

Low Carbon Transit Operations Program (LCTOP)

PROJECT DESCRIPTION AND ALLOCATION REQUEST (SUMMARY)

Project Information:

Lead Agency:	San Francisco Bay Area Water Emergency Transportation Authority
Project Name:	Construct Two New Richmond Ferry Vessels
Project Type: <i>See Attachment A</i>	A1: Implement new transit service
Description of Project (Short):	This project will design and construct two (2) passenger-only vessels to operate in the new Richmond to San Francisco ferry service.
Project Location:	Vessels will be used for ferry service between Richmond, CA and San Francisco, CA
Project Start Date (anticipated):	Sep-15 (issued RFP for Construction Management Services)
Project End Date (anticipated):	Jun-18 (last vessel delivered)

Funding Information:

Funding Year:	FY2015-16
Requested Amount of PUC 99313:	\$0
Requested Amount of PUC 99314:	\$264,976
Total LCTOP Funding:	\$264,976
Total Project Cost:	\$42,000,000

Project Benefits:

Greenhouse Gas Benefits (off of worksheet)

Estimated GHG Reduction:	0.1015
Project Life:	25
Estimated Total GHG Reduction:	2.5375

Disadvantaged Communities (DAC) Benefits:

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

Co-benefit

Critical Air Pollution Reduction:	n/a
VMT Reduction:	6,998,324 = annual reduction (per ARB GHG Emission Reduction Calculator)
Ridership Increase	Year 1 Ridership = 612,040; Year 25 Ridership = 712,660
Fuel Uses Reduction:	n/a
Energy Use Reduction:	n/a

**Low Carbon Transit Operations Program (LCTOP)
PROJECT DESCRIPTION AND ALLOCATION REQUEST (ALLOCATION)**

Regional Entity:	
Project Lead: San Francisco Bay Area Water Emergency Transportation Authority	County: Contra Costa & San Francisco
Project Title: Construct Two New Richmond Ferry Vessels	

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: Nina Rannells

Signature: *Nina Rannells*

Title: Executive Director

Agency: San Francisco Bay Area Water Emergency Transportation Authority

Date: 1/28/16

Amount: \$264,976

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:

Signature:

Title:

Agency:

Date:

Amount:

**Low Carbon Transit Operations Program (LCTOP)
 PROJECT DESCRIPTION AND ALLOCATION REQUEST (FUNDING)**

	LCTOP Allocation	15/16	16/17	17/18
Request Amount per PUC 99313:		\$0	\$0	\$0
Request Amount per PUC 99314:		\$264,976	\$265,000	\$0
Total Project Allocation Request:		\$264,976	\$265,000	\$0
Project Title:	<u>Construct Two New Richmond Ferry Vessels</u>			
Project Location/Address:	<u>Richmond, CA and San Francisco, CA</u>			

Table 1: Project Lead Information

	Legislative District Numbers	
Agency Name: <u>San Francisco Bay Area Water Emergency Transpo</u>	Assembly: SF = 17th State Assembly District	
Contact Person: <u>Lynne Yu</u>	Senate: SF = 11th State Senate District	
Contact Phone #: <u>(415) 364-3193</u>	Congressional: SF = 12th Congressional District	
Email Address: <u>yu@watertransit.org</u>	Amount:	PUC Funds Type:
Address: <u>9 Pier, Suite 111</u>	\$ <u>529,976</u>	<u>99314</u>
<u>San Francisco, CA 94111</u>	\$ _____	_____

Table 2: Contributing Sponsor Information

Name: _____	Amount :	PUC Fund Type:
Contact: _____	\$ _____	_____
Contact Phone #: _____	\$ _____	_____
Email Address: _____		
Address: _____		
Other Contributing Sponsors: (Attach sheet with contact information)	Amount:	PUC Fund Type:
Name: _____	\$ _____	_____
Name: _____	\$ _____	_____
Name: _____	\$ _____	_____
TOTAL \$529,976		

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

Low Carbon Transit Operations Program (LCTOP) PROJECT DESCRIPTION AND ALLOCATION REQUEST (PROJECT)

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				
X	A1	X	Ai		B1		Bi
	A2		Aii		B2		Bii
	A3		Aiii		B3		Bii
	A4		Aiv		B4		
	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.

The construction of two (2) new ferry vessels will facilitate the establishment of a new Richmond / San Francisco ferry route to (1) relieve traffic congestion, as expansion of water-transit routes would primarily decrease car usage and its associated impacts, rather than divert riders from other alternative transportation modes; (2) support population and employment growth in the City of Richmond, which is home to large industrial employers; and (3) facilitate emergency operation following disasters and other sudden disruptions in transbay service, which may disable roads, bridges, and/or tunnels.

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 Richmond ferry terminal will be located at the southwestern end of the Ford Peninsula, approximately 1.5 miles south of the Richmond downtown core. The Ford Peninsula is bounded by Interstate 580 (I-580) to the north, the Marina Bay to the east, the San Francisco Bay to the south, and the Port of Richmond to the west. Large industrial and office buildings characterize the Ford Peninsula. Automobile and bicycle parking for ferry passengers will be available in the existing parking lots adjacent to the ferry terminal. Improvements to the existing parking lot would include installation of approximately 24 bicycle lockers. Ferry passengers would also be able to access the ferry terminal via the Ford Point AC Transit bus stop located approximately 180 feet north of the terminal access gate. Therefore, the Richmond ferry service would facilitate connectivity to the terminal via public transit, bicycle, and pedestrian facilities.

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: 25 years

Operations: 25 years +

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.

The new Richmond ferry service will reduce VMT and greenhouse gas emissions by replacing auto trips with transit (ferry) trips. According to WETA's latest ridership projections, see Ridership Forecasting and Model Update Report dated December 2015, the new Richmond ferry service is projected to carry an average of 2,354 passengers per day during its first year of operation. Year-to-year growth is anticipated to be 16%, increasing to an average daily ridership of 2,741 by year 20. It is estimated each Richmond ferry passenger trip will reduce 16.73 miles of automobile VMT which would result in a net GHG emission reduction of 53.766.63 per the ARB GHG Emission Reduction Calculator.

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

The new Richmond ferry service will provide an alternative transportation link between Richmond and downtown San Francisco. This new ferry service will also enable the connection to other ferry services at the San Francisco Ferry Building and link with other buses and transit rail systems accessible from the San Francisco Ferry Building.

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

<input type="checkbox"/>	1A	<input type="checkbox"/>	2A
<input type="checkbox"/>	1B	<input type="checkbox"/>	2B
<input type="checkbox"/>	1C	<input type="checkbox"/>	2C
<input type="checkbox"/>	1D		

Transit Projects

<input type="checkbox"/>	1A	<input type="checkbox"/>	1G	<input type="checkbox"/>	2E
<input type="checkbox"/>	1B	<input type="checkbox"/>	1H	<input type="checkbox"/>	2F
<input type="checkbox"/>	1C	<input type="checkbox"/>	2A	<input type="checkbox"/>	2G
<input type="checkbox"/>	1D	<input type="checkbox"/>	2B	<input type="checkbox"/>	2H
<input type="checkbox"/>	1E	<input type="checkbox"/>	2C	<input type="checkbox"/>	2I
<input type="checkbox"/>	1F	<input type="checkbox"/>	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.

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.

<input type="checkbox"/> Improved Safety <input type="checkbox"/> Improved Public Health <input type="checkbox"/> Reduced Operating/Maintenance Cost <input type="checkbox"/> Increase System Reliability <input type="checkbox"/> Other Benefits (describe below)	<input type="checkbox"/> Coordination with Educational Institutions <input type="checkbox"/> College/University <input type="checkbox"/> Grades K-12 <input type="checkbox"/> Promotes Active Transportation (walking, biking) <input type="checkbox"/> Promotes integration with other modes of transportation
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f) **Co-Benefits** - Describe benefits indicated above in d) and any other benefits not listed.

Table 6: Project Schedule

Capital Projects	
Begin Construction Phase (Contract Award)	
End Construction Phase (Contract Acceptance)	
Begin Vehicle/Equipment Order (Contract Award)	June 2016
End Vehicle/Equipment Order (Contract Acceptance)	June 2018
Begin Closeout Phase	
End Closeout Phase	

Operations Projects	
Begin expanded/enhanced transit services	July 2018
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): Lynne Yu	Phone: (415) 364-3193	Date: 1/28/2016
Approval Authority: Sign and date <i>Nina Rannels</i> 1/28/16	Typed name and phone number: Nina Rannels, Executive Director (415) 291-3377	

Shaded fields are automatically calculated. Please do not fill these fields.

Proposed Total Project Cost								
Component	Prior	FY2015-16	FY2016-17	FY2017-18	FY _____	FY _____	FY _____	Project 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	0	0	0	0	0	0
Veh/Equip Purchase	0	2,000,000	20,000,000	20,000,000	0	0	0	42,000,000
Operations/Other	0	0	0	0	0	0	0	0
TOTAL	0	2,000,000	20,000,000	20,000,000	0	0	0	42,000,000

Low Carbon Transit Operations Program (LCTOP)								
Component	Prior	FY2015-16	FY2016-17	FY2017-18	FY _____	FY _____	FY _____	Total
PA&ED								0
PS&E								0
R/W								0
CON								0
Veh/Equip Purchase		264,976	265,000	0				529,976
Operations/Other								0
TOTAL	0	264,976	265,000	0	0	0	0	529,976

Funding Source: Regional Measure 2								
Component	Prior	FY2015-16	FY2016-17	FY2017-18	FY _____	FY _____	FY _____	Total
PA&ED								0
PS&E								0
R/W								0
CON								0
Veh/Equip Purchase		867,512	9,867,500	1,264,988				12,000,000
Operations/Other								0
TOTAL	0	867,512	9,867,500	1,264,988	0	0	0	12,000,000

Funding Source: California Transit Security Grant Program - Regional Public Water Transit (CTSGP-RPWT)								
Component	Prior	FY2015-16	FY2016-17	FY2017-18	FY _____	FY _____	FY _____	Total
PA&ED								0
PS&E								0
R/W								0
CON								0
Veh/Equip Purchase		867,512	9,867,500	18,735,012				29,470,024
Operations/Other								0
TOTAL	0	867,512	9,867,500	18,735,012	0	0	0	29,470,024

Funding Source:								
Component	Prior	FY2015-16	FY2016-17	FY2017-18	FY _____	FY _____	FY _____	Total
PA&ED								0
PS&E								0
R/W								0
CON								0
Veh/Equip Purchase								0
Operations/Other								0
TOTAL	0	0	0	0	0	0	0	0



**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/finalctopqrm.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.

Project Name:	Richmond Vessels
Project ID:	
Contact Name:	Lynne Yu
Contact Phone Number:	(415) 364-3193
Contact Email:	yu@watertransit.org
Date Completed:	1/29/2016

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.

For more information on ARB's efforts to support implementation of GGRF investments, see: www.arb.ca.gov/auctionproceeds
Questions on this document should be forwarded to GGRFProgram@arb.ca.gov
Questions on the LCTOP program should be forwarded to LCTOPcomments@dot.ca.gov

Displaced Autos Details				New/Expanded Vehicle Details			
Adjustment (A)	Length (L)	Adjustment (AA)	Length (LL)	Annual Average VMT Displaced	Fuel Type	Engine MY	Annual VMT or Units of Fuel
0.83	16.73	0.80	5.00	6,998,323.87	Diesel		43,212
				-			
				-			
				-			
				-			
				-			
				-			
				-			
				-			



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:	Richmond Vessels
Project ID:	0

Inputs in **RED** must be filled out

Results	GHG Emissions (MTCO2e)	Description
Net GHG Benefits	53,766.63	Total GHG Emission Reductions (MTCO2e)
LCTOP Funds Requested (\$)	264,976.00	Funds requested per State Controller's Office Eligible list for FY 2015-16
Total LCTOP Funds Requested (\$)	529,976.00	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 (\$)	529,976.00	Includes the Total LCTOP fund requested and any other GGRF Program monies
Total GHG Emission Reductions /Total GGRF Funds Requested (\$)	0.1015	The metric to be reported in the application.

Richmond Ferry Service Profile

Route Richmond to San Francisco Ferry Building

3AM trips

4 PM trips

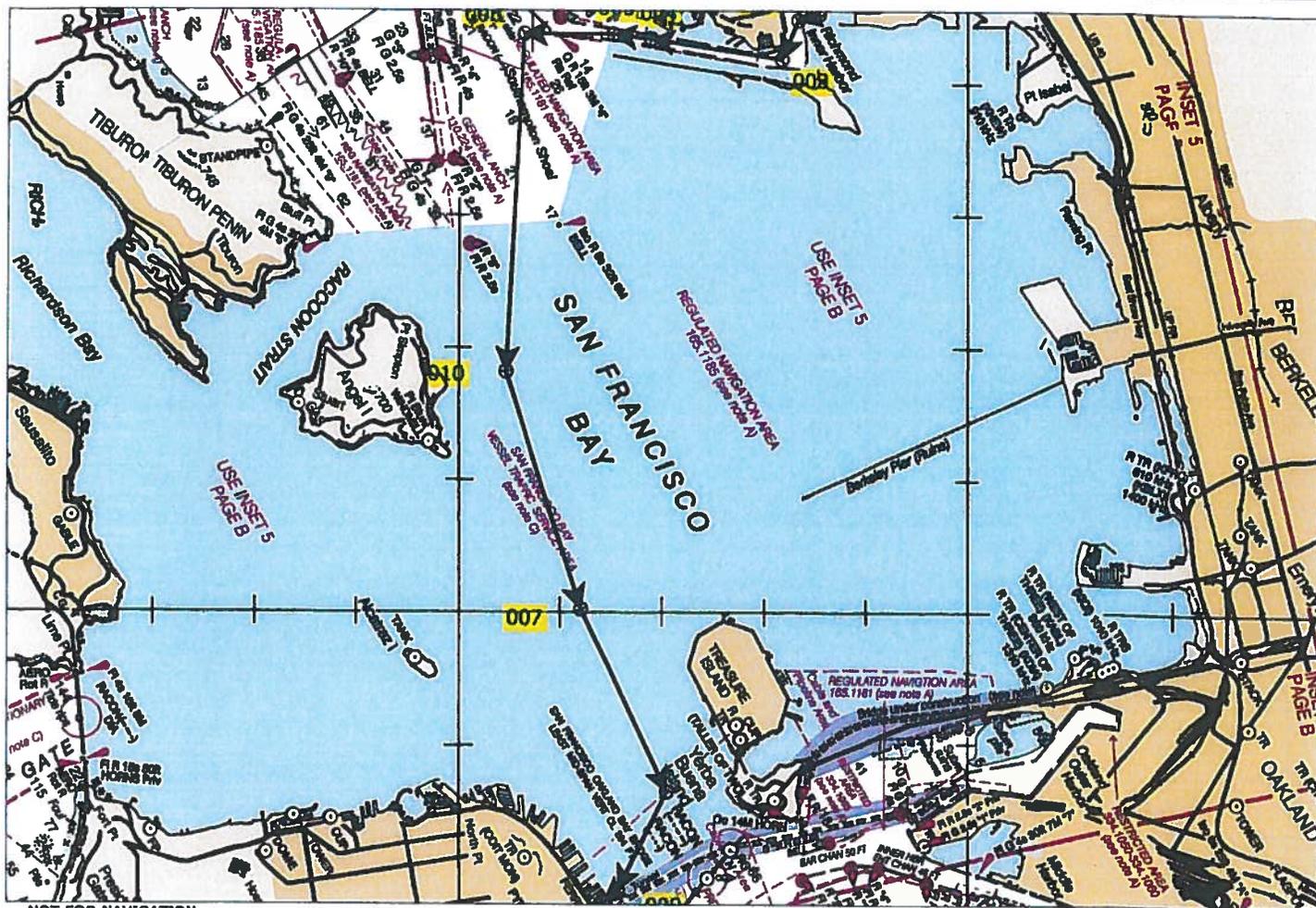
Dailey Total Statue Miles 166.2

Revenue Service miles, 130.8

Deadhead miles, 35.4

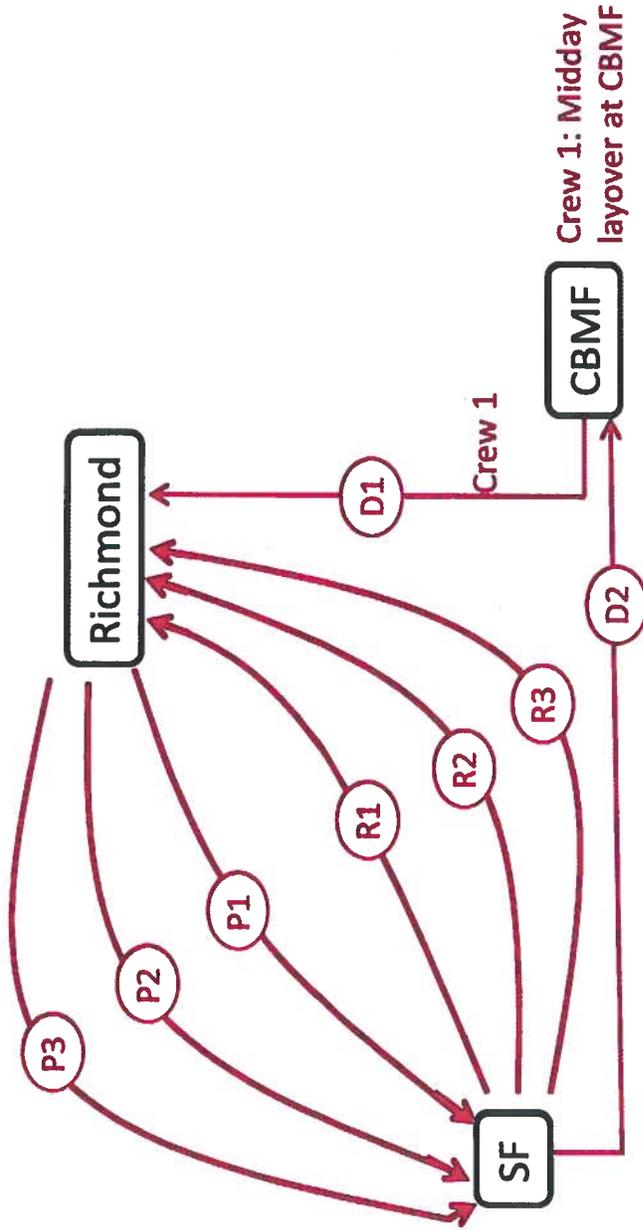
Richmond to SSFB

Total Distance: 10.904 mi Total Time: 28 mins Depart: not set ETA: unknown



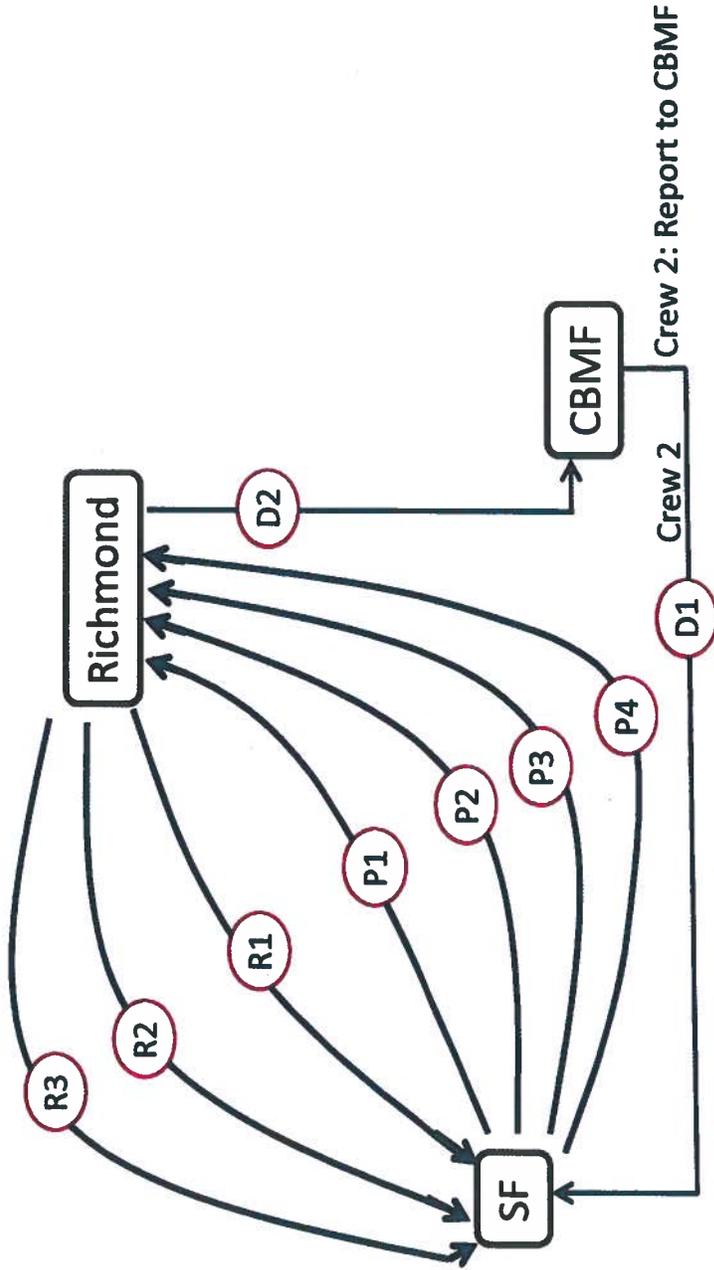
Leg to	Bearing	Speed	Turn	Distance	ETA (TTG)	End Position
002	254.7° T 241.0° M	5.00 kn	33° to port	0.198 mi	Jan 21, 2016 08:54 (2 mins)	37°54.491'N 122°21.672'W
003	203.2° T 189.5° M	10.0 kn	51° to port	0.369 mi	Jan 21, 2016 08:56 (2 mins)	37°54.196'N 122°21.832'W
004	278.4° T 264.7° M	10.0 kn	75° to starboard	1.186 mi	Jan 21, 2016 09:02 (6 mins)	37°54.347'N 122°23.125'W
005	276.7° T 263.0° M	34.0 kn	1° to port	0.342 mi	Jan 21, 2016 09:02 (1 min)	37°54.382'N 122°23.499'W
008	270.3° T 256.5° M	34.0 kn	6° to port	0.788 mi	N/A	37°54.385'N 122°24.367'W
010	183.2° T 169.4° M	34.0 kn	87° to port	2.947 mi	N/A	37°51.828'N 122°24.546'W
007	162.2° T 148.5° M	34.0 kn	21° to port	2.183 mi	N/A	37°50.023'N 122°23.810'W
Richmond to SFFB	154.4° T 140.7° M	34.0 kn	7° to port	1.764 mi	N/A	37°48.640'N 122°22.972'W
009	207.1° T 193.4° M	15.0 kn	52° to starboard	0.965 mi	N/A	37°47.893'N 122°23.456'W
010	231.0° T 217.3° M	5.00 kn		0.160 mi	N/A	37°47.805'N 122°23.593'W

Richmond AM



Crew #	Trip #	Time	From	To	Total Miles
1	D1	5:40	CBMF	Richmond	12.7
1	P1	6:30	Richmond	SF	10.9
1	R1	7:00	SF	Richmond	10.9
1	P2	7:30	Richmond	SF	10.9
1	R2	8:00	SF	Richmond	10.9
1	P3	8:30	Richmond	SF	10.9
1	D2	9:00	SF	CBMF	5

Richmond PM



Crew #	Trip #	Time	From	To	Total Miles
2	D1	3:20	CBMF	SF	5
2	P1	4:00	SF	Richmond	10.9
2	R1	4:30	Richmond	SF	10.9
2	P2	5:00	SF	Richmond	10.9
2	R2	5:30	Richmond	SF	10.9
2	P3	6:00	SF	Richmond	10.9
2	R3	6:30	Richmond	SF	10.9
2	P4	7:00	SF	Richmond	10.9
2	D2	8:05	Richmond	CBMF	12.7

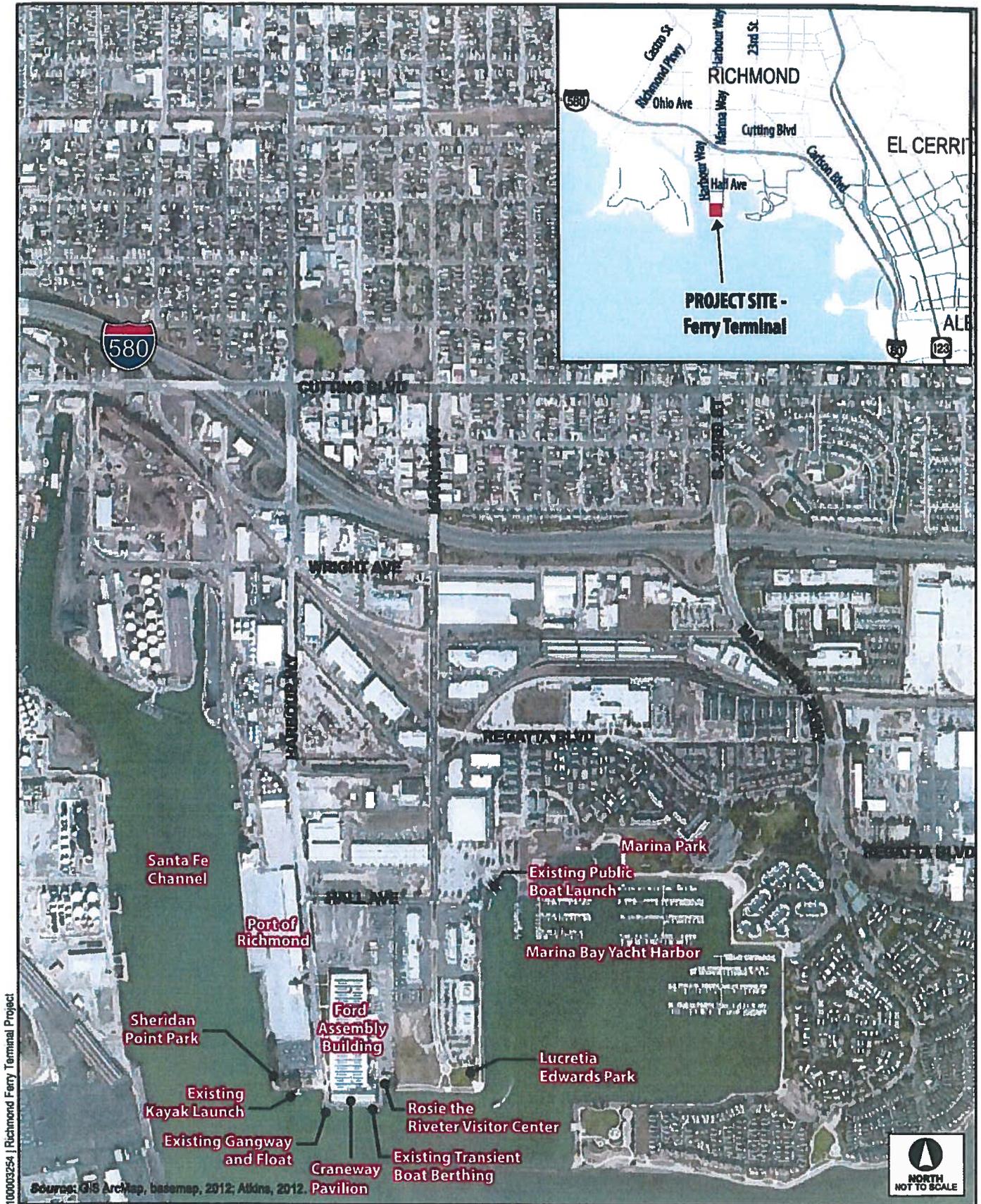


Figure 1
Project Area



1000023254 | Richmond Ferry Terminal Project

Source: MassDOT, Perry Ferry Terminal, 2012

Figure 4
Proposed and Potential Future Parking Locations

ATKINS

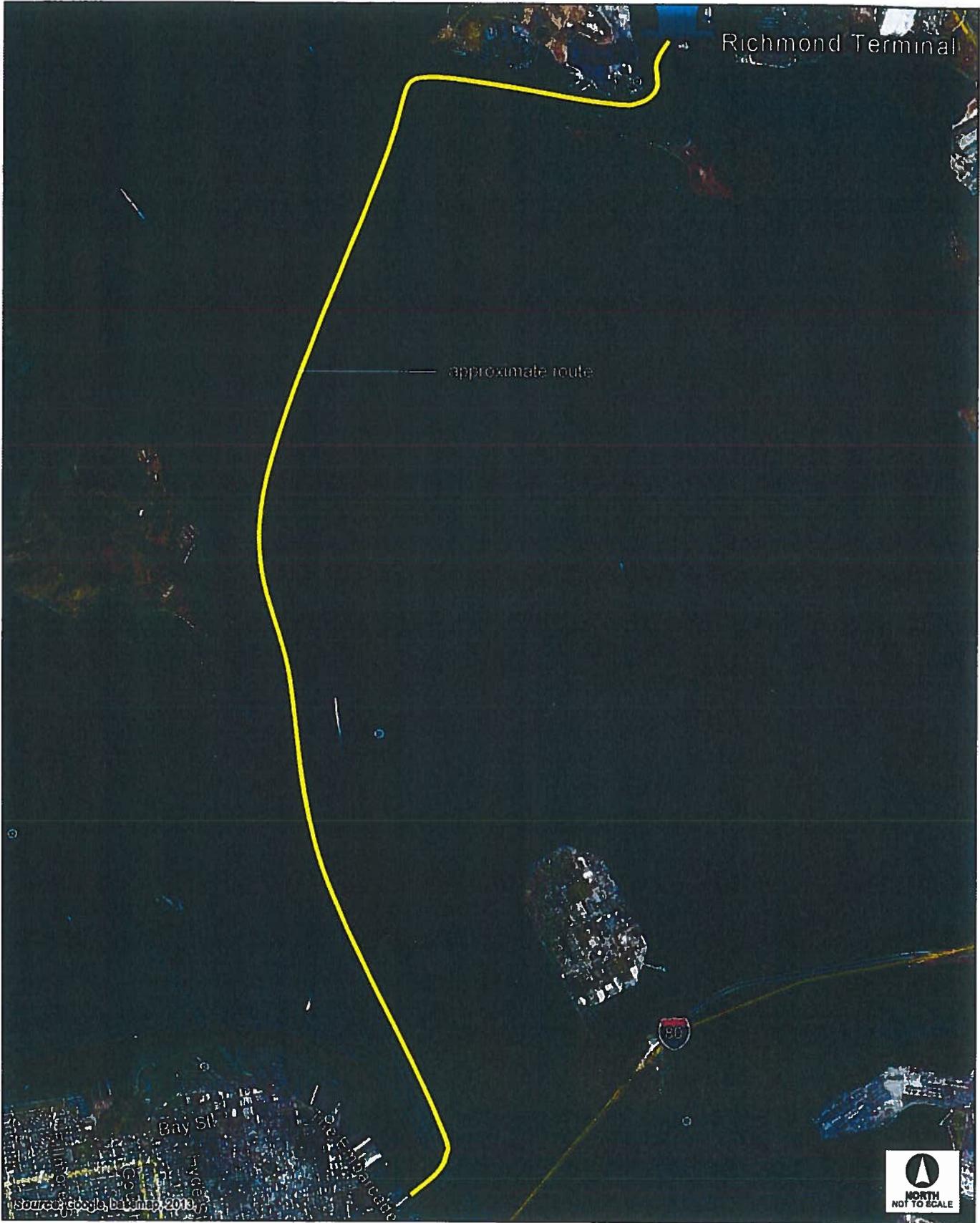
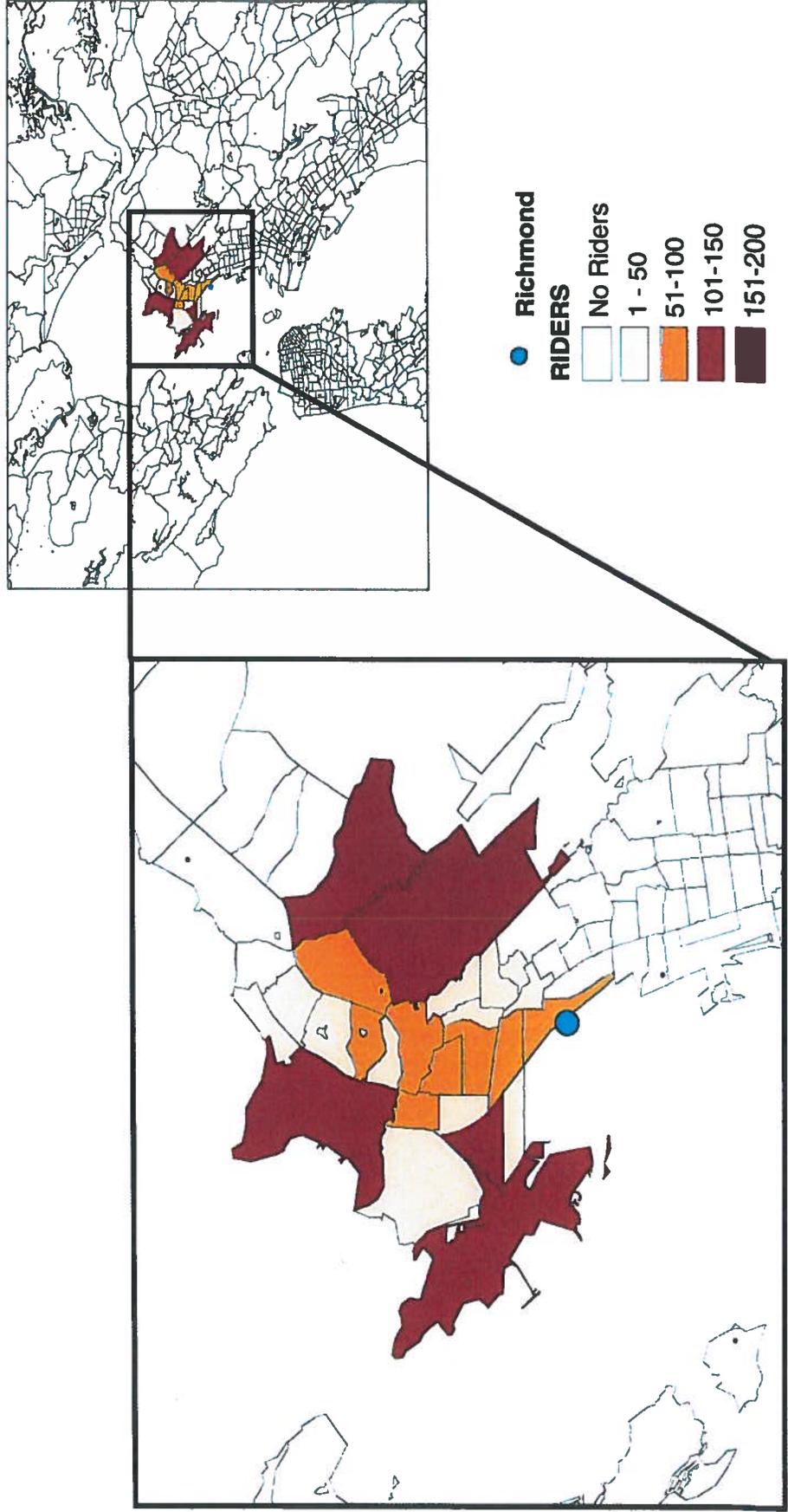


Figure 6
Proposed Ferry Route
(Illustrative Purpose Only)

ATKINS

Ridership for the Richmond Terminal



Ridership Forecasting and Model Update Report

final report

prepared for

Water Emergency Transportation Authority

prepared by

Cambridge Systematics, Inc.



Low Carbon Transit Operations Program (LCTOP) AUTHORIZED AGENT

AS THE Chair, Board of Directors
(Chief Executive Officer / Director / President / Secretary)

OF THE San Francisco Bay Area Water Emergency Transportation Authority
(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.

Nina Rannells, Executive Director OR
(Name and Title of Authorized Agent)

Lynne Yu, Finance and Grants Manager OR
(Name and Title of Authorized Agent)

N/A
(Name and Title of Authorized Agent)

Jody Breckenridge Board Chair
(Print Name) (Title)

Jody Breckenridge
(Signature)

Approved this 11 day of February, 20 16

Attachment: Board Resolution approving Authorized Agent

Low Carbon Transit Operations Program (LCTOP) CERTIFICATIONS AND ASSURANCES

Project Sponsor: San Francisco Bay Area Water Emergency Transportation Authority

Agency Name: San Francisco Bay Area Water Emergency Transportation Authority

Effective Date of this Document: February 11, 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 15th and November 15th 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:



Nina Rannells, Executive Director
San Francisco Bay Area Water Emergency Transportation Authority

SAN FRANCISCO BAY AREA WATER EMERGENCY TRANSPORTATION AUTHORITY

RESOLUTION 2016-01

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

WHEREAS, the San Francisco Bay Area Water Emergency Transportation Authority (WETA) 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 California Department of Transportation (Caltrans) as the administrative agency for the LCTOP; and

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

WHEREAS, WETA wishes to delegate authorization to execute these documents and any amendments thereto to 1) Nina Rannells, Executive Director, and 2) Lynne Yu, Finance and Grants Manager; now, therefore, be it

RESOLVED by the Board of Directors of WETA 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.

RESOLVED that Nina Rannells, Executive Director, and Lynne Yu, Finance and Grants Manager, be authorized to execute all required documents of the LCTOP program and any Amendments thereto with the California Department of Transportation.

CERTIFICATION

The undersigned, Board Secretary, does hereby certify that the foregoing is a full, true and correct copy of a resolution duly and regularly adopted at a meeting of the San Francisco Bay Area Water Emergency Transportation Authority held on February 11, 2016.

YEA: J Breckenridge, J DelBono, T Donovan, A Intintoli, J Wunderman

NAY: None

ABSTAIN: None

ABSENT: None



/s/ Board Secretary

2016-01

END

SAN FRANCISCO BAY AREA WATER EMERGENCY TRANSPORTATION AUTHORITY

RESOLUTION 2016-02

**AUTHORIZATION FOR THE EXECUTION OF
THE LOW CARBON TRANSIT OPERATIONS PROGRAM (LCTOP) PROJECT:
CONSTRUCT TWO NEW RICHMOND FERRY VESSELS - \$264,976**

WHEREAS, the San Francisco Bay Area Water Emergency Transportation Authority (WETA) 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 California Department of Transportation (Caltrans) as the administrative agency for the LCTOP; and

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

WHEREAS, the WETA wishes to implement the LCTOP project listed above; now, therefore, be it

RESOLVED by the Board of Directors of WETA 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.

RESOLVED by the Board of Directors of WETA that it hereby authorizes the submittal of the following project nomination and allocation request to Caltrans in FY 2015/16 LCTOP funds:

Project Name: *Construct Two New Richmond Ferry Vessels*

Amount of LCTOP funds requested: \$264,976

Short description of project: *Two ferry vessels for the new Richmond Ferry Service*

Contributing Sponsors (if applicable): N/A

CERTIFICATION

The undersigned, Board Secretary, does hereby certify that the foregoing is a full, true and correct copy of a resolution duly and regularly adopted at a meeting of the San Francisco Bay Area Water Emergency Transportation Authority held on February 11, 2016.

YEA: J Breckenridge, J DelBono, T Donovan, A Intintoli, J Wunderman

NAY: None

ABSTAIN: None

ABSENT: None



/s/ Board Secretary

2016-02

END