced	\$ -
5440	Consultants	\$ 10,000
5445	Contracts	\$ -
5450	Engineering Services	\$ -
5455	Grants Issued	\$ -
5461	Insurance - Liability	\$ 25,000
5462	Insurance-Bonding	\$ -
5463	Insurance -Misc.	\$ -
5480	Legal	\$ 10,000
5500	Payment for Retirees	\$ -
5510	Payroll Processing	\$ 3,000
5520	Printing and Publications	\$ 3,000
5530	Public Outreach and Education	\$ 5,000
5541	Rents & Leases - Equipment	\$ 7,000
5542	Rents & Leases - Vehicles	\$ 25,000
5543	Rents & Leases - Buildings	\$ 246,980
5548	Sponsorship Contributions	\$ -
5551	Technology Services - Hardware	\$ 20,000
5552	Technology Services - Software	\$ 10,000
5553	Technology Services - Internet	\$ 17,000
5554	Maintenance Contract - IT	\$ 1,000
5590	Other Professional Services	\$ 500
5599	Other Contractual Services	\$ -
	Total Contractual Services	\$ 412,480
	Commodities	
5610	Library Supplies	
5620	Minor Equipment	\$ 1,500
5630	Office Supplies	\$ 24,000
5631	Office Supplies - Paper	\$ -
5632	Office Supplies - Toner	\$ -
5640	Postage and Shipping	\$ 14,000
5650	Copier Expense	\$ 12,000
5660	Computer Software	\$ -
5671	Other Travel - In State	\$ 4,500
5672	Other Travel - Out of State	\$ 5,000
5699	Other Supplies	\$ 4,000
	Total Commodities	\$65,000
	Total Expenses	\$615,480
	Less Depreciation	
	Less Rental Income	\$ -
	Net Indirect Expenses	\$615,480

Table 3: Indirect Expenses

2.4 Indirect (Administrative) and Fringe Cost Calculation

The indirect (administrative) and fringe cost rates are calculated in Table 4. This rate is important in that it is used on invoicing for reimbursement of administrative expenses. Both the indirect and fringe rates are percentages charged against staff salaries that are attributable directly to programs/funding sources (typically referred to as direct salaries). This percentage is charged against each program to generate two pools of funds. The first pool is used to cover fringe costs such as leave, health insurance, and retirement benefits. The second pool is used to cover indirect/administrative costs, which includes some staff salaries and overhead expenses. The FY 2014 budgeted fringe rate of 58% is higher than the previous years budgeted rate of 54.75% for FY 2013. This higher amount is related to the items following as well as an error found in previous years calculations of the rate. It should be noted that the fringe rate does include increases charged by the Retirement Systems of Alabama (20%) as well as an increase (10%) in estimated health insurance costs by the State Employees Insurance Board.

Additionally, with the new Medicaid Waiver program it became necessary to develop two indirect cost pools in accordance with A-87. Those calculations are found in Table 4.

**FY 2014
INDIRECT (ADMINISTRATIVE) & FRINGE COST CALCULATION**

<u>STATEMENT OF FRINGE BENEFIT RATE</u>		0.5813
Release Time (Agency Totals):		
Vacation Leave	\$	114,925
Sick Leave	\$	105,239
Holidays	\$	122,956
Other Leave	\$	10,000
Total Release Time		\$353,121
Benefits Paid		
Matching FICA	\$	174,434
Health Insurance	\$	380,700
Retirement	\$	193,132
Life	\$	10,668
Unemployment	\$	5,000
Workman's Comp	\$	9,000
Total Benefits Paid		<u>\$772,934</u>
Total Release Time and Benefits		\$1,126,055
Fringe Benefit Rate		
Total Release & Benefits		\$1,126,055 /
Total Agency Salaries	\$	1,937,067.26 = 0.5813

Table 4: Fringe and Indirect Calculation for FY13-14

\\rpcbs\bodelf\My Documents\Accounting\FY14\Budget\FY2014 Budget - Revision A1a49/18/2013

2.5 Financial Reporting and Cash Flow

Financial reporting has been consistent with the accrual based budget and is being provided monthly to the Finance Committee and the RPCGB Board. The monthly Statement of Net Assets tracks the ability of total current assets (cash and receivables) to meet total current liabilities.

3.0 PROJECT/PROGRAM DETAILS

3.1 Federal Highway Administration Planning (FHWA PL)

Project Manager

Mr. Scott Tillman, Director of Planning and Operations

Project Manager's Goal: Planning funds are the mainstay of the transportation planning program, giving the RPCGB flexibility to employ staff members with expertise on the latest and best practices that address land use and transportation issues.

Program Description

Total revenue available is \$1,290,910 and total programmed is \$1,032,728. This funding provides for RPCGB staffing and third party contractors to handle all the activities of the Birmingham Metropolitan Planning Organization. A dues match of \$258,182 is required. Balance available for carry forward to FY2015 equals total revenue available less total programmed expenses and is \$0.00.

Major Objectives:

This funding supports the following transportation planning elements:

MPO Administration: To provide transportation committees, agencies, governments, and the general public with transportation-related information, education, and training, to support emergency transportation operations, and to promote federal, state, and local transportation initiatives.

Unified Planning Work Program (UPWP) development: To produce a document that outlines work and identifies the planning priorities and activities to be carried out within the Birmingham Metropolitan Planning Area (MPA).

Capital and Operating Purchases: To maintain, upgrade, and purchase software and hardware for the purpose of gathering information, simplifying tasks, and articulating data to support transportation planning functions.

Education and Training: To develop and maintain technical proficiency of staff in order to enable proper guidance and development of the planning process.

Continuity and Operations Plan (COOP): To maintain and update the COOP for the Birmingham MPA, which will allow for rapid recovery from a disaster to resume the transportation planning process.

Data Collection and Management: To collect, create, and maintain data in support of local and regional transportation and community planning projects.

Data Analysis and Forecasting: To collect, create, and maintain demographic and socioeconomic data that is used for the transportation demand model and other planning activities.

Geographic Information Systems: To provide detailed information to local, state, and federal agencies, as well as the public, regarding transportation facilities, transportation systems, and operational and asset condition data that supports agency project needs.

Model Development Program: To develop and maintain traffic models, air quality emission models, land use/indicator models, and economic analysis model for the transportation planning process.

Public Involvement: To maintain a process for providing citizens, affected public agencies, representatives of public transportation employees, freight shippers, providers of freight transportation services, private providers of transportation, representatives of users of public transportation, representatives of users of pedestrian walkways and bicycle transportation facilities, representatives of the disabled, elderly and other interested parties, and any other interested parties with sufficient opportunities to be involved in the transportation planning process.

Environmental Consultation Process: To link the transportation planning and environmental assessment processes early in the project development phase; To inform the project development and NEPA processes with the results of the environmental consultation process; To establish inter-agency, cross-disciplinary communication and education; To identify and pursue collaborative, cross-disciplinary environmental mitigation strategies and funding opportunities.

Climate Change: To develop Climate Change evaluation metrics; To evaluate the Regional Transportation Plan's impact on climate change; To evaluate planned and programmed transportation projects' impact on climate change; To provide guidance about regional strategies that address climate change through air quality and congestion mitigation, as well as energy efficiency in order to reduce the Birmingham MPA's carbon footprint.

Regional Transportation Plan: To ensure that the MPO maintains a long range transportation plan for the Birmingham MPA that is: Technically based on the latest available data for land use, demographics, and travel patterns; Comprehensive in nature and supports the development of a multimodal transportation system; Philosophically based on regional goals and values, and are informed by the Federal Planning Factors and Livability Principles; Financially based on predictable, reliable funding sources. To ensure that the RTP promotes a

performance based planning approach, is consistent with local comprehensive plans and goals, and supports federal Livability Principles for communities.

Air Quality Conformity Analysis and Reporting (RTP): To demonstrate that the Regional Transportation Plan and the funded projects and programs contained within it i.e. the Transportation Improvement Program conform to the approved regional air quality standards as determined by the State Implementation Plan which is prescribed by the Clean Air Act of 1990.

Amend Regional Transportation Plan Project Listings for Air Quality Conformity: To amend the Regional Transportation Plan as necessitated by additions and deletions to the Regional Transportation Plan project and program listings, and modifications to existing project scopes of work and budgets.

Transportation Improvement Program (TIP): To develop a list of federally funded transportation projects to be completed by the ALDOT, the BJCTA, local government(s), and other project sponsors. Monitor the program balance and the status of projects programmed (to include advancement) under the STPBH and the CMAQ and achievement of the Federal Livability Principles. Administer TIP amendment requests. To ensure that the Transportation Improvement Program is advancing the goals, objectives and priorities of the Regional Transportation Plan.

Amend TIP Project Listings for Air Quality Conformity: To amend the Transportation Improvement Plan both annually and as necessitated by additions and deletions to the Regional Transportation Plan project and program listings and modifications to existing project scopes of work and budgets.

Thoroughfare Planning: To refine and maintain the regional functionally classified roadway system. To develop and maintain a prioritized regional roadway classification system that: Addresses functionally classified roadway capacity needs; Identifies future roadway network needs and connections; Addresses issues of transportation system preservation and sustainability; Proposes a redundant transportation network to address transportation system security deficiencies; Addresses the federal Livability Principles. To develop and maintain guidelines for roadway facility management and design in relation to local development context and multimodal travel needs.

Public Transportation Planning: To promote a seamless and balanced regional public transportation system by working with public transit operators on evaluating regional and local transit system deficiencies, capital and operating needs, and multi-modal opportunities for different customer markets. To assist with continued development of public transportation services by aiding providers with planning, service delivery, and long term financing strategies by; Identifying strategies that sustain, maintain, and improve public transit services; Reviewing

and revising existing public transportation and paratransit services and policies; Acquiring, analyzing, and maintaining data; Proposing and new services and/or routes, including identification of funding sources; Providing training; Coordinating services and/or resources; Addresses the Federal Livability Principles. To promote the incremental development of public transportation and transportation demand management services in the Birmingham metropolitan planning area by working with existing transit agencies, other quasi-public and private transit operators.

Active Transportation Planning: To support regional connectivity and active transportation networks utilizing multimodal streets, greenways, parks, and other public greenspace by establishing short-term and long-term implementation strategies that address the federal Livability Principles.

Logistics System Planning: To develop a regional multimodal goods movement transportation strategy that will identify improvement for freight movements and address the federal Livability Principles.

Transportation System Performance Management and Monitoring: To collect, maintain, monitor, analyze and report congested conditions. To develop and maintain an inventory of transportation system infrastructure and services. To monitor and report on transportation system use and performance characteristics, to include transportation system safety and security, system reliability, and system efficiency in order to extend the useful life of transportation infrastructure. To monitor congestion and highway system performance.

Transportation Safety and Security Planning: To incorporate transportation safety into the planning process and improve transportation safety in the community. To provide support and coordination for the transportation sector's role in overall regional emergency preparedness planning. MAP-21 requires metropolitan planning to increase the safety of the transportation system for motorized and non-motorized users. These and other factors, along with heightened awareness of the safety problem, have demonstrated the need for the regional transportation safety-planning program. MAP-21 also requires that the metropolitan planning process address the security of the transportation system for motorized and non-motorized users. Transportation security addresses a much larger regional emergency preparedness-planning program primarily funded outside the UPWP by U.S. Department of Homeland Security. Transportation security considerations often include specialized needs for transportation sector involvement in Homeland Security-directed preparedness activities. These efforts are advised by a Regional Emergency Support Function #1.

Technical Assistance for Local Communities and Agencies: To provide technical assistance, and/or support to local entities (governmental and non-governmental), and the general public for any planning related issues and requests that are either too small in scope or too short-lived to rise to the level of requiring a formal scope and budget. To account for staff time spent

addressing technical assistance and support requests as described above. Requests may include: Staff time to participate in technical review committees and task forces; Execution of small technical reviews/studies; Assisting with drafting work statements and tasks; Developing monthly progress and budgetary reports; Technical quality control; Data/document request fulfillment

Corridor Planning and Development Support: To develop corridor-management plans for specific highways. To provide administrative and technical support for existing and emerging corridor coalitions

2012-2013 Fiscal Year Accomplishments

MPO Administration

- Prepared for and attended monthly committee meetings; participated in meetings with various local, regional, and state organizations.
- Attended RPCGB Board meetings and Annual Meeting
- Prepared and submitted invoices to ALDOT and reviewed RPCGB financial statements
- Provided information to the RPCGB auditors and reviewed audit report
- All agreements were reviewed for consistency with bylaws
- Provided information and assistance to individuals, businesses, organizations and committees
- Participated in cooperative efforts with agencies and organizations.

Unified Planning Work Program

- A UPWP, which identifies tasks and funding sources, was adopted by the Transportation Citizens Committee, Transportation Technical Committee, MPO Subcommittee, and MPO.
- Two Semi-Annual reports were produced for ALDOT review, noting the status of tasks and the Disadvantaged Business Enterprise (DBE) participation.

Capital and Operating Purchases

Purchased demographic information.

Education and Training

Staff members attended, made presentations at, hosted, and assisted with organization of workshops, conferences, and trainings. Subscribed to and read relevant professional publications.

Continuity of Operations Plan (COOP)

Tested data implementation of COOP and found issues in activation. Proposed changes for system to be enacted in latter half of FY2012 and 1st quarter of FY2013.

Data Collection

The RPCGB has maintained its subscription of demographic and socioeconomic datasets from Nielsen Claritas and Woods and Poole Economics. Development trends have continued to be monitored, and additional/updated data sets have been collected or created for use in planning objectives. In FY 2013, the RPCGB updated the region's demographic and socioeconomic information considering existing and projected year data specific to income, population, employment, households, and other variables. The RPCGB also completed an economic competitiveness analysis in order to better understand employment trends by industry, considering the location and total amount of employment within the Greater Birmingham region. Also in FY 2013, the RPCGB began the process of establishing baseline performance measures to evaluate and monitor growth, development, transportation, and quality of life. In addition to the federal Livability Principles and a subsequent set of performance indicators that the Federal Highway Administration has required to be addressed in all transportation documents, the RPCGB has established other measures of effectiveness based in large part on the Birmingham MPO's Congestion Management Process (CMP). Performance indicators are also based on MAP-21 planning factors and support ongoing regional planning efforts, to include the Regional Transportation Plan (RTP).

Data Analysis and Forecasting

The RPCGB has continued to collect a variety of data such as Census, Economic, Natural Resources, Transportation, Transit, and related demographic and socioeconomic data for use within the overall local and regional planning environment. The RPCGB developed and maintained a regional transportation demand model for the Birmingham MPA, which is a primary screening tool used to identify deficiencies in the future transportation system. The Cube Voyager (Avenue) modeling software was used for travel demand modeling and all other applicable processes, up to and including air quality conformity analysis in support of budget based estimate preparation using the MOVES2010a software. This protocol was used for all future regional and project-specific conformity analyses, to include annual updates and amendments of the 2035 Regional Transportation Plan and existing TIP required through development of the annual Air Quality Conformity Report, and draft and final 2040 Regional Transportation Plan documentation.

Geographic Information Systems

RPCGB has been successful in the creation and maintenance of a SDE data model as well as the continued collection, creation, and maintenance of catalogued raster and vector datasets. Enhanced data include various cloud-based image servers, transportation roadways, and the compilation of 2010 census data as published. Limited brownfield and greyfield data has been acquired. RPCGB upgraded to ArcMap 10 and has remained current on maintenance. RPCGB also developed a number of cloud based map services specific to transportation planning and air quality, as well as supportive of general planning services.

Model Development Program

Cube Voyager is the primary travel demand modeling software in use by the Birmingham MPO. It is used to analyze travel demands within the Birmingham metropolitan planning area (MPA), network travel demand modeling and in support of air quality conformity estimate preparation using the Motor Vehicle Emission Simulator (MOVES2010b) software. Analysis using both software packages has been specific to precursors for ground-level ozone (O₃) and particulate matter (PM_{2.5}) within the Birmingham MPA. In FY 2011, Cube Avenue was purchased and has been successfully tested for subarea traffic simulation. The Cube Avenue model was successfully expanded and applied at the regional level, enabling the Birmingham MPO to evaluate the specific impacts of projects at a larger geographic scale, as well as the ability to conduct before and after studies.

Public Involvement

The MPO website is maintained and updated with links to specific projects. Several public involvement meetings were conducted. The Public Participation Plan continues to be implemented, including an updated, reprinted Transportation Public Contact List. Visualization and interactive exercises are used extensively with outreach activities. THE MPO completed a Draft and Final 2013 Public Participation Plan, 2013. The Plan will be amended or updated as needed. The MPO facilitated, participated, and/or hosted several training opportunities, including the RPCGB Annual Conference, the Think Forward 2040 Brown Bag series, the Complete Streets in Constrained Rights-of-Way course, CommuteSmart workshops, APCA workshops, and other opportunities for education regarding bicycles and pedestrians. The Title VI, Americans with Disabilities Act, and DBE policy continues to be posted on the MPO website. Regular reports were submitted to the ALDOT.

Environmental Consultation Process

- “Red Flag” environmental maps
- “Red Flag” analysis of Birmingham 2035 RTP Roadway Capacity Projects
- Consultation with federal and state resource agencies regarding the development and advancement of federal-aid, and state/locally funded transportation projects.

Climate Change

No work was performed in FY13. Previous work regarding climate change produced a report titled “Climate Change Considerations and On-Road Greenhouse Gas Emissions in the Birmingham Metropolitan Planning Area.” This report was completed in FY 2011.

Regional Transportation Plan

- Metropolitan Planning Area Geography (Traffic Analysis Zones) updated to 2010 Census. This expanded the MPO boundaries to include a portion of Blount and St. Clair Counties.
- Initiated development of 2040 RTP, to include:
 1. Data collection, analysis, and table/map production
 2. Existing conditions analysis

3. Development of baseline performance indicators (Task 5.3)
 4. Development of functional transportation plans i.e. Regional Thoroughfare Plans (Task 5.4), Logistics System (Task 5.5), Public Transportation System (Task 5.6), and Active Transportation (Task 5.7)
 5. Public involvement
- Consultant services procured in FY 2012 to support the RTP development process have been assigned tasks to develop a linear referencing system (Task 2.1) to support the data collection, analysis, and reporting of geospatial data; expansion of the travel demand model network; development of land use model and transportation related indicators, and transportation system management and operations plan.

Air Quality Conformity Analysis and Reporting (RTP)

- The RPCGB is heavily involved in working with the IAC to review proposals related to air quality and to recommend means to reduce emissions and congestion.
- Air quality model runs via MOVES2010a were conducted for the ground level ozone, annual PM_{2.5}, and 24-hour PM_{2.5} standards.
- A public involvement meeting for modifications to air quality conformity report was held in July 2011. Results were documented.
- The Air Quality Conformity Determination Report for the amended 2035 Regional Transportation Plan (RTP) and the FY 2012-2015 Transportation Improvement Program (TIP) for Jefferson and Shelby Counties and a portion of Walker County in Alabama, was adopted by the Birmingham MPO September 2011.

Amend Regional Transportation Plan Project Listings for Air Quality Conformity

- Plan modifications and updates

Transportation Improvement Program (TIP)

- Researched proposed TIP amendments and presented the amendments to the Transportation Committees and the MPO.
- Coordinated TIP amendments with ALDOT.
- Maintained a Status Checklist for STPBH and CMAQ projects by meeting with ALDOT staff on a monthly basis.
- Maintain TIP Financial Constraint – RPCGB will maintain Financial Constraint of TIP funding pursuant to MAP-21 requirements using Telus software and supporting data provided by Metropolitan Planning Section, ALDOT.
- Produced a draft Project Status Report.
- Held meetings with the TIP Subcommittee as needed to re-establish Financial Constraint of STPBH and CMAQ funds and receive reports from local sponsors and ALDOT on project progress.

Amend TIP Project Listings for Air Quality Conformity

- Plan modifications and updates

Thoroughfare Planning

- Regional Thoroughfare Plan document
- Local Thoroughfare Plan Development Guide
- Regional Thoroughfare Plan Map
- Roadway Functional Classification Map (updated)

Public Transportation Planning

- Assisted the Birmingham-Jefferson County Transit Authority (BJCTA) in assessing local bus routes
- Collected ridership data, to include boarding and alighting information
- Produced reports.
- Conducted on-board passenger surveys
- Developed maps and other analytical tools.
- Evaluated and designed new service/routes specific to downtown activity centers i.e. Region's Park and entertainment district.
- Assisted BJCTA with analyzing route performance.
- Performed transit corridor studies.
- Worked with BJCTA to assess current and future conditions.
- Coordinated/Facilitated meetings between BJCTA and local municipal entities
- Coordinated meetings between BJCTA and the Federal Transit Administration
- Monitored federal expenditures
- Alerted BJCTA to funding opportunities
- Participate in monthly meetings with the BJCTA
- Contribute to BJCTA Board meetings

Active Transportation Planning

- Produced Active Transportation Plan.
- Hosted Bike-to-Work Day and Walk-to-School Day activities.
- Hosted Complete Streets technical training event.
- Facilitated or helped to facilitate several workshops/conferences, such as Building Communities, Complete Streets, Safe Routes To School (SRTS), and local projects.

Logistics Systems Planning

- Freight stakeholder meetings
- Summary analysis of FAF2 and FAF3 data
- Freight Roadway Chokepoint Analysis
- Freight System Data Collection
- Attended Freight Academy

Transportation System Performance Management and Monitoring

The RPCGB has continued to collect and inventory a variety of transportation related data such as the Census Transportation Planning Package (CTPP), land use and economic development data, public transit and human service transportation data, natural resources, and other related demographic and socioeconomic data. The Congestion Management Process (CMP) has developed transportation system indicators related to travel time and congested travel conditions, to include peak travel periods and duration. Specific work tasks that were previously undertaken, or are currently ongoing, include:

Transportation Safety and Security Planning

- Used CARE database to identify potential corridors for crash data analysis
- Assisted the Federal Emergency Management Administration with disaster response and recovery efforts

Technical Assistance for Local Communities and Agencies

- Meeting attendance
- Assistance to local governments
- Data mining and report processing
- Document printing and delivery
- Printing maps
- Meeting facilitation/organization

Corridor Planning and Development Support

- U.S. 280 Parallel Corridor/Route Assessment
- U.S. 31 Corridor Study - Vestavia Hills (Building Communities project)
- U.S. 11 Southwest Transit Corridor Alternatives Analysis
- Five Mile Creek Greenway Master Plan

Table 5: Federal Highway Administration Planning (FHWA PL) Comparison for Fiscal Years 2012, 2013 and 2014

Budget Year:		FY2012 Actual	FY2013 Budget	FY2014 Budget
Revenue:	Programmed	\$872,003	\$872,003	\$1,032,728
	Not Programmed	\$189,920	\$189,920	\$0
Match for Programmed	RPCGB Dues Match	\$120,501	\$120,501	\$258,182
	Other Match	\$97,500	\$97,500	\$0
	Total Available	\$1,279,924	\$1,279,924	\$1,290,910
Expenses:	Salaries/Fringe/Indirect	\$910,770	\$893,754	\$902,008
	Direct Costs	\$106,196	\$171,250	\$50,000
	Contracts	\$78,977	\$25,000	\$338,902
	Total Expenditures	\$1,095,943	\$1,090,004	\$1,290,910
Balance:	Balance Available	\$183,981	\$189,920	\$0

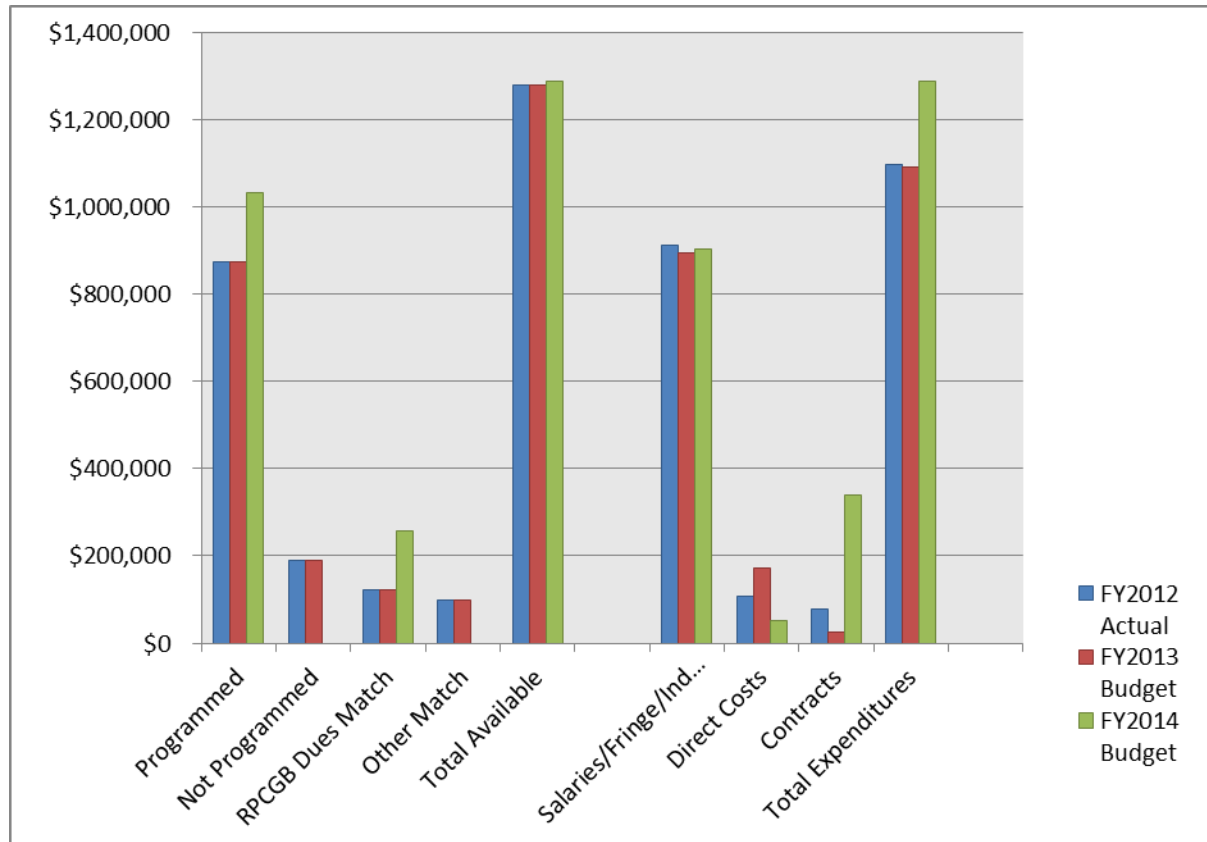


Figure 4: Federal Highway Administration Planning (FHWA PL) Comparison for Fiscal Years 2012, 2013 and 2014

3.2 Federal Transit Administration (FTA) 5309 - U.S. 11 East/U.S. 78 East Corridor Alternative Analysis

Project Manager

Ms. Laurel Land, Senior Planner

Project Manager's Goal: To initiate and successfully use Federal Transit Administration funds to leverage additional financial investment for public transit facilities and services, land development/redevelopment, and economic revitalization within the communities located along the US 11 East and US 78 East Corridor

Program Description

Total revenue available is \$1,423,428 and total programmed is \$374,068. This funding provides for RPCGB staffing and third party contractor. A dues match is not required and a cash match of \$93,517 will be used. Balance available for carry forward to FY2015 equals total revenue available less total programmed expenses and is \$955,843.

Major Objectives

Provide transportation alternatives to improve travel in the U.S. 11/U.S. 78 East corridor and addresses federal Livability Principles.

2012-2013 Fiscal Year Accomplishments

- Transit Alternatives Analysis and Transit Service Plans
- Building Communities Project - City of Leeds Master Plan

Table 6: Federal Transit Administration (FTA) 5309 U.S. 11 East/U.S. 78 East Corridor Alternative Analysis Comparison for Fiscal Years 2012, 2013 and 2014

Budget Year:		FY2012 Actual	FY2013 Budget	FY2014 Budget
Revenue:	Programmed	\$154,118	\$154,118	\$374,068
	Not Programmed	\$2,182,353	\$2,182,353	\$955,843
Match for Programmed	RPCGB Dues Match		\$0	\$0
	Other Match	\$38,529	\$38,529	\$93,517
	Total Available	\$2,375,000	\$2,375,000	\$1,423,428
Expenses:	Salaries/Fringe/Indirect	\$37,361	\$192,647	\$66,585
	Direct Costs	\$174	\$0	\$1,000
	Contracts	\$0	\$0	\$400,000
	Total Expenditures	\$37,535	\$192,647	\$467,585
Balance:	Balance Available	\$2,337,465	\$2,182,353	\$955,843

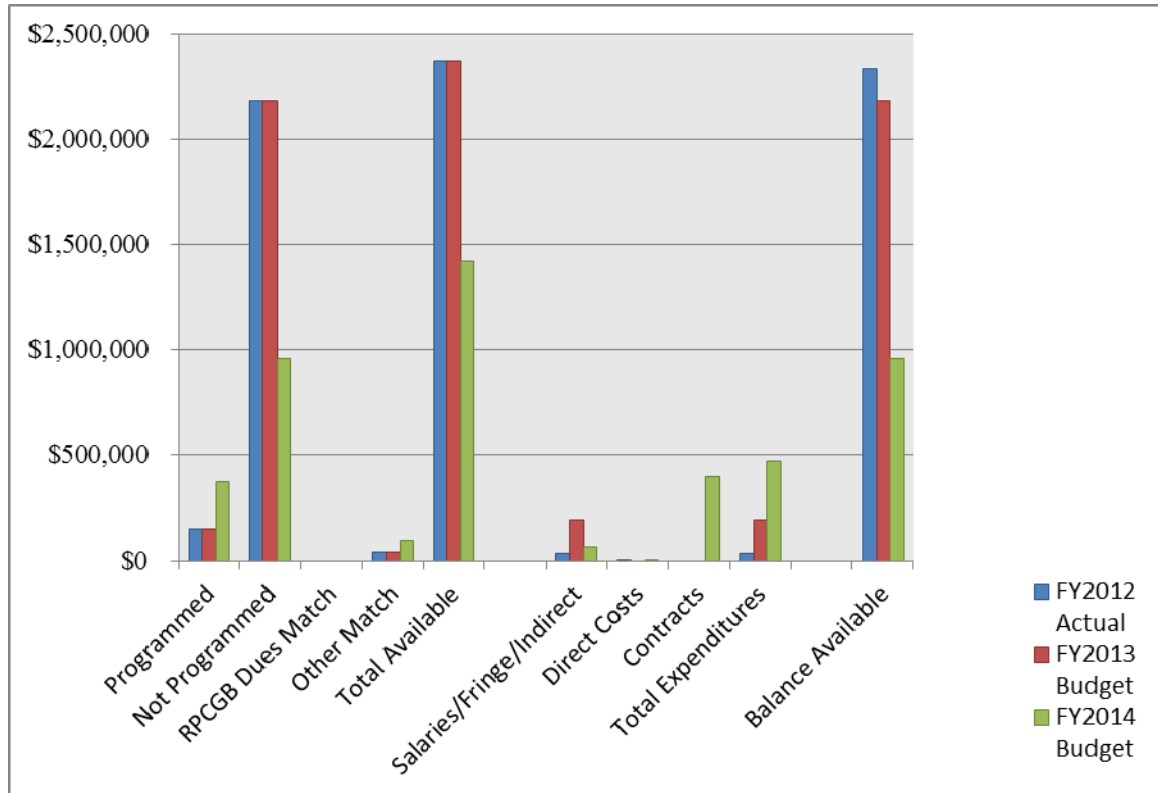


Figure 5: Federal Transit Administration (FTA) 5309 U.S. 11 East/U.S. 78 East Corridor Alternative Analysis Comparison for Fiscal Years 2012, 2013 and 2014

3.3 Surface Transportation Program (STP) - CommuteSmart Program (Rideshare)

Project Manager

Ms. Lindsey Gray, Deputy Director of Operations

Project Manager's Goal: Increase outreach to businesses and communities to increase the commuter participation in the carpool and vanpool programs.

Program Description

Total revenue available is \$1,200,000 and total programmed is \$1,200,000. This funding provides for RPCGB staffing and a third party contractor to operate the carpool and vanpool programs. A match is not required. Balance available for carry forward to FY2015 equals total revenue available less total programmed expenses and is \$0.

Major Objectives

To reduce reliance on the single-occupant automobile through programs that result in air emissions reductions and continue to address the federal Livability Principles.

2012-2013 Fiscal Year Accomplishments

Ongoing activities have been conducted for employer-based outreach programs, vanpool operations services, and park-and-ride lot development. An annual report documenting accomplishments was prepared and printed.

Table 7: Surface Transportation Program (STP) - CommuteSmart Program (Rideshare) Comparison for Fiscal Years 2012, 2013 and 2014

Budget Year:		FY2012 Actual	FY2013 Budget	FY2014 Budget
Revenue:	Programmed	\$1,200,000	\$1,200,000	\$1,200,000
	Not Programmed		\$0	\$0
Match for Programmed	RPCGB Dues Match	\$0	\$0	\$0
	Other Match	\$0	\$0	\$0
	Total Available	\$1,200,000	\$1,200,000	\$1,200,000
Expenses:	Salaries/Fringe/Indirect	\$423,635	\$464,724	\$544,740
	Direct Costs	\$410,841	\$315,276	\$55,260
	Contracts	\$331,178	\$420,000	\$600,000
	Total Expenditures	\$1,165,654	\$1,200,000	\$1,200,000
Balance:	Balance Available	\$34,346	\$0	\$0

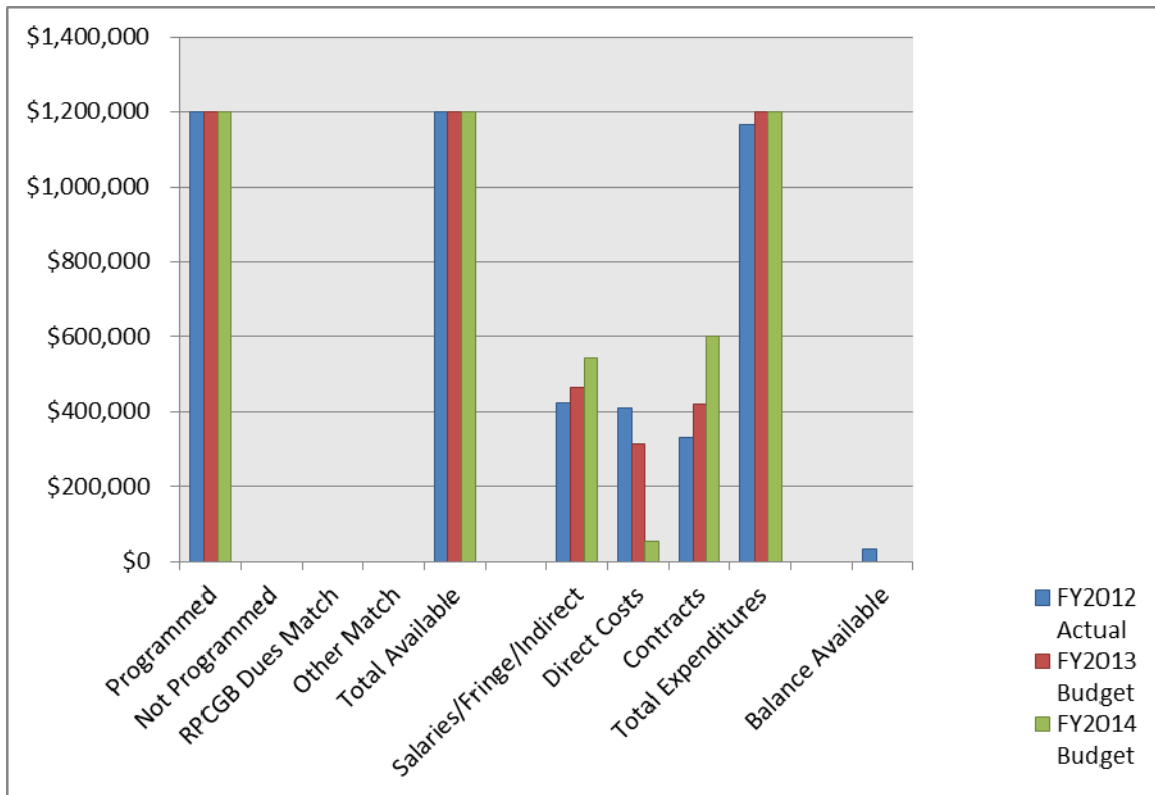


Figure 6: Surface Transportation Program (STP) - CommuteSmart Program (Rideshare) Comparison for Fiscal Years 2012, 2013 and 2014

3.4 Surface Transportation Program (STP) - Building Communities

Project Manager

Mr. Darrell Howard, Deputy Director of Planning

Project Manager's Goal: The goal for fiscal year 2014 is to continue to complete major street plans for member governments in the MPO study area.

Program Description

Total revenue available is \$625,000 and total programmed is \$500,000. This funding provides for RPCGB staffing and a third party contractor for selected components of projects or for a total project. A dues match, \$63,883, is required and a cash match of \$61,117 will be used. Balance available for carry forward to FY2015 equals total revenue available less total programmed expenses and is \$0.

Major Objectives

To provide grants to local communities within the Birmingham MPA for projects, strategies and services that support the SAFETEA-LU planning factors, including transportation and land use integration, economic vitality, safety and security, accessibility and mobility, environmental/air quality and system preservation.

2012-2013 Fiscal Year Accomplishments

- City of Vestavia Hills – U.S. 31 Corridor Plan
- City of Homewood – West Homewood Community Plan
- City of Homewood Sidewalk Plan
- City of Montevallo Active Transportation Plan
- City of Center Point Benchmark Plan
- East Thomas Neighborhood Plan

Table 8: Surface Transportation Program (STP) - Building Communities Comparison for Fiscal Years 2012, 2013 and 2014

Budget Year:		FY2012 Actual	FY2013 Budget	FY2014 Budget
Revenue:	Programmed	\$349,617	\$349,617	\$500,000
	Not Programmed	\$102,979	\$102,979	
Match for Programmed	RPCGB Dues Match	\$0	\$0	\$63,883
	Other Match	\$87,404	\$87,404	\$61,117
	Total Available	\$540,000	\$540,000	\$625,000
Expenses:	Salaries/Fringe/Indirect	\$428,051	\$377,021	\$319,417
	Direct Costs	\$4,658	\$10,000	\$10,000
	Contracts	\$95,220	\$50,000	\$295,583
	Total Expenditures	\$527,929	\$437,021	\$625,000
Balance:	Balance Available	\$12,071	\$102,979	\$0

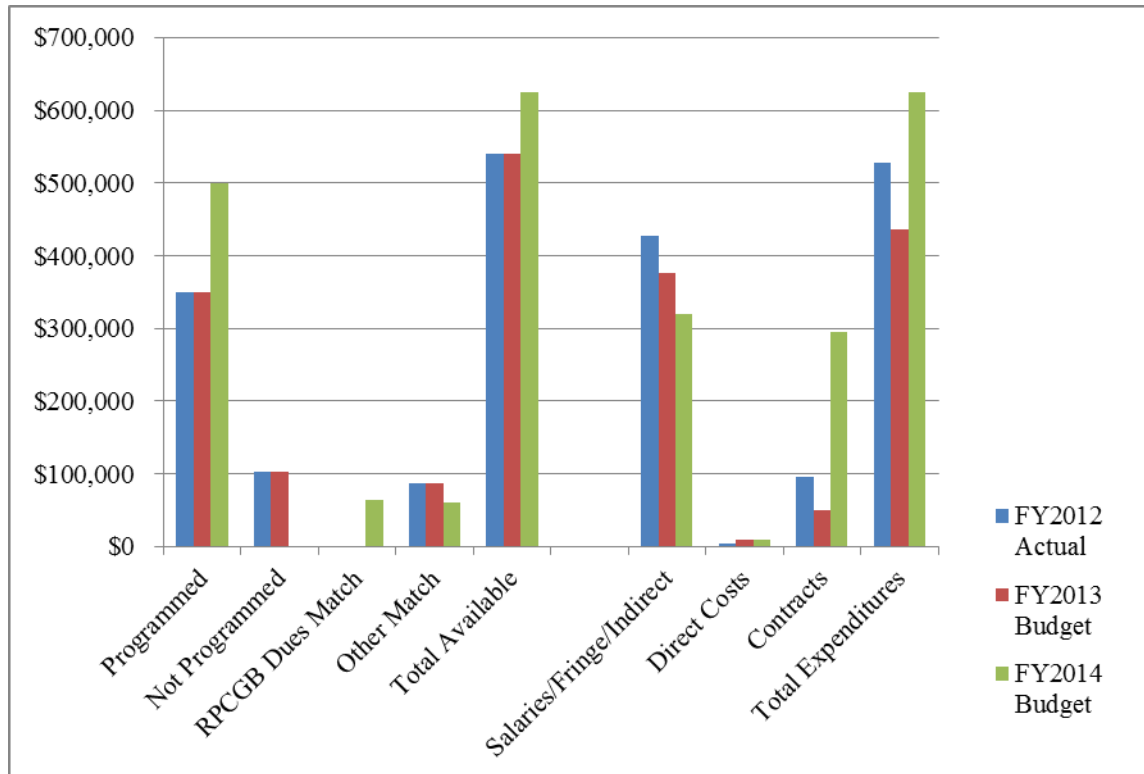


Figure 7: Surface Transportation Program (STP) - Building Communities Comparison for Fiscal Years 2012, 2013 and 2014

3.5 Congestion Mitigation Air Quality (CMAQ) - Air Quality Planning

Project Manager:

Ms. Lindsey Gray, Deputy Director of Operations

Project Manager's Goal: Increase coordination between all the partners to maximize the effectiveness of the air quality program to increase emission reduction.

Program Description

Total revenue available is \$1,000,000 and total programmed is \$800,000. This funding provides for RPCGB staffing, contracts with partners and marketing of the Air Quality program. A dues match of \$18,295 is required and a cash match of \$181,705 will be used. Balance available for carry forward to FY2015 equals total revenue available less total programmed expenses and is \$0.

Major Objectives

To achieve and maintain compliance with the national air quality standards in the Birmingham nonattainment area of Jefferson and Shelby Counties, to protect and improve public health, and to minimize the economic impacts on existing businesses and support economic growth consistent with clean air goals.

2012-2013 Fiscal Year Accomplishments

Twelve outreach events were conducted for dissemination and input regarding air quality conformity. CommuteSmart and Alabama Partners for Clean Air (APCA) have consolidated many outreach efforts, particularly in the business community. APCA continues to promote idle-free zones in school pick-up lines. A report documenting the program and funding activities of APCA for the period October 1, 2011 – September 30, 2012 was completed.

Table 9: Congestion Mitigation Air Quality (CMAQ) Air Quality Planning Comparison for Fiscal Years 2012, 2013 and 2014

Budget Year:		FY2012 Actual	FY2013 Budget	FY2014 Budget
Revenue:	Programmed	\$1,036,935	\$1,036,935	\$800,000
	Not Programmed		\$0	\$0
Match for Programmed	RPCGB Dues Match	\$0	\$0	\$18,295
	Other Match	\$0	\$0	\$181,705
	Total Available	\$1,036,935	\$1,036,935	\$1,000,000
Expenses:	Salaries/Fringe/Indirect	\$122,616	\$80,138	\$91,473
	Direct Costs	\$190,733	\$527,797	\$150,000
	Contracts	\$261,140	\$429,000	\$758,527
	Total Expenditures	\$574,489	\$1,036,935	\$1,000,000
Balance:	Balance Available	\$462,446	\$0	\$0

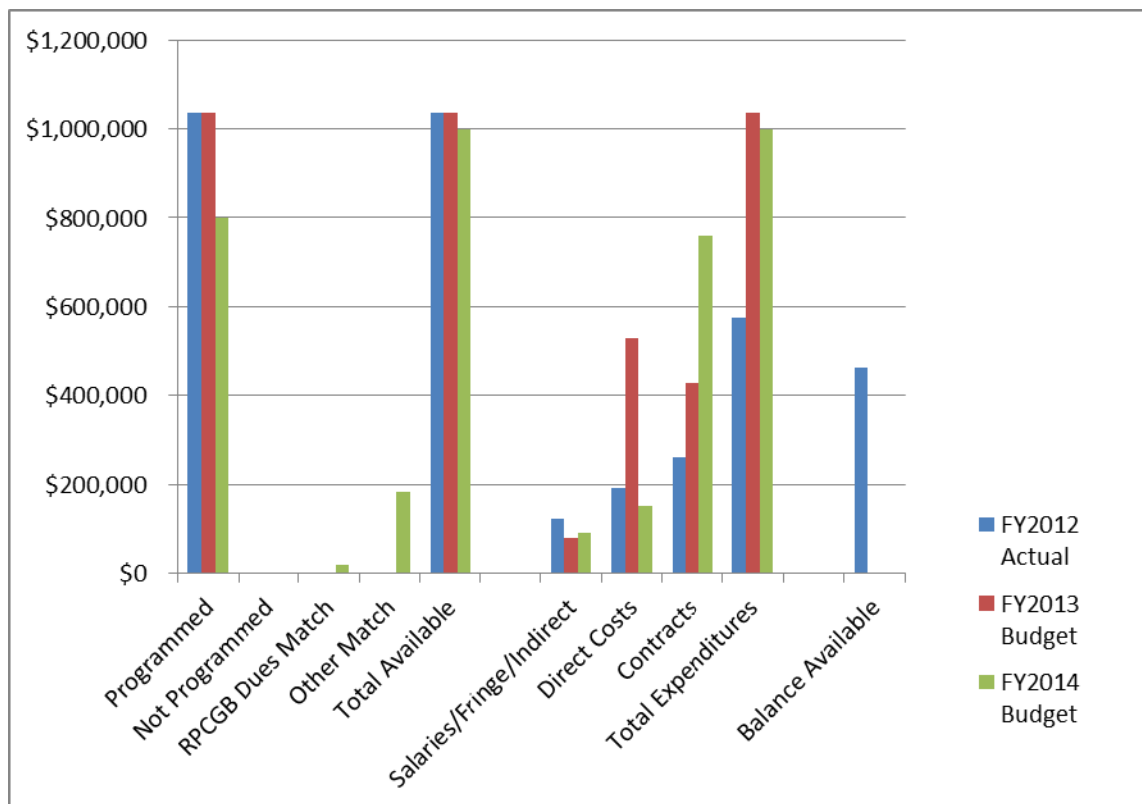


Figure 8: Congestion Mitigation Air Quality (CMAQ) Air Quality Planning Comparison for Fiscal Years 2012, 2013 and 2014

3.6 Statewide Transportation Planning (STP) – Corridor Feasibility Studies/ Advanced Planning and Preliminary Engineering (APPLE)

Project Manager

Mr. Darrell Howard, Deputy Director of Planning

Project Manager's Goal:

To improve the quality and timelines of the overall project development process.

Program Description

Total revenue available is \$225,000 and total programmed is \$180,000. This funding provides for RPCGB staffing. A dues match is not required and a cash match of \$45,000 will be used. Balance available for carry forward to FY2015 equals total revenue available less total programmed expenses and is \$0.

Major Objectives

To improve the quality and timelines of the overall project development process by:

- Assisting local governments in determining project feasibility specific to both non-motorized and multimodal travel corridors in advance of entering into an expensive and extended project development process.
- Assisting project sponsors in better articulating project scope and understanding both the planning considerations and potential costs.
- Assisting the project development process by educating local governments about the ALDOT project development process.
- Providing information to the Birmingham MPO in order to better manage uncertainties in program funding.

2012-2013 Fiscal Year Accomplishments

- APPLE Program Development/Refinement
- Project Specific APPLE Projects to Include:
 1. Area specific transportation infrastructure studies
 2. Intersection relocation assessment
 3. Trail feasibility study
 4. Sidewalk feasibility assessment in a school zone

Table 10: Statewide Transportation Planning (STP) – Corridor Feasibility Studies/Advanced Planning and Preliminary Engineering (APPLE) for Fiscal Years 2012, 2013 and 2014

Budget Year:		FY2012 Actual	FY2013 Budget	FY2014 Budget
Revenue:	Programmed	\$41,555	\$41,555	\$180,000
	Not Programmed	\$173,056	\$173,056	\$0
Match for Programmed	RPCGB Dues Match		\$0	\$0
	Other Match	\$10,389	\$10,389	\$45,000
	Total Available	\$225,000	\$225,000	\$225,000
Expenses:	Salaries/Fringe/Indirect	\$61,321	\$51,944	\$17,675
	Direct Costs	\$8,000	\$0	\$0
	Contracts	\$0	\$0	\$207,325
	Total Expenditures	\$69,321	\$51,944	\$225,000
Balance:	Balance Available	\$155,679	\$173,056	\$0

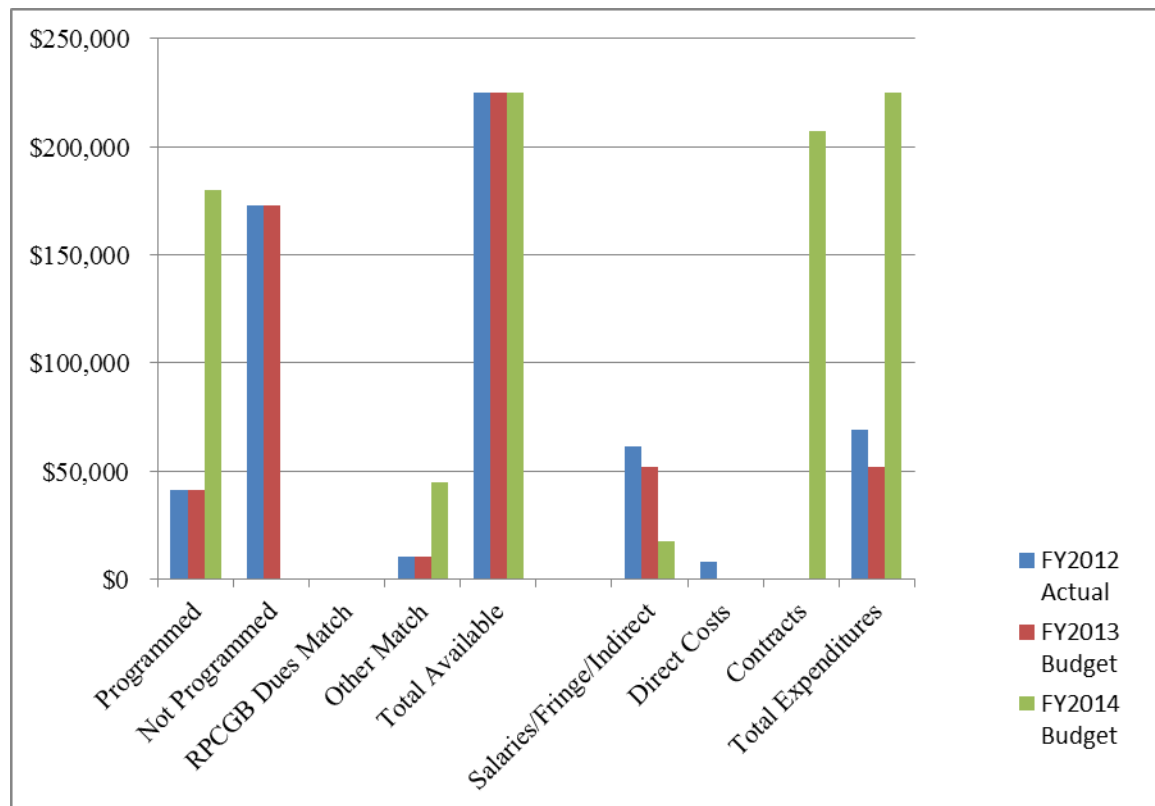


Figure 9: Statewide Transportation Planning (STP) – Corridor Feasibility Studies Comparison for Fiscal Years 2012, 2013 and 2014

3.7 Statewide Transportation Planning (STP) Congestion Management

Project Manager

Mr. Mike Kaczorowski, Senior Planner

Project Manager's Goal: The goal is to collect the traffic counts and travel speeds in the Birmingham major transportation facilities that are needed to provide decision makers and the public information about the performance of the transportation system and also to assess the effectiveness of implemented congestion mitigation projects.

Program Description

Total revenue available is \$250,000 and total programmed is \$200,000. This funding provides for a third party contractor. A dues match is not required but a donated match of \$50,000 will be used. Balance available for carry forward to FY2015 equals total revenue available less total programmed expenses and is \$0.

Major Objectives: To comply with federal regulations for transportation management areas having populations of 250,000 or more; to develop and maintain a congestion management process for the purpose of monitoring, managing and mitigating congestion across the region's transportation system; to address the federal Livability Principles.

2012-2013 Fiscal Year Accomplishments

- Data collection to include traffic counts and monitoring system.
- Annual congestion report
- Data and Resource Sharing (Regional Transportation Data Clearinghouse) web page (maintained on the RPCGB website).
- Ongoing coordination for incident management
- Traffic counts continue to be gathered, analyzed and posted to the RPCGB website. Travel time information has been collected in a variety of formats.
- Introduction of "Smart Corridor" concept via the Birmingham 2035 RTP
- Support for regional ITS architecture and system development
- MPO financial support for regional ITS fiber audit
- MPO financial support for regional traffic signal coordination in key travel corridors
- Support for inclusion of ITS on transit vehicles

Table 11: State Transportation Planning (STP) - Congestion Management Process Budget Comparison for Fiscal Years 2012, 2013 and 2014

Budget Year:		FY2012 Actual	FY2013 Budget	FY2014 Budget
Revenue:	Programmed	\$200,000	\$200,000	\$200,000
	Not Programmed		\$0	\$0
Match for Programmed	RPCGB Dues Match	\$0	\$0	\$0
	Other Match	\$50,000	\$50,000	\$50,000
	Total Available	\$250,000	\$250,000	\$250,000
Expenses:	Salaries/Fringe/Indirect	\$0	\$0	\$0
	Direct Costs	\$0	\$0	\$0
	Contracts	\$19,033	\$250,000	\$250,000
	Total Expenditures	\$19,033	\$250,000	\$250,000
Balance:	Balance Available	\$230,967	\$0	\$0

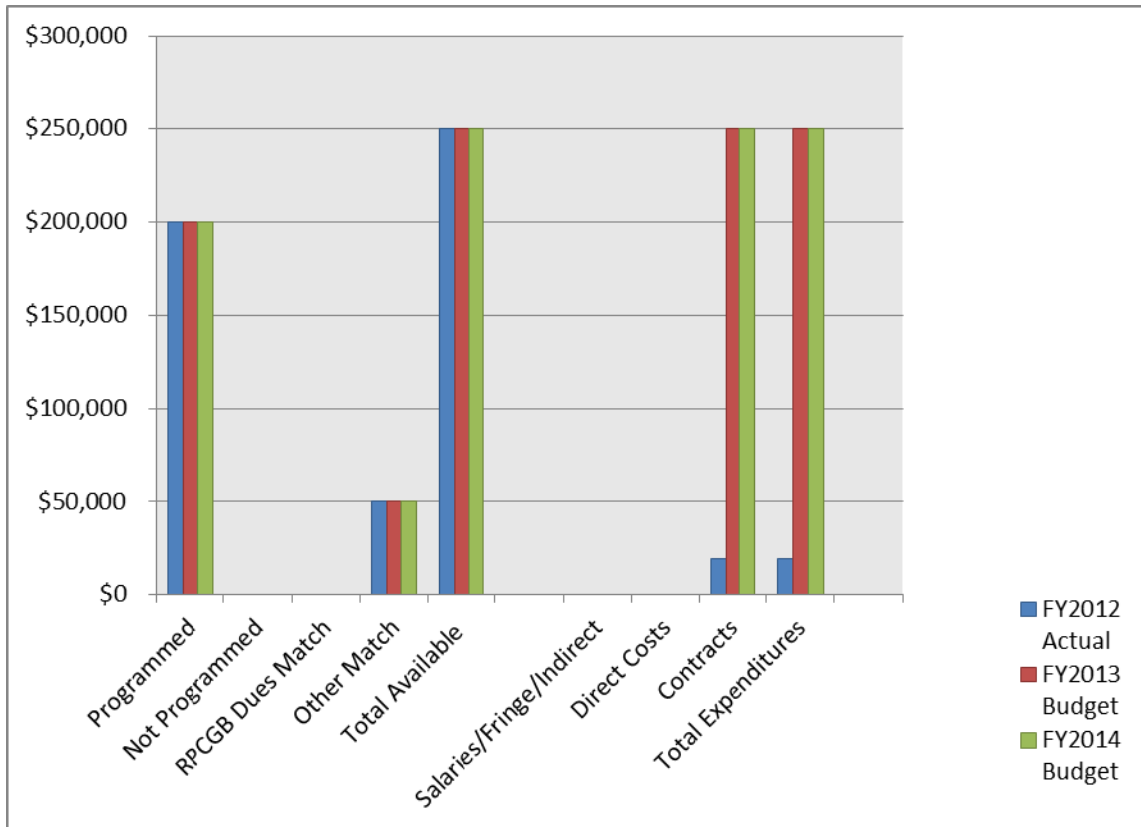


Figure 10: State Transportation Planning (STP) - Congestion Management Process Budget Comparison for Fiscal Years 2012, 2013 and 2014

3.8 State Planning Research (SPR) Rural

Project Manager

Ms. Laurel Land, Senior Planner

Project Manager's Goal: To assist counties in project prioritization, providing regulatory and funding information, and working together for the greater good of the region.

Program Description

Total revenue available is \$62,500 and total programmed is \$50,000. This funding provides for RPCGB staffing for outreach to RPCGB's rural counties of Blount, Chilton, St. Clair and Walker for transportation consultation. A dues match of \$12,500 is required. Balance available for carry forward to FY2015 equals total revenue available less total programmed expenses and is \$0.

Major Objectives

This funding is to support the counties and participating municipalities within Blount, Chilton, St. Clair, and Walker with rural transportation planning. Individual and public meetings will be conducted throughout the year. The RPCGB will assist local governments with prioritization of transportation projects to be included in the State's Transportation Improvement Program. Regulatory, funding, and project information will be gathered, maintained, and distributed. The RPCGB will work to develop meaningful interaction and assistance with partners.

2012-2013 Fiscal Year Accomplishments:

- Provided training on available grants, grant preparation, and disaster planning
- Assisted local governments and agencies with state grant preparations
- Provided updates on the status of local projects
- Gathered input for update to Regional Transportation Plan
- Conducted quarterly meetings
- Updated distribution list
- Strengthened relationships with local officials

Table 12: State Planning Research (SPR) Rural Comparison for Fiscal Years 2012, 2013 and 2014

Budget Year:		FY2012 Actual	FY2013 Budget	FY2014 Budget
Revenue:	Programmed	\$48,213	\$50,000	\$50,000
	Not Programmed	\$2,234	\$0	\$0
Match for Programmed	RPCGB Dues Match	\$12,053	\$12,500	\$12,500
	Other Match	\$0	\$0	\$0
	Total Available	\$62,500	\$62,500	\$62,500
Expenses:	Salaries/Fringe/Indirect	\$63,371	\$56,086	\$56,224
	Direct Costs	\$1,099	\$6,414	\$6,276
	Contracts	\$3,659	\$0	
	Total Expenditures	\$68,129	\$62,500	\$62,500
Balance:	Balance Available	-\$5,629	\$0	\$0

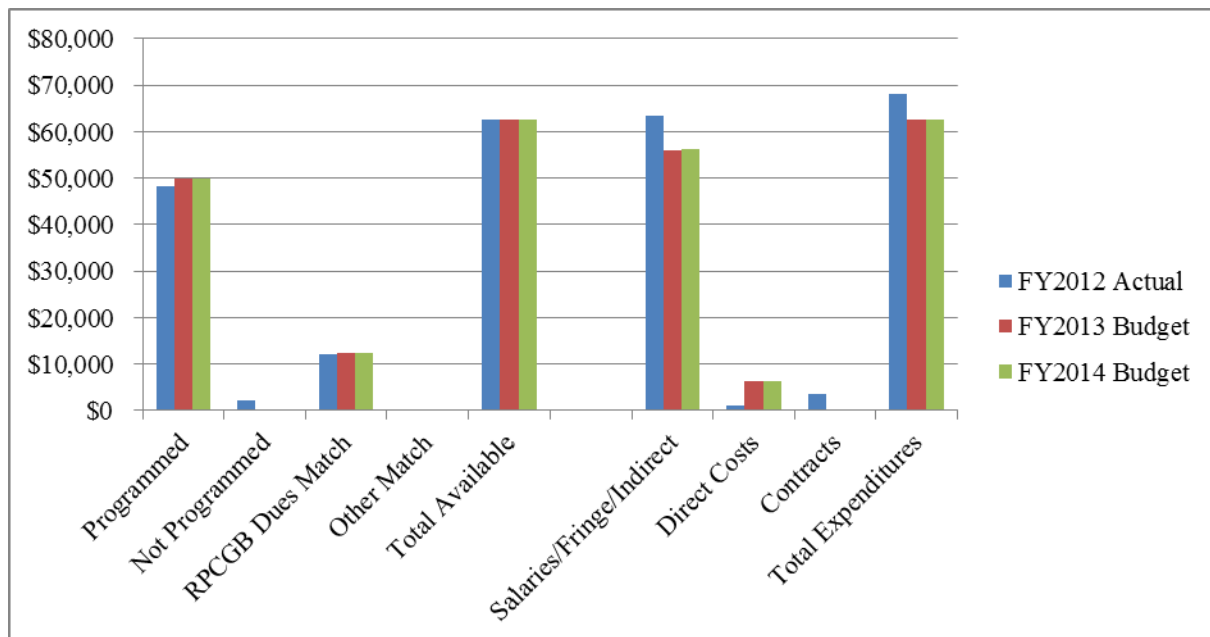


Figure 11: State Planning Research (SPR) Rural Comparison for Fiscal Years 2012, 2013 and 2014

3.9 Economic Development Administration (EDA)

Project Manager

Mrs. Yvonne Murray, Director of Economic Development

Project Manager's Goal: To align economic development activities with the goals and policies of the region for growth and livability.

Program Description

Total revenue available is \$126,000 and total programmed is \$63,000. This funding provides for RPCGB staffing and support of the Comprehensive Economic Development Strategy (CEDS). It contributes to the support of the Revolving loan Fund (RLF). A dues match of \$63,000 will be used. Balance available for carry forward to FY2015 equals total revenue available less total programmed expenses and is \$0.

Major Objectives

This funding supports (1) the development, implementation, and update of comprehensive economic development strategies (CEDS), (2) technical assistance for the implementation of economic development activities, and (3) grant management activities.

2012-2013 Fiscal Year Accomplishments

Grant assistance provided to:

- Innovation Depot Expansion Project
- City of Jasper Water Expansion Project
- Disaster Recovery and Preparedness Projects
- City of Tarrant Incubation Project
- Town of Parrish Water and Sewer Projects

Provided support to the Birmingham Business Alliance.

Provided support to the Governor's Region 4 Workforce Development Council.

Aided in the operation of Main Street Alabama.

Provided assistance to various small businesses.

Served as an information clearinghouse for various grant opportunities.

Facilitated the region's Brownfields Task Force.

Table 13: Economic Development Administration (EDA) Comparison for Fiscal Years 2012, 2013 and 2014

Budget Year:		FY2012 Actual	FY2013 Budget	FY2014 Budget
Revenue:	Programmed	\$63,000	\$63,000	\$63,000
	Not Programmed		\$0	\$0
Match for Programmed	RPCGB Dues Match	\$63,000	\$63,000	\$63,000
	Other Match	\$0	\$0	\$0
	Total Available	\$126,000	\$126,000	\$126,000
Expenses:	Salaries/Fringe/Indirect	\$137,571	\$96,949	\$115,114
	Direct Costs	\$1,649	\$29,051	\$10,886
	Contracts	\$0	\$0	\$0
	Total Expenditures	\$139,220	\$126,000	\$126,000
Balance:	Balance Available	(\$13,220)	\$0	\$0

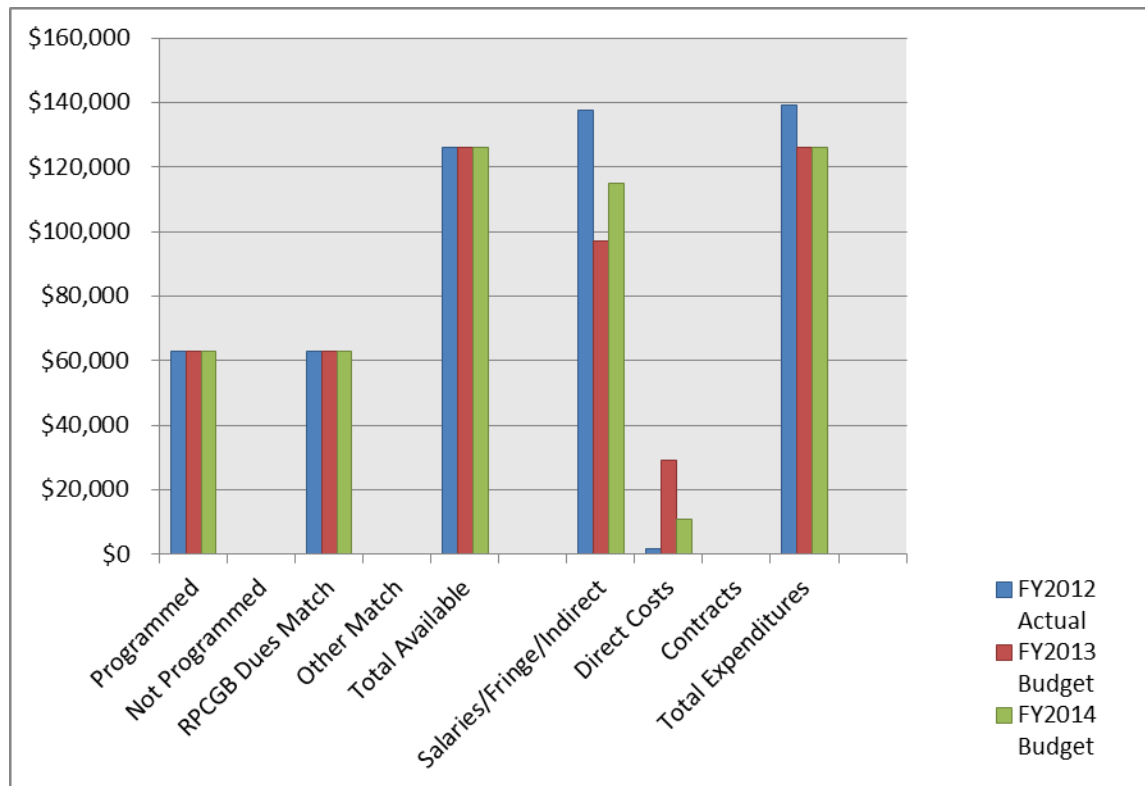


Figure 12: Economic Development Administration (EDA) Comparison for Fiscal Years 2012, 2013 and 2014

3.10 Appalachian Regional Commission (ARC)

Project Manager

Mrs. Yvonne Murray, Director of Economic Development

Project Manager's Goal: The goal for fiscal year 2013 is maximizing the use of funds beyond the levels attained in 2012 and increase of service levels.

Program Description

Total Revenue Available is \$200,000 and total programmed is \$100,000. This funding provides for RPCGB staffing to assist local governments with technical information. A dues match of \$100,000 is required. Balance available for carry forward to FY2015 equals total revenue available less total programmed expenses and is \$0.

Major Objectives

This funding supports the provision of technical assistance to county and municipal governments within RPCGB's six-county planning area that includes Blount, Chilton, Jefferson, St. Clair, Shelby and Walker Counties with the development, adoption and implementation of various community planning projects. The funds will provide these public entities assistance with Comprehensive Plans, Area Plans such as Town Center or Employment Centers, Management Tools such as Subdivision Regulations or Zoning Ordinances, Studies and Analyses such as Economic and Retail / Market or Historic Preservation, and the origination and management of grant and project funding. Additionally, this funding supports the tasks and administration related to the management of the ARC portion of the Revolving Loan Fund.

2012-2013 Fiscal Year Accomplishments

Assistance provided to:

- Titusville Neighborhood
- City of Vestavia Hills
- Thomas Neighborhood
- City of Center Point
- City of Gardendale
- Princeton/West End Neighborhood
- Regional Brownfields Task Force
- City of Hueytown
- City of Pell City
- Birmingham Business Alliance
- Jefferson State Community College
- City of Tarrant
- Blount County Schools
- City of Oneonta
- Town of Parrish
- Regional Revolving Loan Fund

Table 14: Appalachian Regional Commission (ARC) Comparison for Fiscal Years 2012, 2013 and 2014

Budget Year:		FY2012 Actual	FY2013 Budget	FY2014 Budget
Revenue:	Programmed	\$100,000	\$100,000	\$100,000
	Not Programmed		\$0	\$0
Match for Programmed	RPCGB Dues Match	\$100,000	\$100,000	\$100,000
	Other Match		\$0	\$0
	Total Available	\$200,000	\$200,000	\$200,000
Expenses:	Salaries/Fringe/Indirect	\$122,859	\$185,048	\$196,733
	Direct Costs	\$39,038	\$14,952	\$3,267
	Contracts	\$14,818	\$0	
	Total Expenditures	\$176,715	\$200,000	\$200,000
Balance:	Balance Available	\$23,285	\$0	\$0

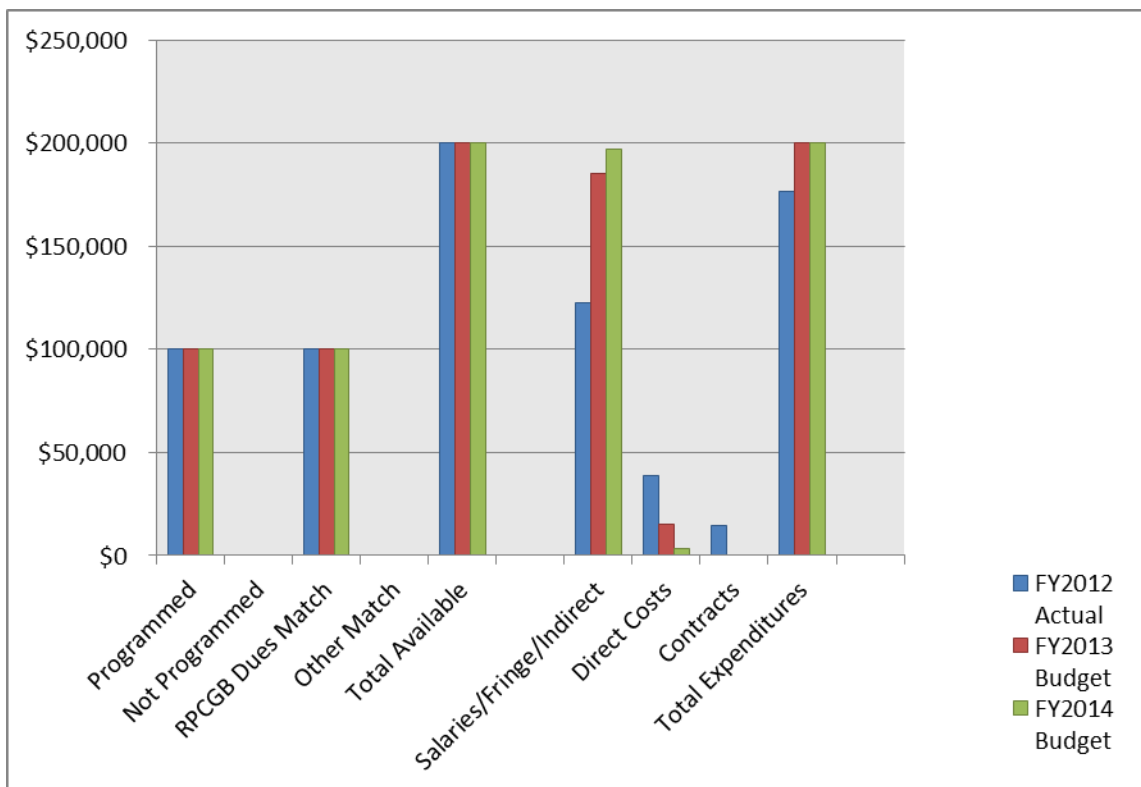


Figure 13: Appalachian Regional Commission (ARC) Comparison for Fiscal Years 2012, 2013 and 2014

3.11 Revolving Loan Fund (RLF) Administration

Project Manager

Mrs. Yvonne Murray, Director of Economic Development

Project Manager's Goal: To increase awareness of program, increase numbers of loans made and diversify the types of industries served.

Program Description

Total revenue available is \$65,000 and total programmed is \$65,000. This funding provides for RPCGB staffing to maintain the financial records, assistance with underwriting loans and staffing. A match is not required. Balance available for carry forward to FY2015 equals total revenue available less total programmed expenses and it is \$0.

Major Objectives

This funding provides for staff support for the Revolving Loan Fund that include the operational and fiduciary responsibilities of the RLF. The amount of available funds will be increased and marketing activities will be conducted to increase the awareness of this program.

2012-2013 Fiscal Year Accomplishments

A total of \$800,000, in ARC funding over the past four years has been obtained. The Accounts Receivable Loan program loaned out and paid back approximately \$1.3 million through this program of short-term loans. Approximately 120 jobs were retained. The program leveraged approximately \$2.6 million in receivables and capital. To date, the RLF has made over 225 loans totaling over \$8.3 million and leveraging almost \$80 million. The program has assisted in the retention and creation of over 1100 jobs. Monthly reports are submitted to the Finance Committee for review.

The following loans continue to be serviced:

- Jemison Auto Parts
- JLR. LLC
- Dorsky Properties
- Max Coating, Inc.
- Alabama Physician's Assistants on Call, LLC
- United Textiles
- BioGX
- Techknowledge Birmingham
- Integrated Media Systems
- Vaxin
- Cabinet Components
- BioGX

- All in One Home Health
- Appsolute Genius
- Choice Research of Birmingham
- Ad It 4 Less
- Spec 9 Flooring
- ThinkData

The following new loans were made:

- Winter Industry Piping
- D&K Home Health
- Suture Health
- Zappend
- Southern Home Healthcare
- Bessemer Industrial Development Board
- Gardendale Urgent Care
- Atlas RFID
- Select My Space
- ChaseBays
- The Care Group

Table 15: Revolving Loan Fund (RLF) Administration Comparison for Fiscal Years 2012, 2013 and 2014

Budget Year:		FY2012 Actual	FY2013 Budget	FY2014 Budget
Revenue:	Programmed	\$62,875	\$65,000	\$65,000
	Not Programmed	\$2,125	0	\$0
Match for Programmed	RPCGB Dues Match	\$0	\$0	\$0
	Other Match	\$0	\$0	\$0
	Total	\$65,000	\$65,000	\$65,000
Expenses:	Salaries/Fringe/Indirect	\$64,209	\$62,384	\$50,345
	Direct Costs	\$4,744	\$2,616	\$14,655
	Contracts	\$2,000	\$0	\$0
	Total Expenditures	\$70,953	\$65,000	\$65,000
Balance:	Balance Available	(\$5,953)	\$0	\$0

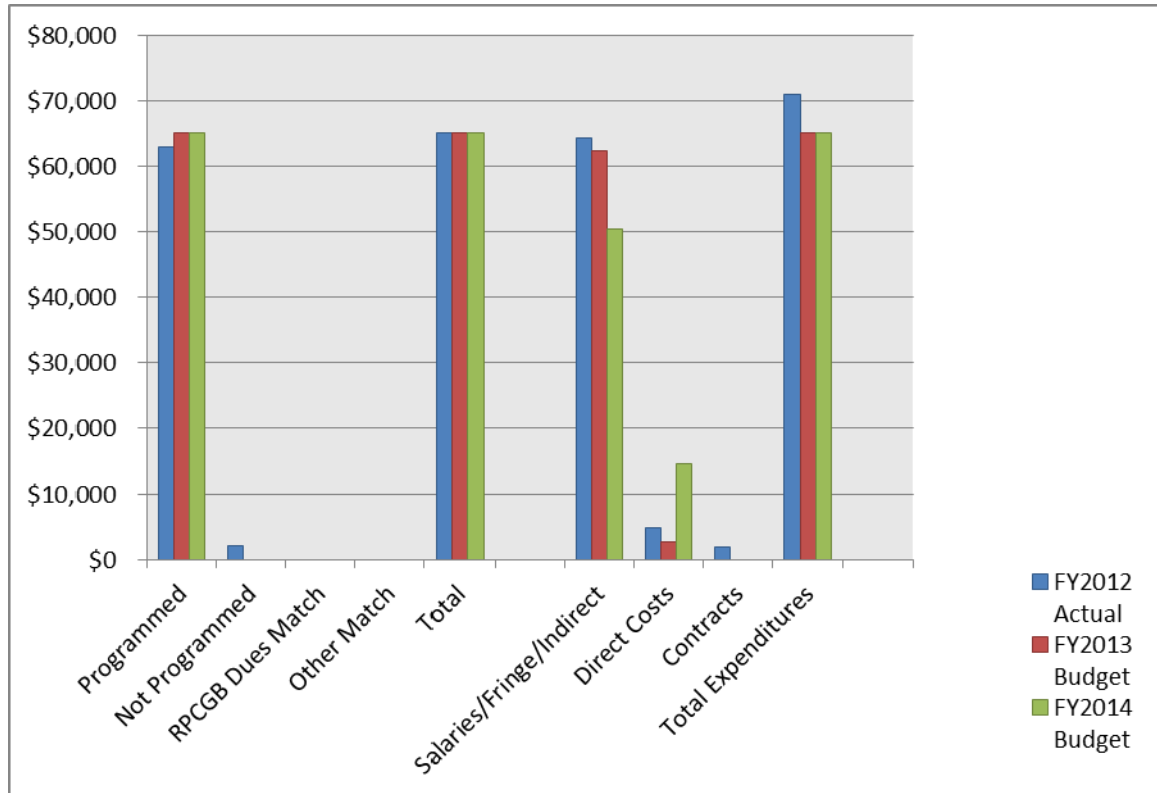


Figure 14: Revolving Loan Fund (RLF) Administration Comparison for Fiscal Years 2012, 2013 and 2014

3.12 Alabama Council for Development Disabilities (ACDD)

Project Manager

Ms. Laurel Land, Senior Planner

Project Manager's Goal:

To complete an assessment of the transportation needs of individuals with developmental disabilities and to formulate viable options to fill those needs.

Program Description

Total revenue available is \$375,000 and total programmed is \$300,000. This funding provides for staff and contractor to complete projects. A dues match is not required. Other match of \$75,000 will be used. Balance available for carry forward to FY2015 equals total revenue available less total programmed expenses and is \$0.

Major Objectives

- To conduct a statewide assessment of the transportation needs of individuals with developmental disabilities, using interviews, surveys, and public involvement meetings
- To conduct research on successful transportation strategies
- To develop viable transportation alternatives for use in Alabama
- Document findings and alternatives in a report

A budget comparison for 2012 and 2013 is not included due to this project not included in FY2012 and FY2013 budget.

Table 16: Alabama Council for Developmental Disabilities Comparison for Fiscal Years 2012, 2013 and 2014

Budget Year:		FY2012 Budget	FY2013 Budget	FY2014 Budget
Revenue:	Programmed	N/A	N/A	\$300,000
	Not Programmed	N/A	N/A	\$0
Match for Programmed	RPCGB Dues Match	N/A	N/A	\$0
	Other Match	N/A	N/A	\$75,000
	Total	N/A	N/A	\$375,000
Expenses:	Salaries/Fringe/Indirect	N/A	N/A	\$63,027
	Direct Costs	N/A	N/A	\$0
	Contracts	N/A	N/A	\$311,973
	Total Expenditures	N/A	N/A	\$375,000
Balance:	Balance Available	N/A	N/A	\$0

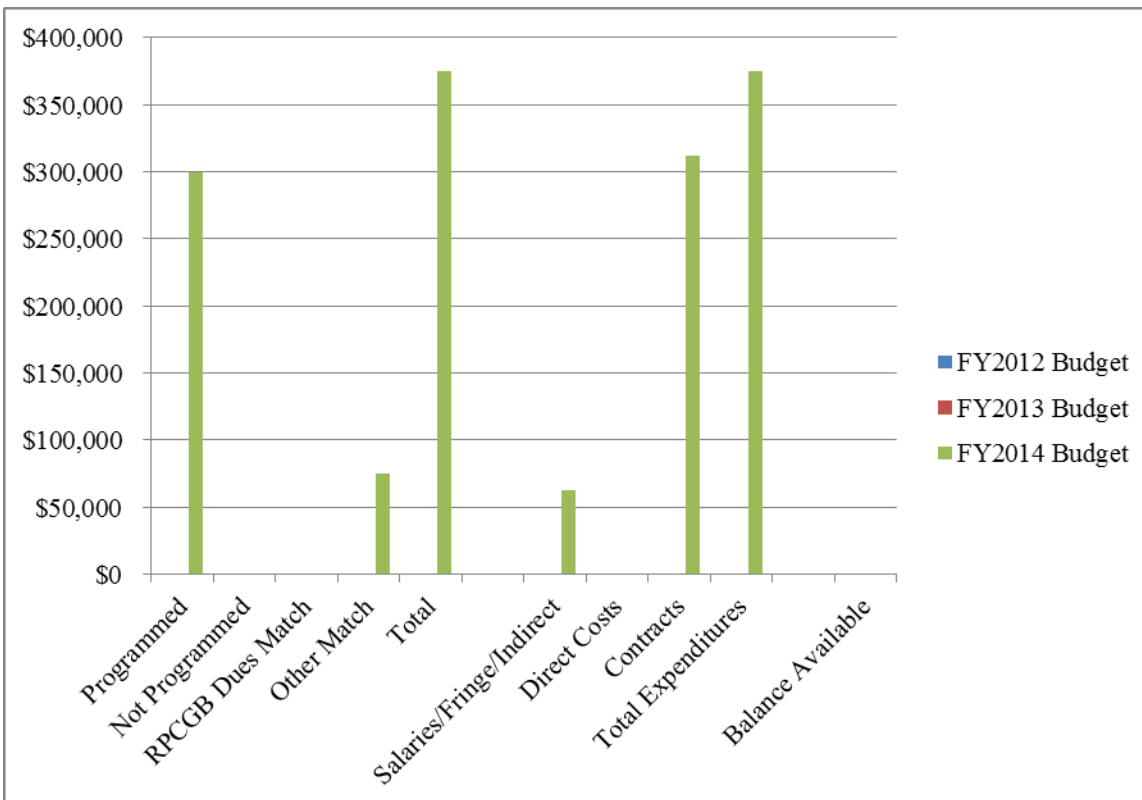


Figure 15: Alabama Council for Developmental Disabilities Comparison Comparison for Fiscal Years 2012, 2013 and 2014

3.13 State Technical Assistance (TA)

Project Manager

Scott Tillman, Director of Planning and Operations

Project Manager's Goal:

To meet the technical assistance needs with innovative work in the RPCGB region.

Program Description

Total revenue available is \$120,000 and total programmed is \$120,000. This funding provides for RPCGB staffing for technical assistance. A match is not required. Balance available for carry forward to FY2015 equals total revenue available less total programmed expenses and is \$0.

Major Objectives

This program supports technical assistance to member governments, local agencies and citizens in the counties of Blount, Jefferson, St. Clair, Shelby, Chilton and Walker.

A budget comparison for 2012 and 2013 is not included due to this program not included in FY2012 and FY2013 budget.

Table 17: State Technical Assistance (TA) Comparison for Fiscal Years 2012, 2013 and 2014

Budget Year:		FY2012 Budget	FY2013 Budget	FY2014 Budget
Revenue:	Programmed	N/A	N/A	\$120,000
	Not Programmed	N/A	N/A	\$0
Match for Programmed	RPCGB Dues Match	N/A	N/A	\$0
	Other Match	N/A	N/A	\$0
	Total	N/A	N/A	\$120,000
Expenses:				
	Salaries/Fringe/Indirect	N/A	N/A	\$74,157
	Direct Costs	N/A	N/A	\$0
	Contracts	N/A	N/A	\$45,843
	Total Expenditures	N/A	N/A	\$120,000
Balance:	Balance Available	N/A	N/A	\$0

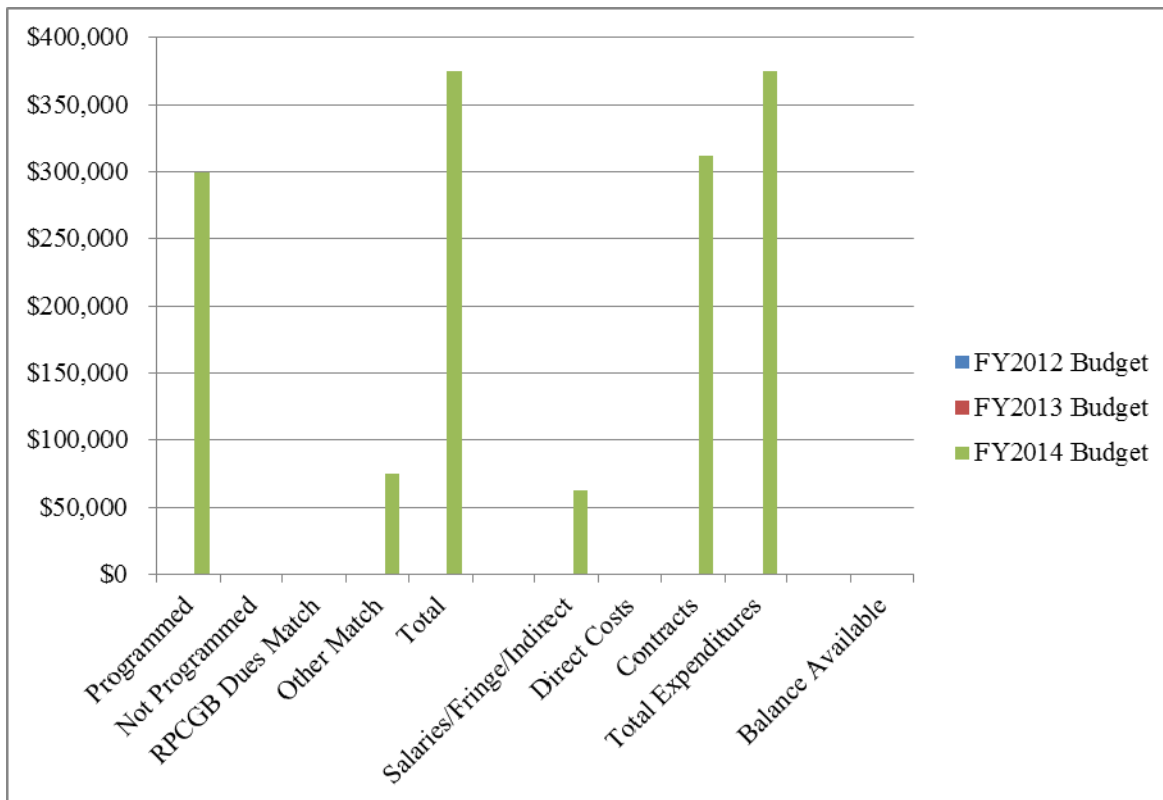


Figure 16: State Technical Assistance (TA) Comparison for Fiscal Years 2012, 2013 and 2014

3.14 Medicaid Waiver E&D

Project Manager

Ms. Bridget Phillips, Medicaid Waiver Program Manager

Project Manager's Goal: Manage all aspects of this program which is designed to allow elderly or disabled individuals who are at risk of nursing home placement to remain in their home as long as possible.

Program Description

Total revenue available is \$6,139,000 and total programmed is \$6,139,000. Medicaid Waiver is a program of the Alabama Department of Senior Services (ADSS) and the Alabama Medicaid Agency and administered by the Regional Planning Commission of Greater Birmingham. This funding provides for RPCGB program staffing, program materials, and client services provided by the Medicaid Waiver program. This program is for individuals residing in Jefferson County, AL. A match is not required. Balance available for carry forward to FY2015 equals total revenue available less total programmed expenses and is \$0.

Major Objectives

To reduce nursing home placements of elderly and disabled individuals by providing in-home care services

2012-2013 Fiscal Year Accomplishments

- RPCGB began administering this program in Jefferson County on October 1st, 2011
- Ongoing activities have been conducted for clients receiving services related to the Medicaid Waiver program.

Table 18: Medicaid Waiver Comparison for Fiscal Years 2012, 2013 and 2014

Budget Year:		FY2012 Actual	FY2013 Budget	FY2014 Budget
Revenue:	Programmed	\$5,388,544	\$6,788,114	\$6,139,000
	Not Programmed	\$41,701	\$174,638	\$0
Match for Programmed	RPCGB Dues Match	\$0	\$0	\$0
	Other Match	\$0	\$0	\$0
	Total	\$5,430,245	\$6,962,752	\$6,139,000
Expenses:	Salaries/Fringe/Indirect	\$941,823	\$1,022,730	\$1,126,844
	Direct Costs	\$129,909	\$312,296	\$312,296
	Contracts	\$3,447,217	\$5,453,088	\$4,699,860
	Total Expenditures	\$4,518,949	\$6,788,114	\$6,139,000
Balance:	Balance Available	\$911,296	\$174,638	\$0

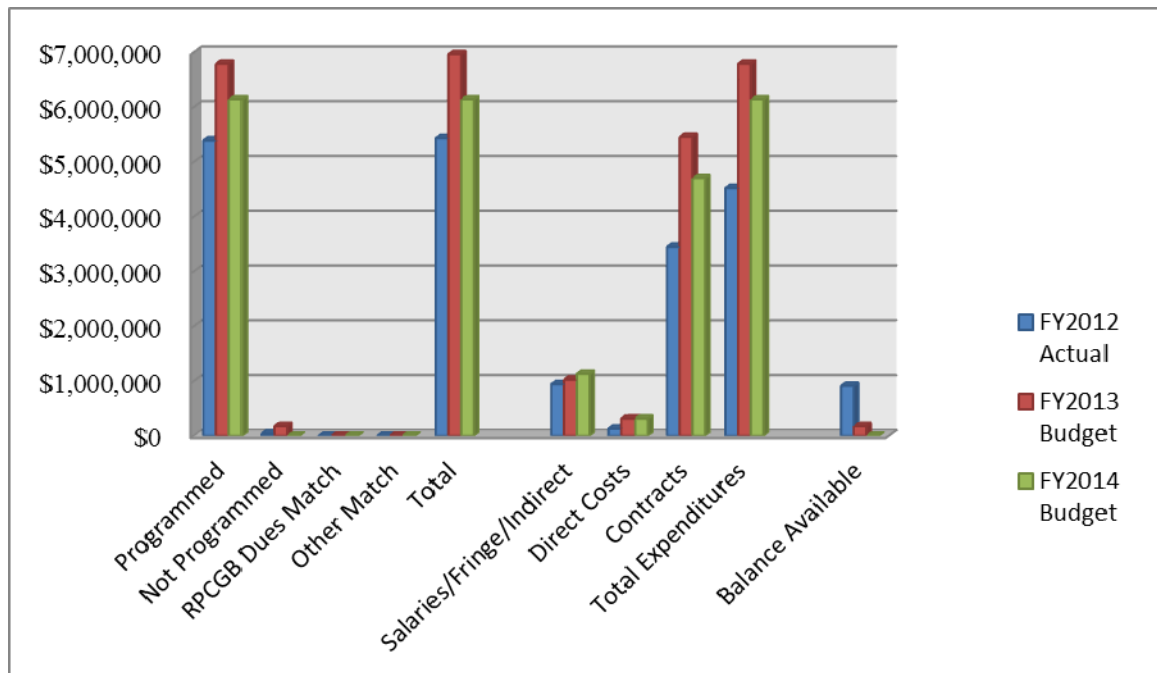


Figure 17: Medicaid Waiver Comparison for Fiscal Years 2012, 2013 and 2014

3.15 Medicaid Waiver 530

Project Manager

Ms. Bridget Phillips, Medicaid Waiver Program Manager

Project Manager's Goal: Manage all aspects of this program which is designed to allow individuals, 21 years or older, who have been diagnosed with HIV/AIDS that are at risk of nursing home placement to remain in their homes as long as possible.

Program Description

Total revenue available is \$200,000 and total programmed is \$200,000. 530 Waiver is a program of the Alabama Department of Senior Services (ADSS) and the Alabama Medicaid Agency and administered by the Regional Planning Commission of Greater Birmingham. This funding provides for RPCGB program staffing, program materials, and client services provided by the 530 Waiver program. This program is for individuals residing in Jefferson County, AL. A match is not required. Balance available for carry forward to FY2015 equals total revenue available less total programmed expenses and is \$0.

Major Objectives

To reduce nursing home placements of individuals with the HIV/AIDS diagnosis by providing in-home care services

2012-2013 Fiscal Year Accomplishments

- RPCGB began administering this program in Jefferson County on June 1st, 2012 Ongoing activities have been conducted for clients receiving services related to the Medicaid Waiver program.

Table 19: 530 Waiver Comparison for Fiscal Years 2012, 2013 and 2014

Budget Year:		FY2012 Actual	FY2013 Budget	FY2014 Budget
Revenue:	Programmed	\$124,000	\$400,000	\$200,000
	Not Programmed	\$0	\$0	\$0
Match for Programmed	RPCGB Dues Match	\$0	\$0	\$0
	Other Match	\$0	\$0	\$0
	Total	\$124,000	\$400,000	\$200,000
Expenses:	Salaries/Fringe/Indirect	\$10,717	\$103,829	\$86,884
	Direct Costs	\$408	\$23,760	\$23,760
	Contracts	\$43,944	\$272,694	\$89,356
	Total Expenditures	\$55,069	\$400,283	\$200,000
Balance:	Balance Available	\$68,931	(\$283)	\$0

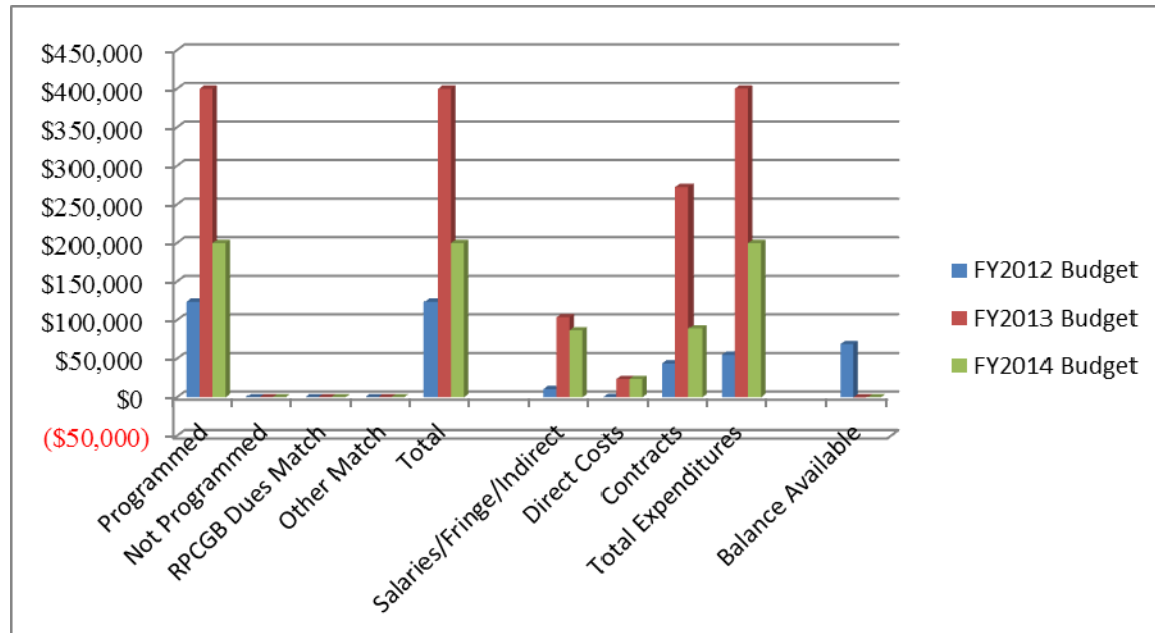


Figure 17: 530 Waiver Comparison for Fiscal Years 2012, 2013 and 2014

APPENDIX A: FINANCIAL POLICIES

Financial Accounting and Budget Policies

The RPCGB Board of Directors is required to adopt a budget by September 30 each year. RPCGB operates with a balanced budget, which occurs when total receipts equal to total outlays for a fiscal year. RPCGB seeks diverse sources of income and applies this income to leverage maximum federal and state funding, primarily through long-term grant agreements.

General Accounting Policy

All RPCGB financial transactions are to be conducted and records maintained in accordance with generally accepted accounting principles as applicable to governmental organizations. The basis of accounting for RPCGB budget and accounting purposes shall be the accrual basis of accounting in measuring financial positions and results of financial operations. All funds are accounted for in the annual audit

Financial Grant Monitoring, Reporting and Control System

The RPCGB Administration Department establishes financial control systems and administrative procedures to ensure that financial management of its operating funds and grant awards are in strict compliance with grant program regulations. The Administration Department coordinates all financial reporting as required by the grantor agency. RPCGB prepares monthly financial reports comparing actual expenditures to the budget and provides this information to the Finance Committee and Board of Directors.

Annual Audit

The RPCGB Finance Committee has oversight of the annual audit. This committee is responsible for annual audit findings and recommendations as provided by RPCGB's independent auditors. An annual audit is performed by an independent public accounting firm in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in Government Auditing Standards, issued by the comptroller General of the United States. These standards require that the auditors plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement.

Fund Balance Policy

The RPCGB recognizes the financial importance of a stable and sufficient level of unreserved fund balance. RPCGB intends to establish three (3) months operating expenses in reserve in order to protect against the need to reduce services and increase fees due to temporary shortfalls or one-time unexpected expenditures. Due to notes payable issued in 2006, this may not be feasible until the note is repaid in July 2016.

A Fund Balance generated in excess of the three (3) month minimum operating reserves can only be allocated to the following:

- a. Purchase of fixed assets
- b. Sinking fund for future replacement of assets
- c. Deferred maintenance
- d. One-time departmental projects

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- e. Reserve for audit disallowances
- f. Local match for grants
- g. Seed money for new departmental programs provided there is a plan that includes identification of future ongoing funding sources and outcome measures

Fees and Charges

RPCGB sets and maintains fees and charges for services. The fees and charges are periodically reviewed to ensure they cover the cost of the service provided.

Use of One-Time Revenues

RPCGB discourages the use of one-time revenues for operating expenses. However, due to the nature of RPCGB's funding sources this may not always be possible. When one-time revenues such as single-purpose grants are used, every effort is made to match the available funding with the appropriate outlay whether it is operating or capital usage. In the event that it becomes necessary for one-time revenues to be used for on-going operations, documentation substantiating the reason will be presented to the Board of Directors for approval.

Capital Assets/Expenditures

Capital assets are defined by the Commission as assets with an initial, individual cost of more than \$1,000 (amount not rounded) and an estimated useful life in excess of two years. Such assets are recorded at historical cost. The cost of normal maintenance and repairs that do not add to the value of the asset or materially extend assets lives are not capitalized. Capital assets, which consist of furniture and equipment, are depreciated using the straight line method over a five year useful life.

The RPCGB's definition of capital expenditure as acquisition of a single fixed asset purchased over \$5000.

Debt Capacity

RPCGB Board of Directors approved a \$500,000 line of credit. The line of credit can be accessed at the discretion of the Executive Director for the specific use of temporary cash flow due to slow reimbursements. All other debt for operational activities is discouraged. However, in future years it may become necessary for the RPCGB to review this policy due to the pending building-lease expiration in May 2013. Additionally, there may be opportunities for the RPCGB to take advantage of debt financing in order to leverage federal funding for economic development activities such as the creation of a Revolving Loan Fund through the USDA. Both of these actions would require Board approval. No legal debt limit exists for the RPCGB. The Board of Directors controls this determination.

Procurement Policies

Purchasing activities are conducted by RPCGB, rather than a central purchasing authority. The RPCGB has an obligation at all times to comply with government procurement regulations, proper transaction documentation and records retention and fiscal responsibility.

Cash Management

The financial planning process foundation is based on seeking diverse sources of income and applying this income to leverage federal and state funding recognizing that this is paramount to sustainability. Transparency is maintained by immediately sharing opportunities and problems with RPCGB's

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Committees and Board of Directors. RPCGB's Committee and Board members provide an avenue for using their expertise and arm's length observations to recognize deficiencies and working together to become stronger. RPCGB believes that the budget is a living document and flexibility is important when expectations are not met and shortfalls are encountered.

APPENDIX B: GLOSSARY OF TERMS AND ACRONYMS

Accrual Basis Accounting method in which revenues are recorded when earned and expenses recorded when the associated liability is incurred, irrespective of the timing of the related cash receipts and disbursements.

ADA Americans with Disabilities Act.

Air Quality Conformity: Link between air quality planning and transportation planning

Allocation: An administrative distribution of funds for programs that do not have statutory distribution formulas.

Appropriations Act: Action of a legislative body that makes funds available for expenditure with specific limitations as to amount, purpose, and duration. In most cases, it permits money previously authorized to be obligated and payments made, but for the highway program operating under contract authority, the appropriations act specifies amounts of funds that Congress will make available for the fiscal year to liquidate obligations.

Alabama Department of Environmental Management (ADEM): A comprehensive program of environmental management for the state was established in 1982 with the passage by the Alabama Legislature of the Alabama Environmental Management Act. The law created the Alabama Environmental Management Commission and established the Alabama Department of Environmental Management, which absorbed several commissions, agencies, programs and staffs that had been responsible for implementing environmental laws. ADEM administers all major federal environmental laws, including the Clean Air, Clean Water and Safe Drinking Water acts and federal solid and hazardous waste laws. ADEM assumed these responsibilities only after demonstration that state laws and regulations are at least equivalent to federal standards and that the state has matching funds and personnel available to administer the programs.

Alabama Department of Transportation (ALDOT): Transportation planning agency for the state of Alabama. ALDOT manages federal and state funding, often applied in combination with local funding, for transportation projects across the state.

Alabama Partners for Clean Air (APCA): An affiliation of 14 public, private and nonprofit organizations working to implement voluntary strategies that improve air quality in Jefferson and Shelby counties. APCA's goals are to achieve and maintain compliance with national air quality standards, to protect and improve public health, to minimize the economic impacts on existing businesses and support economic growth consistent with clean air goals.

Birmingham Jefferson County Transit Authority (BJCTA): The public transit agency serving the City of Birmingham and Jefferson County

Clean Air Act Amendments (CAAA): The 1990 amendments to the federal Clean Air Act which classify non-attainment areas and provide for rules dealing with air pollution in such areas; specifically brought transportation decisions into the context of air quality control.

Congestion Mitigation and Air Quality Improvement Program (CMAQ): A categorical funding program created under ISTEA, which directs funding to projects that contribute to meeting national air quality standards in non-attainment areas for ozone and carbon monoxide.

Congestion Management Process (CMP) (previously known as Congestion Management System): A systematic process required under SAFETEA-LU for all TMAs that shall address congestion management through the metropolitan planning process that provides for effective management and operation, based on a cooperatively developed and implemented metropolitan-wide strategy of new and existing transportation facilities eligible for funding under title 23 and chapter 53 of title 49 through the use of travel demand reduction and operational management strategies. The CMP is required under 23 CFR 500.109 and shall include methods to monitor and evaluate the performance of the multi-modal transportation system, identify causes of congestion, identify and evaluate alternative actions, provide information supporting the implementation of actions, and evaluate the efficiency and effectiveness of implementation actions. The CMP is periodically reviewed for efficiency and effectiveness of the implemented strategies, the results of this evaluation shall be provided to decision-makers to provide guidance on selection of effective strategies for future implementation purposes.

Contractual services: Services provided to the government by entities other than its own employees.

Cooperation: When parties involved work together to achieve a common goal or objective.

Coordination: The comparison of plans, programs and schedules of one agency with related plans, programs and schedules of other agencies or entities with legal standing, and adjustment of plans, programs and schedules to achieve general consistency.

Department of Transportation (DOT): Agency responsible for transportation at the local, state, or federal level. For title 23 U.S.C. federal-aid highway actions, this would mean the Federal Highway Administration and for federal-aid transit actions under title 49 U.S.C, this would mean the Federal Transit Administration.

Environmental Protection Agency (EPA): An agency of the federal government of the United States charged with protecting human health and with safeguarding the natural environment: air, water, and land.

Federal Highway Administration (FHWA): Division of the U.S. Department of Transportation responsible for administering federal highway transportation programs under title 23 U.S.C.

Fiscal Constraint: A requirement, originally of ISTEA, that all plans be financially – constrained, balanced expenditures to reasonably expected sources of funding over the period of the TIP or Long-Range Transportation Plan.

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Federal Transit Administration (FTA): Federal entity responsible for transit planning and programs under title 49 U.S.C.

Fiscal Year (FY): The yearly accounting period beginning October 1 and ending September 30 of the subsequent calendar year. Fiscal years are denoted by the calendar year in which they end (e.g. FY 1991 began October 1, 1990, and ended September 30, 1991).

Human Services Coordinated Transportation Plan (HSCTP): Under the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), there must be a locally developed, coordinated transportation plan that takes the needs of diverse constituents into account. The plans are used to determine funding priorities and support competitive bidding for human service transportation grants.

Intergovernmental Agreement: Legal instrument describing tasks to be accomplished and/or funds to be paid between government agencies.

Job Access Reverse Commute (JARC) Section 5316: The Job Access and Reverse Commute (JARC) program was established to address the unique transportation challenges faced by welfare recipients and low-income persons seeking to obtain and maintain employment. Many new entry-level jobs are located in suburban areas, and low-income individuals have difficulty accessing these jobs from their inner city, urban, or rural neighborhoods. In addition, many entry level-jobs require working late at night or on weekends when conventional transit services are either reduced or non-existent. Finally, many employment related-trips are complex and involve multiple destinations including reaching childcare facilities or other services.

Long-Range Transportation Plan (LRTP): A document resulting from regional or statewide collaboration and consensus on a region or state's transportation system, and serving as the defining vision for the region's or state's transportation systems and services. In metropolitan areas, the plan indicates all of the transportation improvements scheduled for funding over the next 20 years. It is fiscally constrained, i.e., a given program or project can reasonably expect to receive funding within the time allotted for its implementation.

MAP-21 – Moving Ahead for Progress in the 21st Century: Is the most recent transportation legislation, signed into law by President Obama in July of 2012.

Match -A locally provided cash or in-kind services contribution required to supplement or equal a grant or gift as a condition for receiving the funds.

Metropolitan Planning Organization (MPO): The forum for cooperative transportation Decision-making; required for urbanized areas with populations over 50,000.

National Ambient Air Quality Standards (NAAQS): Federal standards that set allowable concentrations and exposure limits for various pollutants. The EPA developed the standards in response to a requirement of the CAA. Air quality standards have been established for the following six criteria pollutants: ozone (or smog), carbon monoxide, particulate matter, nitrogen dioxide, lead, and sulfur dioxide.

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National Highway System (NHS): Specific major roads to be designated September 30, 1995; the NHS will consist of 155,000 (plus or minus 15%) miles of road and represents one category of roads eligible for federal funds under ISTEA.

New Freedom/Section 5317: Federal Transit Administration grant program to encourage services and facility improvements that address the transportation needs of persons with disabilities, going beyond those required by the Americans with Disabilities Act.

Obligated Funds: Funds that have been authorized by and committed to legally by a federal agency to pay for the federal share of the project cost.

Officials: Are people who have governmental decision-making, planning or administrative responsibilities that relate to MPO activities.

Public: Includes citizens, public agencies, advocacy groups and the private sectors that have an interest in or may be affected by MPO activities.

Public Participation: Is an integral part of a planning or major decision-making process. It provides opportunities for the public to be involved with the MPO in an exchange of data and ideas. Public participation offers an open process in which the rights of the community, to be informed to provide comments to the Government and to receive a response from the Government, are met through a full opportunity to be involved and to express needs and goals.

Public Transit: Passenger transportation services, usually local in scope, that is available to any person who pays a prescribed fare. It operates on established schedules along designated routes or lines with specific stops and is designed to move relatively large numbers of people at one time.

Public Transportation: Transportation by bus, rail, or other conveyance, either publicly or privately owned, which provides to the public general or special service on a regular and continuing basis. Also known as "mass transportation", "mass transit" and "transit."

Request for Proposal (RFP) -The official document requesting from prospective contractors a detailed description of the manner in which they plan to achieve the goals specified by the RFP were they awarded a contract to do so. The plan usually includes the proposer's estimate of total cost and required schedule.

Revolving fund -A fund account containing money that is renewed as it is used, either by additional appropriations or by income from the programs it finances; thus, the fund retains a balance at all times.

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU): legislation enacted August 10, 2005, as Public Law 109-59. SAFETEA-LU authorizes the Federal surface transportation programs for highways, highway safety, and transit for the 5-year period 2005-2009.

Section 5310: Federal Transit Administration grant that provides capital and operating assistance for urban public transportation.

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Section 5311: Federal Transit Administration grant that provides capital and operating assistance for rural and small urban public transportation.

State Planning and Research Funds (SPR): Primary source of funding for statewide long-range planning.

Surface Transportation Program (STP, L-STP or U-STP): A program funded by the National Highway Trust Fund. **L-STP** provides funding to areas of 5,000 to 50,000 in population for improvements on routes functionally classified urban collectors or higher. **U-STP** Provides funding to Census designated urbanized areas over 50,000 in population (e.g. MPO areas based on US Census) for improvements on routes functionally classified.

Transportation Disadvantaged: People who are unable to transport themselves or to purchase transportation due to disability, income status or age.

Transportation Improvement Program (TIP): A priority list of transportation projects developed by a metropolitan planning organization that is to be carried out within the four (4) year period following its adoption; must include documentation of federal and state funding sources for each project and be consistent with adopted MPO long range transportation plans and local government comprehensive plans.

Transportation Technical Committee (TTC): A standing committee of most metropolitan planning organizations (MPOs); function is to provide advice on plans or actions of the MPO from planners, engineers and other staff members (not general citizens).

Unified Planning Work Program (UPWP): Developed by Metropolitan Planning Organization (MPOs); identifies all transportation and planning activities anticipated within the next one to two years, including a schedule for the completion of the identified tasks and activities.