

## Low Carbon Transit Operations Program (LCTOP)

### PROJECT DESCRIPTION AND ALLOCATION REQUEST (SUMMARY)

**Project Information:**

Lead Agency:	Napa County Transportation and Planning Agency
Project Name:	ZEBs for Vine Commuter Service to SMART
Project Type: <i>See Attachment A</i>	Ai: Purchase, operate and maintain zero-emission or hybrid vehicles and equipment
Description of Project (Short):	Napa County Transportation & Planning Agency (NCTPA) would like to expand commuter service to Petaluma to create a connection to SMART. Providing this service will require at least two buses. NCTPA will use three years of LCTOP funding to purchase two electric buses to run on the route.
Project Location:	City of Napa, Sonoma and Petaluma
Project Start Date (anticipated):	2017
Project End Date (anticipated):	2029

**Funding Information:**

Funding Year:	2015/2016
Requested Amount of PUC 99313:	\$140,397
Requested Amount of PUC 99314:	\$12,433
Total LCTOP Funding:	\$152,830
Total Project Cost:	\$1,204,630

**Project Benefits:**

#### Greenhouse Gas Benefits (off of worksheet)

Estimated GHG Reduction:	-	1337	-
Project Life:	12		
Estimated Total GHG Reduction:	16044		

#### Disadvantaged Communities (DAC) Benefits:

Does your service area have a DAC?	No
Does the Project Benefit a DAC?	No
Identify the DAC Census Tracts?	N/A
Identify Specific DAC Benefit Criteria? <i>See Attachment B</i>	
Qualitative Description of DAC Benefit?	N/A
Describe the DAC Need Project Addresses?	N/A
Total GGRF \$ Allocated to DAC	0

#### Co-benefit

Critical Air Pollution Reduction:	
VMT Reduction:	
Ridership Increase	
Fuel Ues Reduction:	
Energy Use Reduction:	

## Low Carbon Transit Operations Program (LCTOP)

### PROJECT DESCRIPTION AND ALLOCATION REQUEST (ALLOCATION)

Regional Entity: Metropolitan Transportation Commission

Project Lead: Napa County Transportation and Planning Agency

County: Napa

Project Title: ZEBs for Vine Commuter Service to SMART

#### Project Lead:

I certify the scope, cost, schedule, and benefits as identified in the attached Allocation Request (Request) and attachments are true and accurate and demonstrate a fully funded operable project. I understand the Request is subject to any additional restrictions, limitations or conditions that may be enacted by the State Legislature, including the State's budgetary process and/or auction receipts. In the event the project cannot be completed as originally scoped, scheduled and estimated, or the project is terminated prior to completion, project lead shall, at its own expense, ensure that the project is in a safe and operable condition for the public. I understand this project will be monitored by the California Department of Transportation - Division of Rail and Mass Transportation.

Name: Kate Miller

Signature:

Title: Executive Director

Agency: Napa County Transportation and Planning Agency

Date: 1/21/2016

Amount: ~~-\$152,830~~ \$12,433

#### Contributing Sponsor(s):

\*If this project includes funding from more than one project sponsor, the project lead above becomes the "recipient agency" and the additional contributing project sponsor(s) must also sign and state the amount and type of LCTOP funds (PUC Sections 99313 and 99314) contribution. Sign below or attach a separate officially signed letter providing that information. If there is more than one contributing sponsor, please submit additional page, or a letter from the additional contributors.

Name: Alix Backelman

Signature:

Title: Deputy Executive Director, Policy

Agency: MTC

Date:

Amount:



**PROJECT DESCRIPTION AND ALLOCATION REQUEST (FUNDING)**

	<i>LCTOP Allocation</i>	<b>15/16</b>	<b>16/17</b>	<b>17/18</b>
<b>Request Amount per PUC 99313:</b>		\$140,397	\$187,000	\$187,000
<b>Request Amount per PUC 99314:</b>		\$12,433	\$17,000	\$17,000
<b>Total Project Allocation Request:</b>		\$152,830	\$204,000	\$204,000
<b>Project Title:</b>	<u>ZEBs for Vine Commuter Service to SMART</u>			
<b>Project Location/Address:</b>	<u>Napa and Sonoma Counties</u>			

**Table 1: Project Lead Information**

	<b>Legislative District Numbers</b>	
<b>Agency Name:</b> <u>Napa County Transportation and Plann</u>	<b>Assembly:</b>	<u>4</u>
<b>Contact Person:</b> <u>Justin Paniagua</u>	<b>Senate:</b>	<u>3</u>
<b>Contact Phone #:</b> <u>(707) 259-8781</u>	<b>Congressional:</b>	<u>CA-5</u>
<b>Email Address:</b> <u>jpaniagua@nctpa.net</u>	<b>Amount:</b>	<b>PUC Funds Type:</b>
<b>Address:</b> <u>625 Burnell St.</u>	\$ <u>140397</u>	<u>99313</u>
<u>Napa, CA 94559</u>	\$ <u>12433</u>	<u>99314</u>

**Table 2: Contributing Sponsor Information**

<b>Name:</b> <u>MTC</u>	<b>Amount :</b>	<b>PUC Fund Type:</b>
<b>Contact:</b> <u>Melanie Choy</u>	\$ <u>140,397</u>	<u>99313</u>
<b>Contact Phone #:</b> <u>510-817-5607</u>	\$	
<b>Email Address:</b> <u>mchoy@mtc.ca.gov</u>		
<b>Address:</b> <u>101-8th St., Oakland CA</u> <u>94607</u>		
<b>Other Contributing Sponsors: (Attach sheet with contact information)</b>	<b>Amount:</b>	<b>PUC Fund Type:</b>
<b>Name:</b> _____	\$ _____	
<b>Name:</b> _____	\$ _____	
<b>Name:</b> _____	\$ _____	
<b>TOTAL \$152,830</b>		

(\*Contributing project sponsors provide signed letters of verification as to amount and eligibility or sign cover page)

**Table 3: Type of Project**

**See Attachment A for category of project** (example: Category 1A Implement new or expanded transit service (for new routes or expansion of existing routes).

Operations Projects			Capital Projects		
<input type="checkbox"/>	A1	<input checked="" type="checkbox"/>	Ai	<input type="checkbox"/>	Bi
<input type="checkbox"/>	A2	<input type="checkbox"/>	Aii	<input type="checkbox"/>	Bii
<input type="checkbox"/>	A3	<input type="checkbox"/>	Aiii	<input type="checkbox"/>	Biii
<input type="checkbox"/>	A4	<input type="checkbox"/>	Aiv	<input type="checkbox"/>	
<input type="checkbox"/>	A5				

**Table 4: Project Summary**

**a) Project Description** - Describe the project in your own words, using comprehensive overall project description regarding improvements to be made, increased level of service and performance goals.

With the expected opening of the Sonoma Marin Area Rail Transit (SMART) service in 2016; Napa County Transportation and Planning Agency (NCTPA) proposes a new commuter express route to connect the Soscol Gateway Transit Center to the SMART station in downtown Petaluma with a possible stop in the City of Sonoma. This new service would require at least two new buses. NCTPA proposes servicing this new route with new electric buses to be purchased using three years of LCTOP and TDA Capital funds or other discretionary funds if available. This purchase would also include the necessary charging infrastructure and installation to facilitate the use of the new electric buses. NCTPA currently does not provide service to Petaluma or any part of SMART's alignment. The route design, schedule and performance goals are to be defined by a Vine Express Bus Study which will analyze all of our commuter routes currently in service (Rt 29, 21 & 25) as well as the planned expansion of commuter service to SMART, expected to be completed in 2016.

**b) Project Location** - Describe the location of the project. Also provide an 8 1/2" X 11" project site map that shows the transit service area and project location. Use link to CalEPA website for information, <http://www.calepa.ca.gov/EnvJustice/GHGInvest/default.htm>.

The new route would begin at the Soscol Gateway Transit Center at 625 Burnell St Napa, CA 94559 and make roundtrips to the Downtown Petaluma SMART Station via the Copeland Street Transit Mall in Petaluma, CA 94952.

**c) Project Life** - For capital projects, state the Useful Life of the Project. For operations project state the number of months service will operate.

Capital: 12  
 Operations:

**Low Carbon Transit Operations Program (LCTOP)**

**PROJECT DESCRIPTION AND ALLOCATION REQUEST (BENEFITS/OUTCOMES)**

**Table 5: Description of Major Benefits/Outcomes**

**a) Greenhouse Gas Reduction** - Describe how this project will reduce greenhouse gases and any assumptions or data that support this description. For example, "The expanded transit service will reduce VMT and greenhouse gas emissions by replacing auto trips with transit trips. Initial estimates indicate that the expansion could add 50 commuter bus riders per day to replace an average auto trip of 10 miles each way." If available, please provide the expected amount of VMT reductions and greenhouse gas reductions.

By using battery electric buses to provide service it would supplant the use of diesel transit buses which make up the majority of NCTPA's current fleet. According to the LCTOP calculation tool this service would reduce GHG emissions by 1,337 metric tons per year.

**b) Increased Mode Share** - Describe how this project will directly increase mode share.

This project will provide a critical transit link to Sonoma and Marin counties. This link will provide commuters with the option to commute entirely via public transit an option which is currently unavailable or to inconvenient to use.

**c) Disadvantaged Communities (DAC) Project Criteria**

See Attachment B for DAC Criteria to Evaluate Projects (example: Category 1B Project provides transit incentives to residents with a physical address in a disadvantage community (e.g., vouchers, reduced fares, transit passes).

Low Carbon Transportation Projects

	1A		2A
	1B		2B
	1C		2C
	1D		

Transit Projects

	1A		1G		2E
	1B		1H		2F
	1C		2A		2G
	1D		2B		2H
	1E		2C		2I
	1F		2D		

**d) Disadvantaged Communities (DAC) (if applicable\*)** - Describe how this project will directly benefit the DAC(s) within your service area in your own words. For agencies whose service area includes disadvantaged communities, at least 50 percent of the total moneys received shall be expended on projects that will benefit disadvantaged communities.

Service area does not include a DAC.

**Low Carbon Transit Operations Program (LCTOP)**

**PROJECT DESCRIPTION AND ALLOCATION REQUEST (BENEFITS/OUTCOMES)**

**Table 5: Description of Major Benefits/Outcomes**

**e) Co-Benefits** - Check all additional Benefits/Outcomes. Page 5 of 7

<input type="checkbox"/> Improved Safety	<input checked="" type="checkbox"/> Coordination with Educational Institutions
<input checked="" type="checkbox"/> Improved Public Health	<input checked="" type="checkbox"/> College/University <input type="checkbox"/> Grades K-12
<input checked="" type="checkbox"/> Reduced Operating/Maintenance Cost	<input type="checkbox"/> Promotes Active Transportation (walking, biking)
<input type="checkbox"/> Increase System Reliability	<input checked="" type="checkbox"/> Promotes integration with other modes of transportation
<input type="checkbox"/> Other Benefits (describe below)	

f) **Co-Benefits** - Describe benefits indicated above in d) and any other benefits not listed.

**By using battery electric buses instead of diesel buses to serve the new route NCTPA will not contribute additional GHG and diesel emissions by creating this route. Any VMT reduction from the new service will be a net benefit to Napa and Sonoma Counties and the region as a whole. Operating and maintenance cost is expected to be lower for the battery electric buses versus the equivalent diesel bus although capital cost will be greater. The new route will allow Napa County residents to commute via SMART to Sonoma State University and Sonoma and Marin County residents to commute to the Napa Valley College. By connecting to SMART this new route creates a connection between bus and rail transportation.**

**Table 6: Project Schedule**

Capital Projects	
Begin Construction Phase (Contract Award)	
End Construction Phase (Contract Acceptance)	
Begin Vehicle/Equipment Order (Contract Award)	Oct-16
End Vehicle/Equipment Order (Contract Acceptance)	Nov-17
Begin Closeout Phase	
End Closeout Phase	

Operations Projects	
Begin expanded/enhanced transit services	
End expanded/enhanced transit services	
Begin Closeout Phase	
End Closeout Phase	

**START DATE FOR LCTOP FUNDED PHASES MAY NOT PROCEED PROJECT APPROVAL LETTER.**

*Pre-construction costs (e.g design, environmental and right-a-way) are not eligible to be funded by LCTOP funds, they must be funded by other sources.*

**Low Carbon Transit Operations Program (LCTOP)**

**PROJECT DESCRIPTION AND ALLOCATION REQUEST (OPERATIONS DESCRIPTION)**

**Table 7: Operations Project Description**

a) Describe the operating plan for this system.

b) Describe the fare structure for this system.

c) Describe the assumptions and process that were used to develop the ridership projections shown in the request.

d) Describe the assumptions and process for how the operating cost projections were developed.



## Low Carbon Transit Operations Program TOTAL PROJECT COST AND FUNDING PLAN

The following Funding Plan has been reviewed and approved by the undersigned. It includes a complete list of funds for this project and is the total cost of the project, including LCTOP funds.

Person preparing this form (please type or print) Justin Paniagua	Phone: (707) 259-8781	Date: 1/21/2016
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Approval Authority: Sign and date 	Typed name and phone number: Antonio Onorato, Manager of Finance (707) 259-8779
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Shaded fields are automatically calculated. Please do not fill these fields.

Proposed Total Project Cost								Project
Component	Prior	15/16	16/17	17/18	FY _____	FY _____	FY _____	Total
PA&ED	0	0	0	0	0	0	0	0
PS&E	0	0	0	0	0	0	0	0
R/W	0	0	0	0	0	0	0	0
CON	0	0	36,000	0	0	0	0	36,000
Veh/Equip Purchase	0	0	0	1,168,630	0	0	0	1,168,630
Operations/Other	0	0	0	0	0	0	0	0
<b>TOTAL</b>	<b>0</b>	<b>0</b>	<b>36,000</b>	<b>1,168,630</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1,204,630</b>

Low Carbon Transit Operations Program (LCTOP)								
Component	Prior	15/16	16/17	17/18	FY _____	FY _____	FY _____	Total
PA&ED								0
PS&E								0
R/W								0
CON								0
Veh/Equip Purchase				560,830				560,830
Operations/Other								0
<b>TOTAL</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>560,830</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>560,830</b>

Funding Source: FTA LoNo or ARB AQIP								
Component	Prior	15/16	16/17	17/18	FY _____	FY _____	FY _____	Total
PA&ED								0
PS&E								0
R/W								0
CON			36,000					36,000
Veh/Equip Purchase				607,800				607,800
Operations/Other								0
<b>TOTAL</b>	<b>0</b>	<b>0</b>	<b>36,000</b>	<b>607,800</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>643,800</b>

Funding Source:								
Component	Prior	15/16	16/17	17/18	FY _____	FY _____	FY _____	Total
PA&ED								0
PS&E								0
R/W								0
CON								0
Veh/Equip Purchase								0
Operations/Other								0
<b>TOTAL</b>	<b>0</b>							

Funding Source:								
Component	Prior	15/16	16/17	17/18	FY _____	FY _____	FY _____	Total
PA&ED								0
PS&E								0
R/W								0
CON								0
Veh/Equip Purchase								0
Operations/Other								0
<b>TOTAL</b>	<b>0</b>							



**California Air Resources Board (ARB)  
Greenhouse Gas Emission Reduction Calculator for the  
California Department of Transportation (Caltrans)  
Low Carbon Transit Operations Program (LCTOP)  
Greenhouse Gas Reduction Fund  
Fiscal Year 2015-16**

\*\*Updated Emission factors on December 18, 2015.

The California Air Resources Board (ARB) is responsible for providing the quantification methodology to estimate greenhouse gas (GHG) emission reductions from projects receiving monies from the Greenhouse Gas Reduction Fund (GGRF).

This GHG emission reduction calculator accompanies the quantification methodology for the fiscal year (FY) 2015-16 GGRF Low Carbon Transit and Operations Program (LCTOP) available at: <http://www.arb.ca.gov/cc/capandtrade/auctionproceeds/finallctopqm.pdf>

Applicants must use this calculator to estimate the GHG reductions associated with the LCTOP projects. **Refer to the quantification methodology document for background, step by step detailed instructions and examples.** To use this calculator, follow these steps:

- Step 1** Identify the LCTOP proposed project type(s): The applicant must select at least one eligible project type from Tables 1 or 2 and may select additional project types from Tables 3 or 4.
- Step 2** Determine the inputs needed: The applicant will use Tables 5 and 6 to determine the required project details needed for input into this calculator tool for the applicable project type selected in Step 1.
- Step 3** Estimate GHG emission reductions: The applicant will enter the project details identified in Step 2 into this calculator tool to calculate the GHG emission reductions of the proposed project.

**Read Me Tab (this page):**

Enter the Project Name, Project ID and the contact information for person who can answer project specific questions from staff reviewers on the quantification calculations. The Project ID is assigned by Caltrans. This file will be submitted with other documentation requirements. Please use the following file naming convention: "[Project ID]\_[Project Name]" not to exceed 20 characters. For example, if the application ID is "1-1C\_001," the project name is "Transit BRT," and the file is the input file, the file name may be "1-1C\_001Transit BRT." Project names may be abbreviated.

<b>Project Name:</b>	ZEBs for Vine Commuter Service to SMART
<b>Project ID:</b>	
<b>Contact Name:</b>	Justin Paniagua
<b>Contact Phone Number:</b>	(707) 259-8781
<b>Contact Email:</b>	jpaniagua@nctpa.net
<b>Date Completed:</b>	1/21/2016

**Inputs Tab:**

Headers in red indicate input needed by the project applicant. For each row, applicants must work from left to right and enter all relevant data. Some cells may not be applicable to the project. These cells will turn black and be locked based on inputs. Applicants should use as many rows as necessary to characterize all relevant features of the proposed project. Definitions are provided in the definitions tab, including how to determine Year 1, Year F, and adjustment factors. Inputs must be substantiated in the documentation provided to ARB; see Section C. Documentation of the quantification methodology.

Submit documentation: Save file for submittal. See Section C. Documentation of the quantification methodology for additional documentation requirements.

[www.arb.ca.gov/auctionproceeds](http://www.arb.ca.gov/auctionproceeds)

For more information on ARB's efforts to support implementation of GGRF investments, see: [GGRFProgram@arb.ca.gov](mailto:GGRFProgram@arb.ca.gov)

Questions on this document should be forwarded to [LCTOPcomments@got.ca.gov](mailto:LCTOPcomments@got.ca.gov)



Displaced Autos Details						New/Expanded Vehicle Details			
YrF Annual Ridership	Adjustment (A)	Length (L)	Adjustment (AA)	Length (LL)	Annual Average VMT Displaced	Fuel Type	Engine MY	Annual VMT or Units of Fuel	
					-	Electric/BEV or PHEV	2017	85,000	
					-				
					-				
					-				
					-				
					-				
					-				
					-				
					-				
					-				





**California Air Resources Board (ARB)  
 Greenhouse Gas Emission Reduction Calculator for the  
 California Department of Transportation (Caltrans)  
 Low Carbon Transit Operations Program (LCTOP)  
 Greenhouse Gas Reduction Fund  
 Fiscal Year 2015-16**

Project Name:	ZEBs for Vine Commuter Service to SMART
Project ID:	0

Inputs in **RED** must be filled out

Results	GHG Emissions (MTCO <sub>2</sub> e)	Description
Net GHG Benefits	1,337.47	Total GHG Emission Reductions (MTCO <sub>2</sub> e)
LCTOP Funds Requested (\$)	152,830.00	Funds requested per State Controller's Office Eligible list for FY 2015-16
Total LCTOP Funds Requested (\$)	560,830.00	Includes all LCTOP allocations the applicant intends to utilize (up to three FY allocations including FY 2015-16) for the proposed project. Use the State Controller's Office Eligible list for FY 2015-16 allocation funding amounts to estimate the subsequent funding allocations.
Total GGRF Funds Requested (\$)	560,830.00	Includes the Total LCTOP fund requested and any other GGRF Program monies
Total GHG Emission Reductions / Total GGRF Funds Requested (\$)	0.0024	The metric to be reported in the application.



**Low Carbon Transit Operations Program (LCTOP)  
AUTHORIZED AGENT**

AS THE Executive Director  
(Chief Executive Officer / Director / President / Secretary)

OF THE Napa County Transportation and Planning Agency  
(Name of County/City Organization)

I hereby authorize the following individual(s) to execute for and on behalf of the named Regional Entity/Transit Operator, any actions necessary for the purpose of obtaining Low Carbon Transit Operations Program (LCTOP) funds provided by the California Department of Transportation, Division of Rail and Mass Transportation. I understand that if there is a change in the authorized agent, the project sponsor must submit a new form. This form is required even when the authorized agent is the executive authority himself. I understand the Board must provide a resolution approving the Authorized Agent. The Board Resolution appointing the Authorized Agent is attached.

Antonio Onorato, Manager of Finance OR  
(Name and Title of Authorized Agent)

\_\_\_\_\_  
(Name and Title of Authorized Agent) OR

\_\_\_\_\_  
(Name and Title of Authorized Agent)

Kate Miller Executive Director  
(Print Name) (Title)

to be signed pending board resolution  
(Signature)

Approved this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_

Attachment: Board Resolution approving Authorized Agent

## Low Carbon Transit Operations Program (LCTOP) CERTIFICATIONS AND ASSURANCES

**Project Sponsor:** Napa County Transportation and Planning Agency

**Agency Name:** Napa County Transportation and Planning Agency

**Effective Date of this Document:** 1/21/2016

The California Department of Transportation (Department) has adopted the following certifications and assurances for the Low Carbon Transit Operations Program. As a condition of the receipt of LCTOP funds, project lead must comply with these terms and conditions.

### A. General

- (1) The project lead agrees to abide by the current LCTOP Guidelines and applicable legal requirements.
- (2) The project lead must submit to the Department a signed Authorized Agent form designating the representative who can submit documents on behalf of the project sponsor and a copy of the board resolution appointing the Authorized Agent.

### B. Project Administration

- (1) The project lead certifies that required environmental documentation is complete before requesting an allocation of LCTOP funds. The project lead assures that projects approved for LCTOP funding comply with Public Resources Code § 21100 and § 21150.
- (2) The project lead certifies that a dedicated bank account for LCTOP funds only will be established within 30 days of receipt of LCTOP funds.
- (3) The project lead certifies that when LCTOP funds are used for a transit capital project, that the project will be completed and remain in operation for its useful life.
- (4) The project lead certifies that it has the legal, financial, and technical capacity to carry out the project, including the safety and security aspects of that project.
- (5) The project lead certifies that they will notify the Department of pending litigation, dispute, or negative audit findings related to the project, before receiving an allocation of funds.
- (6) The project lead must maintain satisfactory continuing control over the use of project equipment and facilities and will adequately maintain project equipment and facilities for the useful life of the project.
- (7) Any interest the project lead earns on LCTOP funds must be used only on approved LCTOP projects.
- (8) The project lead must notify the Department of any changes to the approved project with a Corrective Action Plan (CAP).
- (9) Under extraordinary circumstances, a project lead may terminate a project prior to completion. In the event the project lead terminates a project prior to completion, the project lead must (1) contact the Department in writing and follow-up with a phone call verifying receipt of such notice; (2) pursuant to

verification, submit a final report indicating the reason for the termination and demonstrating the expended funds were used on the intended purpose; (3) submit a request to reassign the funds to a new project within 180 days of termination.

- (10) Funds must be encumbered and liquidated within the time allowed.

### C. Reporting

- (1) The project lead must submit the following LCTOP reports:
  - a. Semi-Annual Progress Reports by May 15<sup>th</sup> and November 15<sup>th</sup> each year.
  - b. A Final Report within six months of project completion.
  - c. The annual audit required under the Transportation Development Act (TDA), to verify receipt and appropriate expenditure of LCTOP funds. A copy of the audit report must be submitted to the Department within six months of the close of the year (December 31) each year in which LCTOP funds have been received or expended.
- (2) Other Reporting Requirements: ARB is developing funding guidelines that will include reporting requirements for all State agencies that receive appropriations from the Greenhouse Gas Reduction Fund. Caltrans and project sponsors will need to submit reporting information in accordance with ARB's funding guidelines, including reporting on greenhouse gas reductions and benefits to disadvantaged communities.

### D. Cost Principles

- (1) The project lead agrees to comply with Title 2 of the Code of Federal Regulations 225 (2 CFR 225), Cost Principles for State and Local Government, and 49 CFR, Part 18, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.
- (2) The project lead agrees, and will assure that its contractors and subcontractors will be obligated to agree, that:
  - a. Contract Cost Principles and Procedures, 48 CFR, Federal Acquisition Regulations System, Chapter 1, Part 31, et seq., shall be used to determine the allow ability of individual project cost items and
  - b. Those parties shall comply with Federal administrative procedures in accordance with 49 CFR, Part 18, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments. Every sub-recipient receiving LCTOP funds as a contractor or sub-contractor shall comply with Federal administrative procedures in accordance with 49 CFR, Part 18, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.
- (3) Any project cost for which the project lead has received funds that are determined by subsequent audit to be unallowable under 2 CFR 225, 48 CFR, Chapter 1, Part 31 or 49 CFR, Part 18, are subject to repayment by the project lead to the State of California (State). All projects must reduce greenhouse gas emissions, as required under Public Resources Code section 75230, and any project that fails to reduce greenhouse gases shall also have its project costs submit to repayment by the project lead to the State. Should the project lead fail to reimburse moneys due to the State within thirty (30) days of demand, or within such other period as may be agreed in writing between the Parties hereto, the State is authorized to intercept and withhold future payments due the project lead from the State or any third-party source, including but not limited to, the State Treasurer and the State Controller.

### E. Record Retention

- (1) The project lead agrees, and will assure that its contractors and subcontractors shall establish and maintain an accounting system and records that properly accumulate and segregate incurred project costs and matching funds by line item for the project. The accounting system of the project lead, its contractors and all subcontractors shall conform to Generally Accepted Accounting Principles (GAAP), and enable the determination of incurred costs at interim points of completion. All accounting records and other supporting papers of the project lead, its contractors and subcontractors connected with LCTOP funding shall be maintained for a minimum of three (3) years after the “Project Closeout” report or final Phase 2 report is submitted (per ARB Funding Guidelines, Vol. 3, page 3.A-16), and shall be held open to inspection, copying, and audit by representatives of the State and the California State Auditor. Copies thereof will be furnished by the project lead, its contractors, and subcontractors upon receipt of any request made by the State or its agents. In conducting an audit of the costs claimed, the State will rely to the maximum extent possible on any prior audit of the project lead pursuant to the provisions of federal and State law. In the absence of such an audit, any acceptable audit work performed by the project lead’s external and internal auditors may be relied upon and used by the State when planning and conducting additional audits.
- (2) For the purpose of determining compliance with Title 21, California Code of Regulations, Section 2500 et seq., when applicable, and other matters connected with the performance of the project lead’s contracts with third parties pursuant to Government Code § 8546.7, the project sponsor, its contractors and subcontractors and the State shall each maintain and make available for inspection all books, documents, papers, accounting records, and other evidence pertaining to the performance of such contracts, including, but not limited to, the costs of administering those various contracts. All of the above referenced parties shall make such materials available at their respective offices at all reasonable times during the entire project period and for three (3) years from the date of final payment. The State, the California State Auditor, or any duly authorized representative of the State, shall each have access to any books, records, and documents that are pertinent to a project for audits, examinations, excerpts, and transactions, and the project lead shall furnish copies thereof if requested.
- (3) The project lead, its contractors and subcontractors will permit access to all records of employment, employment advertisements, employment application forms, and other pertinent data and records by the State Fair Employment Practices and Housing Commission, or any other agency of the State of California designated by the State, for the purpose of any investigation to ascertain compliance with this document.

### F. Special Situations

The Department may perform an audit and/or request detailed project information of the project sponsor’s LCTOP funded projects at the Department’s discretion at any time prior to the completion of the LCTOP.

I certify all of these conditions will be met.

BY: \_\_\_\_\_

  
Kate Miller, Executive Director  
Napa County Transportation and Planning Agency

RESOLUTION # \_\_\_\_\_

**AUTHORIZATION FOR THE EXECUTION OF THE  
THE LOW CARBON TRANSIT OPERATIONS PROGRAM (LCTOP) PROJECT:  
ZEBs FOR VINE COMMUTER SERVICE TO SMART**

**WHEREAS**, the Napa County Transportation and Planning Agency is an eligible project sponsor and may receive state funding from the Low Carbon Transit Operations Program (LCTOP) now or sometime in the future for transit projects; and

**WHEREAS**, the statutes related to state-funded transit projects require a local or regional implementing agency to abide by various regulations; and

**WHEREAS**, Senate Bill 862 (2014) named the Department of Transportation (Department) as the administrative agency for the LCTOP; and

**WHEREAS**, the Department has developed guidelines for the purpose of administering and distributing LCTOP funds to eligible project sponsors (local agencies); and

**WHEREAS**, the Napa County Transportation and Planning Agency wishes to implement the LCTOP project(s) listed above,

**NOW, THEREFORE, BE IT RESOLVED** by the Board of Directors of the Napa County Transportation and Planning Agency that the fund recipient agrees to comply with all conditions and requirements set forth in the applicable statutes, regulations and guidelines for all LCTOP funded transit projects.

**NOW, THEREFORE, BE IT RESOLVED** by the Board of Directors of the Napa County Transportation and Planning Agency that it hereby authorizes the submittal of the following project nomination(s) and allocation request(s) to the Department in FY 2015-16 LCTOP funds:

Project: ZEBs for VINE Commuter Service to SMART

Amount Requested: \$152,830

This project will combine three years of LCTOP funding to purchase two Zero Emission Buses for a future connection to Sonoma Marin Area Rail Transit's alignment in Petaluma.

**AGENCY BOARD DESIGNEE:**

**BY:** \_\_\_\_\_

RESOLUTION # \_\_\_\_\_

**AUTHORIZATION FOR THE EXECUTION OF THE  
CERTIFICATIONS AND ASSURANCES AND AUTHORIZED AGENT FORMS  
FOR THE LOW CARBON TRANSIT OPERATIONS PROGRAM (LCTOP)**

**WHEREAS**, the Napa County Transportation and Planning Agency is an eligible project sponsor and may receive state funding from the Low Carbon Transit Operations Program (LCTOP) for transit projects; and

**WHEREAS**, the statutes related to state-funded transit projects require a local or regional implementing agency to abide by various regulations; and

**WHEREAS**, Senate Bill 862 (2014) named the Department of Transportation (Department) as the administrative agency for the LCTOP; and

**WHEREAS**, the Department has developed guidelines for the purpose of administering and distributing LCTOP funds to eligible project sponsors (local agencies); and

**WHEREAS**, the Napa County Transportation and Planning Agency wishes to delegate authorization to execute these documents and any amendments thereto to Kate Miller, Executive Director.

**NOW, THEREFORE, BE IT RESOLVED** by the Board of Directors of the Napa County Transportation and Planning Agency that the fund recipient agrees to comply with all conditions and requirements set forth in the Certification and Assurances and the Authorized Agent documents and applicable statutes, regulations and guidelines for all LCTOP funded transit projects.

**NOW THEREFORE, BE IT FURTHER RESOLVED** that Kate Miller, Executive Director be authorized to execute all required documents of the LCTOP program and any Amendments thereto with the California Department of Transportation.

**AGENCY BOARD DESIGNEE:**

**BY:** \_\_\_\_\_