

Low Carbon Transit Operations Program (LCTOP)

PROJECT DESCRIPTION AND ALLOCATION REQUEST (SUMMARY)

Project Information:

Lead Agency:	San Joaquin Regional Transit District (RTD)
Project Name:	BRT Expansion - MLK Corridor
Project Type: <i>See Attachment A</i>	A1: Implement new transit service
Description of Project (Short):	The project will implement a new BRT route along the MLK Corridor that will operate entirely in a disadvantaged community. This project will provide rapid service, provide access to a variety of destinations, and use zero-emission buses.
Project Location:	Stockton, CA
Project Start Date (anticipated):	1/1/2017
Project End Date (anticipated):	12/31/2017

Funding Information:

Funding Year:	FY2016
Requested Amount of PUC 99313:	\$510,733
Requested Amount of PUC 99314:	\$73,703
Total LCTOP Funding:	\$584,436
Total Project Cost:	\$584,436

Project Benefits:

Greenhouse Gas Benefits (off of worksheet)

Estimated GHG Reduction:	229.38 (MTCO _{2e})
Project Life:	1 year
Estimated Total GHG Reduction:	229.38 (MTCO _{2e})

Disadvantaged Communities (DAC) Benefits:

Does your service area have a DAC?	Yes
Does the Project Benefit a DAC?	Yes
Identify the DAC Census Tracts?	Highest Scores (91-100%)
Identify Specific DAC Benefit Criteria? <i>See Attachment B</i>	TP 1A: Project provides improved transit or intercity rail service for stations or stops in a disadvantaged community.
Qualitative Description of DAC Benefit?	This project will provide operational funding to support a new BRT route in one of the most disadvantaged areas in Stockton. The new service will provide residents in the area with a service that is significantly more frequent, reliable, and convenient. This will provide enhanced access to jobs, medical services, shopping, and other necessary destinations.
Describe the DAC Need Project Addresses?	The project will provide transportation in an area where resources are limited. The MLK Corridor community has a need for safe and reliable transportation which will be provided through the implementation of this new route. This will also supplement the efforts by the city of Stockton to revitalize this corridor.
Total GGRF \$ Allocated to DAC	\$584,436

Co-benefit

Critical Air Pollution Reduction:	229.38 (MTCO _{2e})
VMT Reduction:	610,887.9 VMT
Ridership Increase	210,651 annually
Fuel Use Reduction:	

Effective 11/15

Energy Use Reduction:	
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Low Carbon Transit Operations Program (LCTOP)

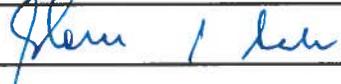
PROJECT DESCRIPTION AND ALLOCATION REQUEST (ALLOCATION)

Regional Entity: San Joaquin Council of Governments	
Project Lead: San Joaquin Regional Transit District (RTD)	County: San Joaquin
Project Title: BRT Expansion - MLK Corridor	

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: Gloria Salazar

Signature: 

Title: Assistant General Manager/CFO

Agency: San Joaquin Regional Transit District (RTD)

Date: 2/3/2016

Amount: \$584,436

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)

<i>LCTOP Allocation</i>	15/16	16/17	17/18
Request Amount per PUC 99313:	\$510,733	\$0	\$0
Request Amount per PUC 99314:	\$73,703	\$0	\$0
Total Project Allocation Request:	<u>\$584,436</u>	<u>\$0</u>	<u>\$0</u>
Project Title:	<u>BRT Expansion - MLK Corridor</u>		
Project Location/Address:	<u> </u>		

Table 1: Project Lead Information

		Legislative District Numbers	
Agency Name: <u>San Joaquin Regional Transit District (RTD)</u>		Assembly: <u>13</u>	
Contact Person: <u>George Lorente</u>		Senate: <u>5</u>	
Contact Phone #: <u>(209) 467-6674</u>		Congressional: <u>9,10</u>	
Email Address: <u>glorente@sanjoaquinrtd.com</u>		Amount:	PUC Funds Type:
Address: <u>P.O. Box 201010</u>	\$	510,733	99313
<u>Stockton, CA 95201</u>	\$	73,703	99314

Table 2: Contributing Sponsor Information

Name: <u> </u>	Amount: <u> </u>	PUC Fund Type: <u> </u>
Contact: <u> </u>	\$ <u> </u>	
Contact Phone #: <u> </u>	\$ <u> </u>	
Email Address: <u> </u>		
Address: <u> </u>		

Other Contributing Sponsors: (Attach sheet with contact information)	Amount:	PUC Fund Type:
Name: <u> </u>	\$ <u> </u>	
Name: <u> </u>	\$ <u> </u>	
Name: <u> </u>	\$ <u> </u>	

TOTAL \$584,436

(*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		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.

This project will expand transit service and increase service quality by operating a new BRT route along the MLK Corridor. RTD is requesting \$584,436 to operate this expanded service. The MLK Corridor is located within Stockton's disadvantaged communities. This project will provide transportation to a variety of locations such as shopping centers, medical centers, or employment locations and will reduce harmful emissions of greenhouse gases.

Throughout the Stockton Metropolitan Area, RTD currently operates 3 BRT routes. These routes provide frequent service with buses arriving every 15 minutes during peak hours. BRT routes provide customers with a fast method of transportation that does not require extensive knowledge of bus schedules or departure times due to the high frequency of service. Since RTD began implementing BRT routes in 2007, there has been an increase in ridership. By expanding this successful bus service, RTD will continue to attract customers with the reliability and high frequency of BRT routes. RTD will have a total of five BRT routes in operation by July of 2017.

A unique element of the BRT Expansion - MLK Corridor project is RTD's commitment to reducing harmful emissions of greenhouse gases. This project will reduce the amount of Vehicle Miles Traveled (VMT) by removing individual cars from the road. As an alternative to driving, these bus routes provide convenience allowing customers to reach their destinations in a timely manner. Furthermore, RTD will operate the MLK Corridor route exclusively with zero-emission electric buses. The estimated reduction in VMT will not only lower pollution from individual vehicles, but the miles traveled will be replaced by zero-emission technology. The removal of cars from the road and the usage of zero-emission buses will greatly decrease greenhouse gas emissions in an area with high pollution exposure.

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 expansion of this service will provide transportation that is reliable, frequent, and focuses on being environmentally friendly. The MLK Corridor is located within a disadvantaged area and will provide transportation to a variety of destinations. The following are various destinations along the MLK Corridor BRT route:

- o 4 Shopping Centers
- o Edison High School
- o San Joaquin Local Neighborhood Health Clinic employees)
- o San Joaquin Fairgrounds
- o 4 Elementary Schools
- o Caltrans Administration Building
- o Diamond Nut Company Plant (750-1,000 employees)

See attachment 1 for disadvantaged communities

See attachment 2 for transit service area.

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:

Operations: 12 Months

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.

This project will reduce vehicle miles traveled (VMT) and greenhouse gas emissions (GHG) by replacing auto trips with transit trips. Reducing the number of VMT and using zero-emission technology creates a transportation option that is environmentally friendly. RTD is providing an alternative method of transportation that is frequent and reliable, while significantly decreasing harmful emissions.

The project is expected to reduce 610,887.90 Vehicle Miles Traveled (VMT) annually and an average of 229.38 Metric Tons of CO2 (MTCO2) Annually. This greenhouse gas emission reduction calculation is based upon the LCTOP calculation tool provided with the application. The source of this document is listed at the end of this response. The main assumption for this calculation is average daily ridership, which is based upon RTD's figures for existing Bus Rapid Transit Service and projected passenger demand. RTD will use Average Daily Ridership for the new services in order track and report emissions reductions.

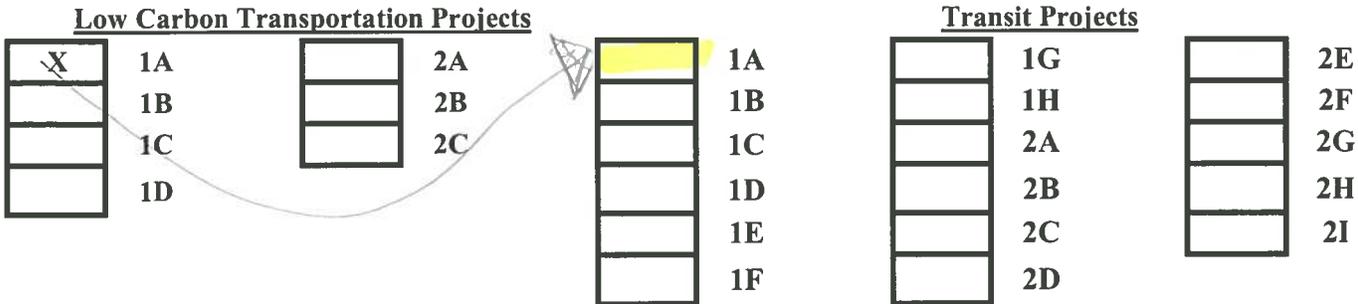
See Attachment 3 for GHG emission reduction calculations.

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

This project will expand RTD's BRT service to provide frequent and reliable service for customers. The expanded route along the MLK Corridor will provide service to a disadvantaged community. RTD's previous projects to expand the BRT service has led to increased ridership due to the appealing nature of the frequent bus schedules. **Buses arrive every 15 minutes during peak hours which provides our customers with decreased wait times at bus stops and eliminates the need for customers to have an extensive knowledge of bus schedules.** Customers are given the flexibility to access transportation with many opportunities throughout the MLK Corridor area.

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).



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.

According to the California Environmental Protection Agency (CalEPA), the proposed BRT route will be located within Stockton's disadvantaged communities. Stockton's disadvantaged communities are residents living in communities that suffer disproportionately from environment contamination that affect their quality of life. Expanding the BRT service would significantly benefit Stockton residents by attracting new ridership, enhancing mobility options, reducing traffic congestion, and improving air quality. **The communities surrounding the MLK Corridor have some of the highest percentage of residents who are low-income or live below the poverty line.**

The BRT routes are designed to provide short wait times at bus stops and transfer stations. Although the wait times are expected to be low, RTD will provide infrastructure to increase safety and comfort. All stops will be well lit, provide shelters and benches, and all fare vending machines will be equipped with security cameras. This project provides a direct benefit to a disadvantaged community and will provide safe and comfortable stops for our

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 checked="" type="checkbox"/> Improved Safety | <input type="checkbox"/> Coordination with Educational Institutions |
| <input checked="" type="checkbox"/> Improved Public Health | <input type="checkbox"/> College/University <input type="checkbox"/> Grades K-12 |
| <input type="checkbox"/> Reduced Operating/Maintenance Cost | <input checked="" 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.

The BRT expansion is intended to provide a frequent service to a disadvantaged community, extend a successful service into an area where transportation is needed, and to improve public health through the elimination of greenhouse gas emissions. The design of the BRT routes provide buses every 15 minutes for customer convenience. The MLK Corridor where this expansion route will operate is home to many disadvantaged residents within an area of high pollutants and poor air quality. RTD will use solely electric zero-emission buses to operate this project improving public health in the area. Although the anticipated wait time for buses is expected to be short, RTD will equip all transit stops with benches, shelters, and lightings to improve safety along the route.

In addition, the BRT expansion along the MLK Corridor will encourage customers to combine different methods of transportation in their daily commutes. RTD will install bike racks at each bus stop as well as on each zero-emission bus. RTD promotes active transportation from customers by allowing walking and bicycling to be conveniently incorporated in everyday commutes. Along the MLK Corridor route, customers will be provided convenient connections to the Altamont Corridor Express (ACE). This will integrate rail transportation and creates an opportunity for customers to reach a variety of cities in the Bay Area.

Table 6: Project Schedule

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

Operations Projects	
Begin expanded/enhanced transit services	1/1/2017
End expanded/enhanced transit services	12/31/2017
Begin Closeout Phase	1/1/2018
End Closeout Phase	5/1/2018

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.

This project will operate a Bus Rapid Transit (BRT) route providing frequent service within Stockton's disadvantaged communities. The hours of operation will be on weekdays from 6 a.m. until 10 p.m. , and on weekends from 8 a.m. until 7 p.m. The BRT routes provide frequent service with buses arriving every 15 minutes during peak hours. The estimated ridership per year is approximately 210,651. The estimated route miles per year traveled is 148,441. These estimates are based off a system analysis of the MLK Corridor route and existing ridership data from RTD's other BRT routes currently in operation. This project will be operated using the same operational resources as the existing BRT routes in service.

b) Describe the fare structure for this system.

The project will operate under the existing fare structure as the existing BRT services. Customers will be able to purchase and validate their tickets with the fare collection machine located at each bus stop. One ride for the BRT service will cost \$1.50 and the 1-day pass cost \$4.00. Our customers can access any stop along the BRT route with purchase of one pass. In addition, the BRT also have a 10-deviation pass for \$10.00 making each ticket cost \$1.00 each if customers would like to save money. Students that are enrolled at educational institutions would be able to buy a 31-day pass for \$40.00 with a valid school identification card. Discount faces are also able available for seniors for \$0.75 if they are going to use our BRT service.

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

The projection of the BRT service is based on the performance of existing BRT routes and expected demand.

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

Cost estimates are based upon actual construction cost of RTD's current BRT routes in service.



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

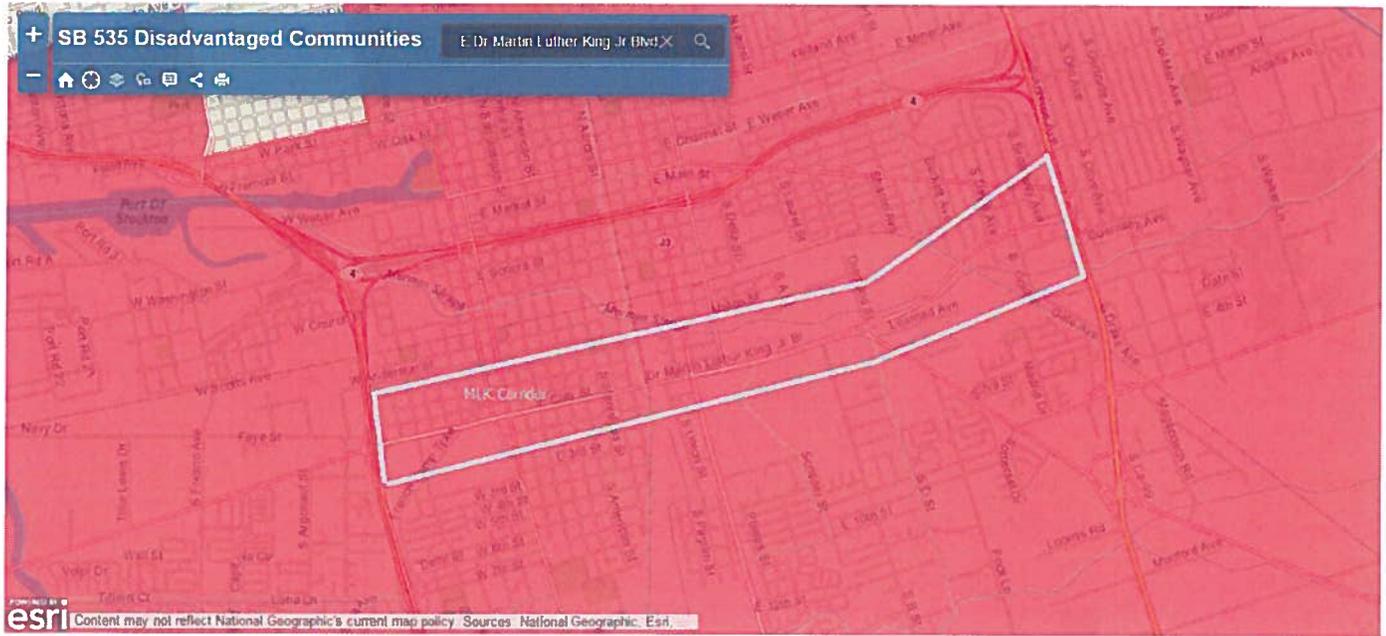
BT

Project Name:	Metro Hopper Expansion
Project ID:	0
Inputs in RED must be filled out	

Results	GHG Emissions (MTCO2e)	Description
Net GHG Benefits	229.38	Total GHG Emission Reductions (MTCO2e)
LCTOP Funds Requested (\$)	584,436.00	Funds requested per State Controller's Office Eligible list for FY 2015-16
Total LCTOP Funds Requested (\$)	584,436.00	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 (\$)	584,436.00	Includes the Total LCTOP fund requested and any other GGRF Program monies
Total GHG Emission Reductions / Total GGRF Funds Requested (\$)	0.0004	The metric to be reported in the application.

Attachment 1

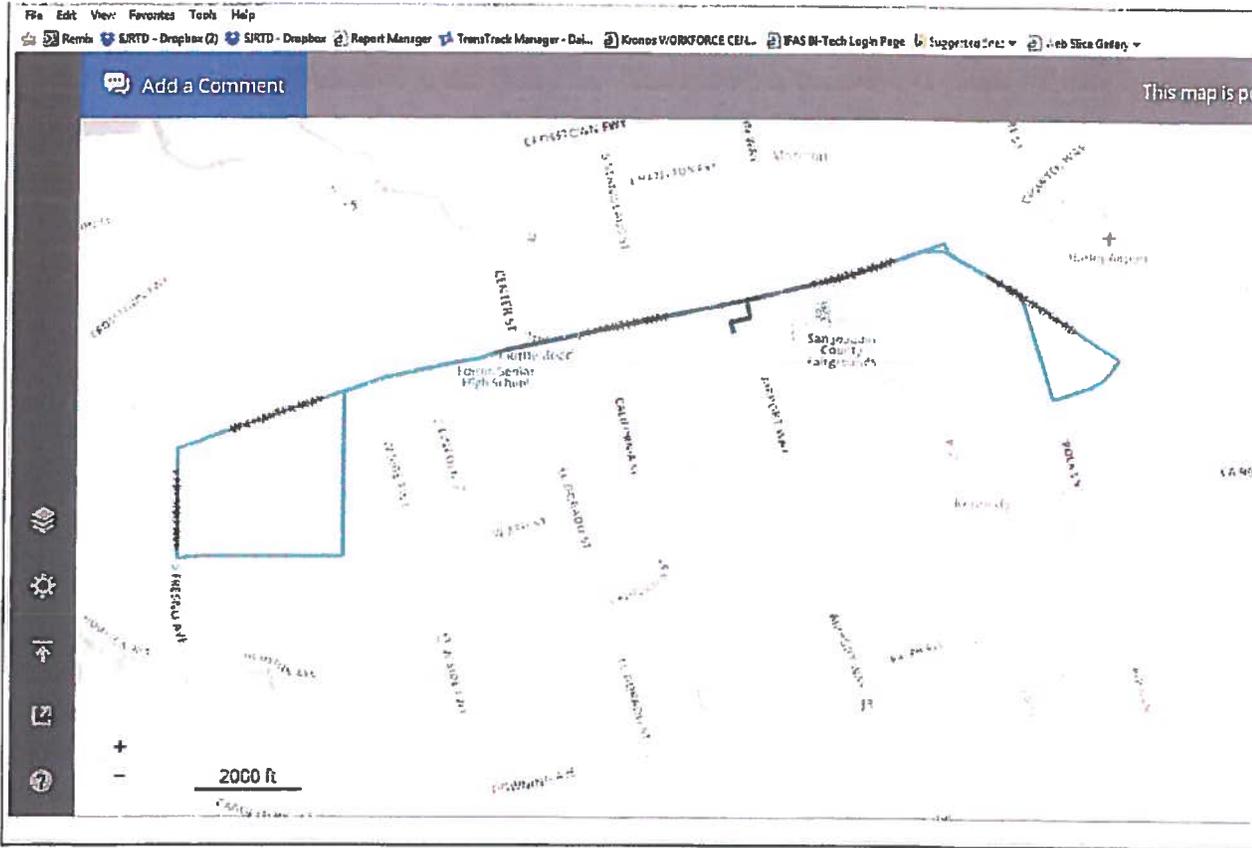
SB 535 Disadvantaged Communities



Attachment 2

Proposed BRT - MLK Corridor Route

METRO EXPRESS – MLK CORRIDOR



BRT – MLK Corridor

Ridership Projection	210,651
Revenue Miles Projection	148,441

*Ridership and revenue miles projection is based on system analysis and design of the MLK Corridor and current statistics of BRT routes currently in operation. The projections were provided by a planning contractor tasked with completing the planning phase and system analysis which included data from RTD's existing BRT routes.



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) George Lorente	Phone: (209) 467-6674	Date: 1/29/2016
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Approval Authority: Sign and date 2.5.16	Typed name and phone number:
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Shaded fields are automatically calculated. Please do not fill these fields.

Proposed Total Project Cost								Project
Component	Prior	FY	FY	FY	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	0	0	0	0	0	0
Veh/Equip Purchase	0	0	0	0	0	0	0	0
Operations/Other	0	584,436	0	0	0	0	0	584,436
TOTAL	0	584,436	0	0	0	0	0	584,436

Low Carbon Transit Operations Program (LCTOP)								
Component	Prior	FY 16	FY	FY	FY	FY	FY	Total
PA&ED								0
PS&E								0
R/W								0
CON								0
Veh/Equip Purchase								0
Operations/Other		584,436						584,436
TOTAL	0	584,436	0	0	0	0	0	584,436

Funding Source:								
Component	Prior	FY	FY	FY	FY	FY	FY	Total
PA&ED								0
PS&E								0
R/W								0
CON								0
Veh/Equip Purchase								0
Operations/Other								0
TOTAL	0							

Funding Source:								
Component	Prior	FY	FY	FY	FY	FY	FY	Total
PA&ED								0
PS&E								0
R/W								0
CON								0
Veh/Equip Purchase								0
Operations/Other								0
TOTAL	0							

Funding Source:								
Component	Prior	FY	FY	FY	FY	FY	FY	Total
PA&ED								0
PS&E								0
R/W								0
CON								0
Veh/Equip Purchase								0
Operations/Other								0
TOTAL	0							



Low Carbon Transit Operations Program TOTAL PROJECT COST AND FUNDING PLAN

Funding Source:								
Component	Prior	FY	FY	FY	FY	FY	FY	Total
PA&ED								0
PS&E								0
R/W								0
CON								0
Veh/Equip Purchase								0
Operations/Other								0
TOTAL	0							

Funding Source:								
Component	Prior	FY	FY	FY	FY	FY	FY	Total
PA&ED								0
PS&E								0
R/W								0
CON								0
Veh/Equip Purchase								0
Operations/Other								0
TOTAL	0							

Funding Source:								
Component	Prior	FY	FY	FY	FY	FY	FY	Total
PA&ED								0
PS&E								0
R/W								0
CON								0
Veh/Equip Purchase								0
Operations/Other								0
TOTAL	0							

Funding Source:								
Component	Prior	FY	FY	FY	FY	FY	FY	Total
PA&ED								0
PS&E								0
R/W								0
CON								0
Veh/Equip Purchase								0
Operations/Other								0
TOTAL	0							

Funding Source:								
Component	Prior	FY	FY	FY	FY	FY	FY	Total
PA&ED								0
PS&E								0
R/W								0
CON								0
Veh/Equip Purchase								0
Operations/Other								0
TOTAL	0							



Authorized Agent

AS THE General Manager/CEO
(Chief Executive Officer / Director / President / Secretary)

OF THE San Joaquin Regional Transit District (RTD)
(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. This form is valid for Fiscal Year 2014-2015 funds. 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.

Donna DeMartino, General Manager/CEO OR
(Name and Title of Authorized Agent)

Gloria Salazar, Assistant General Manager/CFO OR
(Name and Title of Authorized Agent)

(Name and Title of Authorized Agent)

Donna DeMartino
(Print Name)

General Manager/CEO
(Title)


(Signature)

Approved this 29th day of January 2016

Attachment: Board Resolution approving Authorized Agent



Low Carbon Transit Operations Program (LCTOP)

Certifications and Assurances

Project Sponsor: San Joaquin Regional Transit District (RTD)

Agency Name: San Joaquin Regional Transit District (RTD)

Effective Date of this Document: 1/29/2016

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 sponsors (both Project Lead and Contributing Sponsors) must comply with these terms and conditions.

A. General

- (1) The project sponsor agrees to abide by the current LCTOP Guidelines and applicable legal requirements.
- (2) The project sponsor 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 when LCTOP funds are used for a transit capital project, that the project will be completed and remain in operation for its useful life.
- (3) 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.
- (4) 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.
- (5) 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.
- (6) Any interest the project lead earns on LCTOP funds must be used only on approved LCTOP projects.



- (7) The project lead must notify the Department of any changes to the approved project with a Corrective Action Plan (CAP).
- (8) 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.
- (9) 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 February 15th and August 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: ARAB 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 ARAB'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 allowability 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), enable the determination of incurred costs at interim points of completion, and provide support for reimbursement payment vouchers or invoices. 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 from the date of final payment 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.

A handwritten signature in blue ink, appearing to read 'Gloria Salazar', written over a horizontal line.

Gloria Salazar, Assistant General Manager/CFO
San Joaquin Regional Transit District



ATTACHMENT I

(INSERT Agency Board Resolution approving this document)

See Sample attached

RESOLUTION NO. 5604
DATED: JANUARY 15, 2016

RESOLUTION AUTHORIZING THE EXECUTION OF THE CERTIFICATIONS AND ASSURANCES
FOR THE FY 2015 LOW CARBON TRANSIT OPERATIONS PROGRAM (LCTOP)

WHEREAS, the San Joaquin Regional Transit District 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 (2015) 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, RTD will proceed to formally request funds for the purposes stated on this report contingent upon the approval of the LCTOP allocation by the San Joaquin Council of Governments (SJCOG) on January 28, 2016; and

WHEREAS, the San Joaquin Regional Transit District wishes to delegate authorization to execute these documents and any amendments thereto to the General Manager/CEO or designee.

NOW, THEREFORE, BE IT RESOLVED by the Board of Directors of the San Joaquin Regional Transit District:

1. That the fund recipient agrees to comply with all conditions and requirements set forth in the Certification and Assurances document and applicable statutes, regulations and guidelines for all LCTOP funded transit projects.
2. That the General Manager/CEO or designee be authorized to execute all required documents of the LCTOP program and any Amendments thereto with the California Department of Transportation.

Donna DeMartino, the duly appointed, qualified, and acting Secretary of the San Joaquin Regional Transit District, does hereby certify that the foregoing is a true and exact copy of the Resolution passed and adopted at a regular meeting of the Board of Directors of said District held on January 15, 2016

DATED: January 15, 2016


DONNA DeMARTINO, SECRETARY