

## Low Carbon Transit Operations Program (LCTOP)

### PROJECT DESCRIPTION AND ALLOCATION REQUEST (SUMMARY)

**Project Information:**

Lead Agency:	San Joaquin Regional Transit District (RTD)
Project Name:	Metro Hopper Expansion
Project Type: <i>See Attachment A</i>	A1: Implement new transit service
Description of Project (Short):	The project will implement RTD's Metro Hopper 9 that provides a deviated fixed route within Stockton's disadvantaged communities. The Hopper routes provide curb to curb service upon request of our ADA customers.
Project Location:	Stockton, CA
Project Start Date (anticipated):	7/1/2016
Project End Date (anticipated):	6/30/2017

**Funding Information:**

Funding Year:	FY16
Requested Amount of PUC 99313:	\$186,202
Requested Amount of PUC 99314:	\$35,571
Total LCTOP Funding:	\$221,773
Total Project Cost:	\$221,773

**Project Benefits:**

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

Estimated GHG Reduction:	445.44 (MTCO <sub>2e</sub> )
Project Life:	1 year
Estimated Total GHG Reduction:	445.44 (MTCO <sub>2e</sub> )

**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 Score (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 provides a deviated fixed route within a disadvantaged community. These Hopper buses can deviate along the set route to provide curb to curb service for our ADA certified customers.
Describe the DAC Need Project Addresses?	The project will provide transportation in an area where resources are limited. The Hopper 9 will satisfy a community need for ADA certified customers to conveniently access shopping centers, medical facilities, and other destinations directly from their homes.
Total GGRF \$ Allocated to DAC	\$221,773

**Co-benefit**

Critical Air Pollution Reduction:	445.44 (MTCO <sub>2e</sub> )
VMT Reduction:	42,446 VMT
Ridership Increase	11,319 annually
Fuel Use Reduction:	4,513
Energy Use Reduction:	

## Low Carbon Transit Operations Program (LCTOP)

### PROJECT DESCRIPTION AND ALLOCATION REQUEST (ALLOCATION)

<b>Regional Entity:</b> San Joaquin Council of Governments	
<b>Project Lead:</b> San Joaquin Regional Transit District (RTD)	<b>County:</b> San Joaquin
<b>Project Title:</b> Metro Hopper Expansion	

**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.

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**Name:** Gloria Salazar

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**Signature:** 

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**Title:** Assistant General Manager/CFO

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**Agency:** San Joaquin Regional Transit District (RTD)

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**Date:** \_\_\_\_\_ **Amount:** \$221,773

**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.

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**Name:** \_\_\_\_\_

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**Signature:** \_\_\_\_\_

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**Title:** \_\_\_\_\_

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**Agency:** \_\_\_\_\_

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**Date:** \_\_\_\_\_ **Amount:** \_\_\_\_\_

## Low Carbon Transit Operations Program (LCTOP)

### PROJECT DESCRIPTION AND ALLOCATION REQUEST (FUNDING)

	<i>LCTOP Allocation</i>	<i>15/16</i>	<i>16/17</i>	<i>17/18</i>
<b>Request Amount per PUC 99313:</b>	\$186,202	\$0	\$0	\$0
<b>Request Amount per PUC 99314:</b>	\$35,571	\$0	\$0	\$0
<b>Total Project Allocation Request:</b>	\$221,773	\$0	\$0	\$0
<b>Project Title:</b>	Metro Hopper Expansion			
<b>Project Location/Address:</b>	Stockton, CA			

**Table 1: Project Lead Information**

	Legislative District Numbers	
Agency Name: San Joaquin Regional Transit District (RTD)	Assembly:	13
Contact Person: George Lorente	Senate:	5
Contact Phone #: (209) 467-6674	Congressional:	9,10
Email Address: <a href="mailto:glorente@sanjoaquinrtd.com">glorente@sanjoaquinrtd.com</a>	Amount:	PUC Funds Type:
Address: P.O. Box 201010	\$ 186,202	99313
Stockton, CA 95201	\$ 35,571	99314

**Table 2: Contributing Sponsor Information**

Name: _____	Amount :	PUC Fund Type:
Contact: _____	\$ _____	
Contact Phone #: _____	\$ _____	
Email Address: _____		
Address: _____		
<i>Other Contributing Sponsors: (Attach sheet with contact information)</i>	Amount:	PUC Fund Type:
Name: _____	\$ _____	
Name: _____	\$ _____	
Name: _____	\$ _____	
<b>TOTAL \$221,773</b>		

(\*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 by operating RTD's newest Metro Hopper route in Stockton. RTD is requesting for \$221,733 to operate this Metro Hopper service that serves Stockton's disadvantaged communities. The project will improve transportation to a variety of destinations including employment centers, educational institutions, and shopping centers. *How is it expanding service? More hours? DAYS? Routes?*

Within the Stockton Metropolitan Area, RTD's Metro Hopper offers nine deviated fixed routes for customers. The Metro Hopper is a deviated fixed route bus service serving popular destinations throughout the Stockton city limits. Each bus can deviate from its normal route a distance of up to one-mile in order to accommodate ADA certified passengers. Within these one-mile deviated windows, the service covers approximately 75% of the Stockton Metro Area for ADA-certified customers. Since the introduction of the Hopper service, RTD has reduced its operating costs while increasing ridership through strategic service that targets ADA certified customers and disadvantaged communities.

**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 Metro Hopper will serve communities that have some of the highest percentage of residences who have low incomes and may not have any method of transportation. The project is intended to meet the community's transit needs within reliable and inexpensive service that competes effectively with single occupancy vehicles to reduce greenhouse gas emissions.

The following is a sample of the employment, educational, and public service destinations along the Metro Hopper 9 route:

- |   |                                      |
|---|--------------------------------------|
| o Downtown Transit Center                         | o San Joaquin Public Health Services |
| o Bank of America                                 | o Rancho San Miguel                  |
| o Stockton New Life Worship Center                | o Williams Brotherhood Park          |
| o Goodwill Store                                  | o Merlo Institute                    |
| o Stockton Supplies, Food Service, and Janitorial | o Kmart                              |
| o CalTrans  | o Ranch Produce Market               |
| o Diamond Foods                                   | o Mariposa Market                    |
| o San Joaquin County Fairgrounds                  | o Walgreens                          |

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:

### 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 project will reduce vehicle miles traveled (VMT) and greenhouse gas emissions (GHG) by replacing auto trips with transit trips. Reducing the number of VMT or using a more efficient mode of transportation will result in a fuel-efficient transit service. This is a deviated fixed route service that allows our vehicles to pick up customers directly at their homes or at a stop within walking distant from their home for non-ADA certified customers. This deviation factor eliminates the variables (LL) length of average trip for auto access to transit, and (AA) adjustment factor to account for auto trips used to access transit service.

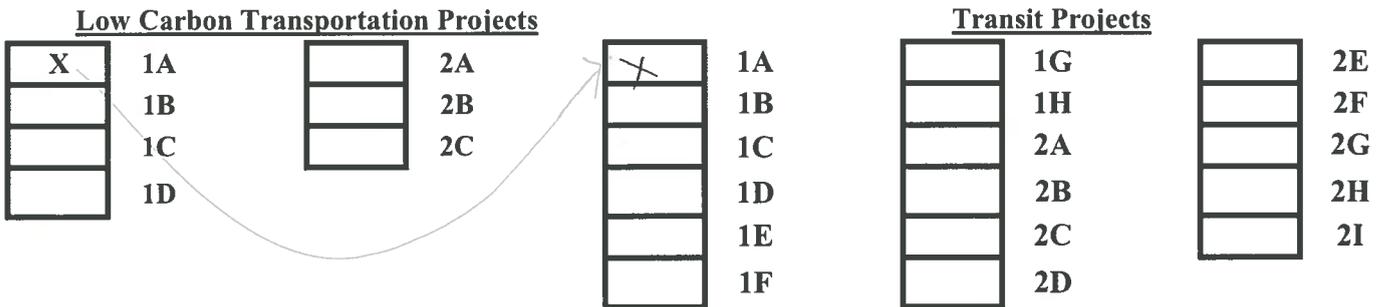
**The project is expected to reduce 42,446 Vehicle Miles Traveled (VMT) annually and an average of 445.44 Metric Tons of CO2 (MTCO2) Annually.** This greenhouse gas emission reduction calculation is based upon the LCTOP calculation tool provided. This project will also provide a fuel savings benefit estimated to be 4,513 VMT annually.

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

The expansion of the Metro Hopper service will help to build a better transportation system for the public. RTD Hopper routes will deviate up to 3/4 of a mile for ADA certified elderly and disabled customers. With its ability to deviate and provide curb-to-curb service, the Metro Hopper serves those who cannot get to a fixed route bus stop and provides convenient access to other fixed route transit services. In addition, this project will attract new customers because the Metro Hopper will serve an area where there is known demand for a trip that this service can provide. Reliable transportation is important to Stockton disadvantaged communities because it increases the quality of transit services for a socio-economic demographic.

**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 Metro Hopper 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. Implementing the Metro Hopper service would significantly benefit Stockton residents by attracting new ridership, enhancing mobility options, reducing traffic congestion, and improving air quality. The communities surrounding the project have some of the highest percentage of residents who are low-income or live below the poverty line. The city has made significant capital improvements to the areas in the last several years, with future improvements planned. This project will provide the transportation component of this comprehensive redevelopment plan to provide Stockton residents with an improved Metro Hopper system.

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

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

The Metro Hopper expansion is intended to reduce greenhouse gas emissions, improve public health and the livability of Stockton. A growing number of Stockton residents prefer to drive less and rely more on walking, bicycling, and public transportation because it is much healthier. Public transits and other modes of transportation tend to affect travel activity in ways that improve public health, which includes increase in physical activity and affordability and a decrease in financial stress for disadvantaged communities. The Metro Hopper project will improve air quality, reduce accident rates, and encourage a more active lifestyle by providing an attractive alternative to auto travel.

In addition, the Metro Hopper expansion will promote active transportation by providing features that will allow our customers to easily incorporate walking and bicycling as part of their daily commute. Bicycling will be encouraged through the installation of bike racks on all buses. Each bus will have a bike rack that fits two bikes. RTD customers will have a convenient way of getting around town by combining bicycling with riding the bus and helping the environment. The ability to walk and bike to the Metro Hopper stops increases transit use and increases ridership by providing new and existing customers' options to be physically active.

**Table 6: Project Schedule**

<b>Capital Projects</b>	
Begin Construction Phase ( <b>Contract Award</b> )	
End Construction Phase ( <b>Contract Acceptance</b> )	
Begin Vehicle/Equipment Order ( <b>Contract Award</b> )	
End Vehicle/Equipment Order ( <b>Contract Acceptance</b> )	
Begin Closeout Phase	
End Closeout Phase	
<b>Operations Projects</b>	
Begin expanded/enhanced transit services	7/1/2016
End expanded/enhanced transit services	6/30/2017
Begin Closeout Phase	7/1/2017
End Closeout Phase	10/1/2017

**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.

The project will be a deviated fixed route service serving popular destinations in an area of Stockton where residents depend on public transportation. The Hopper service will operate Monday through Friday from 7:35 A.M. to approximately 5 P.M. Each bus can deviate from its normal route up to one mile in order to accommodate ADA certified customers. The deviation trip needs to be scheduled ahead of time and picks up customers at their home. In addition, all of our Metro Hopper buses are wheelchair accessible and services will operate 252 days per year. The estimated ridership is approximately 11,319 per year and the estimated route miles are approximately 18,050 miles per year. The new route will be operated using the same equipment and operational resources as the existing eight Metro Hopper routes.

b) Describe the fare structure for this system.

The Metro Hopper routes enable RTD to meet the requirement of the Americans with Disabilities Act (ADA) while providing complementary paratransit services at a significantly reduced cost. The project will operate under the existing fare structure as the existing Metro Hopper services. Customers will be able to purchase and validate their tickets with the fare collection machine located on the bus. One ride for the Metro Hopper service will cost \$1.50 and the 1-day pass cost \$4.00. In addition, the Metro Hopper 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 fares are also available for seniors for \$0.75 if they are going to use our Metro Hopper service.

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

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

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

Cost estimates are based upon actual cost of RTD's current Metro Hopper routes, as operated under a private contractor.



California Environmental Protection Agency  
**Air Resources Board**

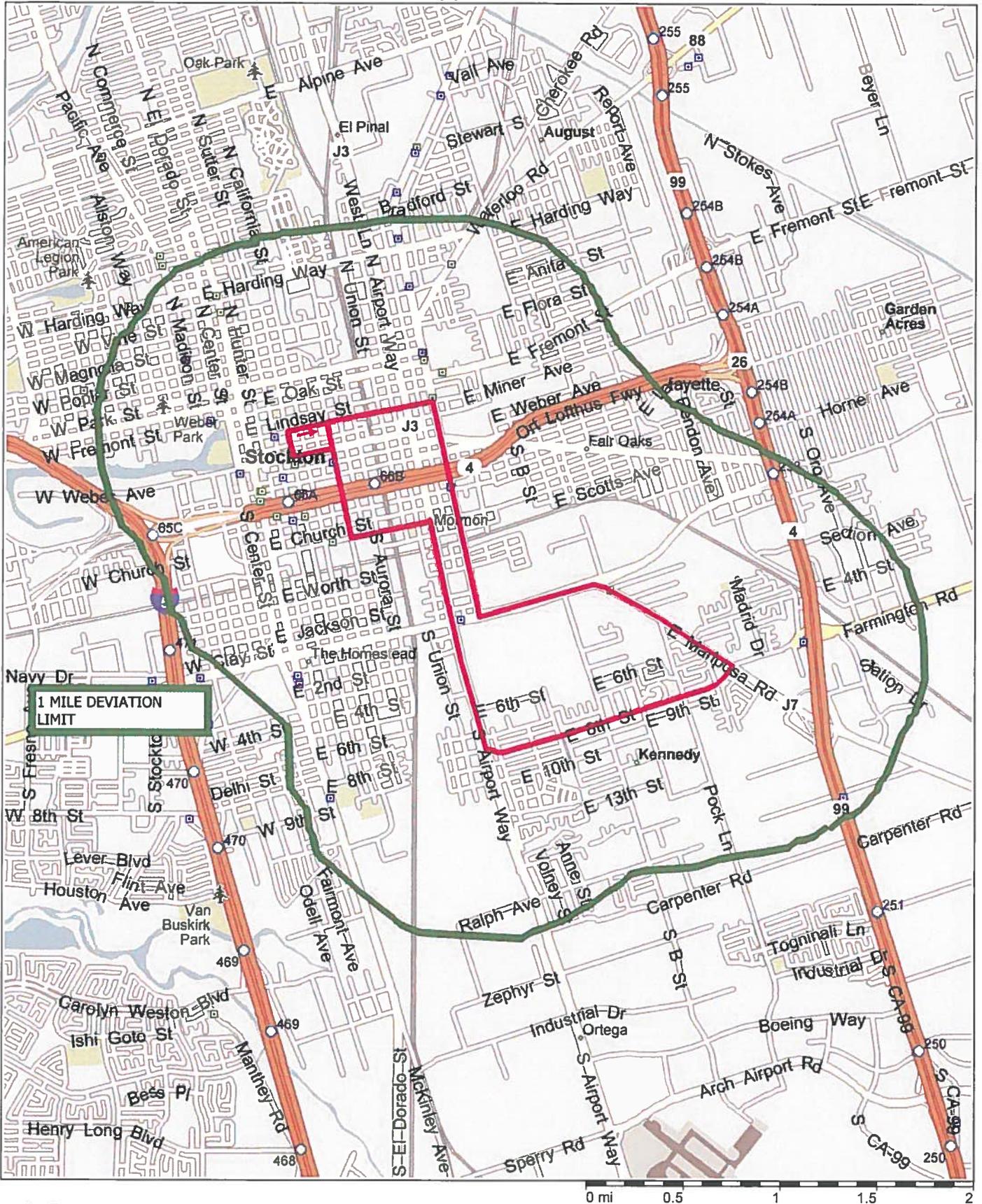
**California Air Resources Board (ARB)**  
**Greenhouse Gas Emission Reduction Calculator for the**  
**California Department of Transportation (Caltrans)**  
**Low Carbon Transit Operations Program (LCTOP)**  
**Greenhouse Gas Reduction Fund**  
**Fiscal Year 2015-16**

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

Results	GHG Emissions (MTCO2e)	Description
Net GHG Benefits	445.44	Total GHG Emission Reductions (MTCO2e)
LCTOP Funds Requested (\$)	221,773.00	Funds requested per State Controller's Office Eligible list for FY 2015-16
Total LCTOP Funds Requested (\$)	221,773.00	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 (\$)	221,773.00	Includes the Total LCTOP fund requested and any other GGRF Program monies
Total GHG Emission Reductions / Total GGRF Funds Requested (\$)	0.0020	The metric to be reported in the application.



### Proposed Metro Hopper 9- Fixed Deviated Route



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## Metro Hopper 9 Emission Calculation Input Data

Ridership Projection for full 2016	11,319
Revenue Miles Projection for full 2016	18,050
Annual VMT Savings	4,513

The projected ridership, revenue miles and annual VMT are based upon 6-month of the current operation of the Route 9, which was launched with the help of the FY15 LCTOP funding. The vehicles RTD is purchasing for Metro Hopper 9 will be equipped with the XL3 Hybrid Electric Drive System. This added vehicle option will provide a 25% increase in miles per gallon. This project will reduce greenhouse gas emissions by replacing VMT of individual cars with this hybrid-diesel service. Also, the hybrid technology provides an added GHG reduction benefit identified by the 25% increase in miles per gallon or 4,513 miles as indicated in the table above.

\*Please see LCTOP calculation tool for GHG calculation

\*For more information of the XL3 ybrid technology see:

[http://www.xlhybrids.com/sites/default/files/XLHybrids\\_ShuttleBus.pdf](http://www.xlhybrids.com/sites/default/files/XLHybrids_ShuttleBus.pdf)



## 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 <i>George Lorente</i> 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									
Component	Prior	FY	FY	FY	FY	FY	FY	FY	Project Total
PA&ED	0	0	0	0	0	0	0	0	0
PS&E	0	0	0	0	0	0	0	0	0
R/W	0	0	0	0	0	0	0	0	0
CON	0	0	0	0	0	0	0	0	0
Veh/Equip Purchase	0	0	0	0	0	0	0	0	0
Operations/Other	0	221,773	0	0	0	0	0	0	221,773
<b>TOTAL</b>	<b>0</b>	<b>221,773</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>221,773</b>

Low Carbon Transit Operations Program (LCTOP)									
Component	Prior	FY 16	FY	FY	FY	FY	FY	FY	Total
PA&ED									0
PS&E									0
R/W									0
CON									0
Veh/Equip Purchase									0
Operations/Other		221,773							221,773
<b>TOTAL</b>	<b>0</b>	<b>221,773</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>221,773</b>

Funding Source:									
Component	Prior	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	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	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>								



## 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
<b>TOTAL</b>	<b>0</b>							

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
<b>TOTAL</b>	<b>0</b>							

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
<b>TOTAL</b>	<b>0</b>							

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
<b>TOTAL</b>	<b>0</b>							

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
<b>TOTAL</b>	<b>0</b>							



### 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 29<sup>th</sup> 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 15<sup>th</sup> and August 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: 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.

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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