



LOW CARBON TRANSIT OPERATIONS PROGRAM FY 2018-2019 GUIDELINES



CALTRANS
DIVISION OF RAIL AND MASS TRANSPORTATION

LCTOP FY 2018-2019 Guidelines

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Executive Summary

The Low Carbon Transit Operations Program (LCTOP) is part of California Climate Investments, a statewide program that puts billions of Cap-and-Trade dollars to work reducing greenhouse gas (GHG) emissions, strengthening the economy, improving public health and the environment— particularly in disadvantaged communities. The Cap-and-Trade program also creates a financial incentive for industries to invest in clean technologies and develop innovative ways to reduce pollution. California Climate Investments projects include affordable housing, renewable energy, public transportation, zero-emission vehicles, environmental restoration, more sustainable agriculture, recycling, and much more. At least 35 percent of these investments are located within and benefiting residents of disadvantaged communities, low-income communities, and low-income households across California. For more information, visit the California Climate Investments website at: www.caclimateinvestments.ca.gov.

LCTOP is one of several programs that are part of the Transit, Affordable Housing, and Sustainable Communities Program established by the California Legislature in 2014 with Senate Bill 862 (SB 862). SB 862 established LCTOP as a noncompetitive, formulaic program, with 5% of annual auction proceeds being continually appropriated at the beginning of 2015. LCTOP funds are distributed based on prior use of State Transit Assistance (STA) funds where 50% of the funds are designated to regional entities and the other 50% for transit operators. LCTOP was created to provide operating and capital assistance to transit agencies with the goal of reducing GHG emissions and improving mobility; with an emphasis on serving Disadvantaged Communities (DAC)(s). For agencies whose service area includes a DAC, at least 50% of the total monies received shall be expended on projects that provide a direct, meaningful and assured benefit to DAC(s).

The California Department of Transportation (Caltrans) is responsible for administering the statutory requirements of the program and ensuring they are met in terms of project eligibility, greenhouse gas emission reductions, improved mobility, DAC benefits, and other requirements of law. Recipients will report to Caltrans on their compliance with the statutory requirements. As such, recipients are strongly encouraged to select those projects that maximize public benefits for transit ridership, greenhouse gas emission reductions, DAC benefits, and other co-benefits. This program is administered by Caltrans in coordination with the California Air Resources Board (CARB) and the State Controller's Office (SCO).

This document provides guidance to eligible recipients on the process and timeline for requesting funds for transit projects that meet the criteria established in SB 862 and modified by recent legislation: Senate Bill 824 (SB 824) of 2016, Senate Bill 838 (SB 838) of 2016, Assembly Bill 1550 (AB 1550) of 2016, and Senate Bill 1119 (SB 1119) of 2018. These guidelines are consistent with CARB's 2018 Funding Guidelines for Agencies that Administer California Climate Investments (CCI) (Funding Guidelines), and are available at: www.arb.ca.gov/cci-fundingguidelines

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Introduction

History of LCTOP

Assembly Bill 32 (AB 32), the California Global Warming Solutions Act of 2006, took a long term, comprehensive approach to addressing climate change and its effects on the environment and natural resources. AB 32 required California to reduce greenhouse gas (GHG) emissions to 1990 levels by 2020 and to continue reductions beyond 2020. California Air Resources Board (CARB) was directed to be the Lead Agency and implement the law. CARB adopted the *Climate Change Scoping Plan: Building on the Framework* on May 15, 2014 and together with other state and local agencies, have developed and implemented numerous regulations and programs to reduce emissions to meet these goals. The Cap-and-Trade program is a key element of the Scoping Plan, where CARB places a limit or cap on GHG emissions by issuing a limited number of tradable permits (called allowances) equal to the cap. A portion of these allowances can be purchased from the State at a quarterly auction, thereby generating auction proceeds. The State portion of these proceeds is deposited in the Greenhouse Gas Reduction Fund (GGRF) where it is available for appropriation by the Legislature. All projects funded by the GGRF must reduce GHG emissions and adhere to the purposes of AB 32. The California Climate Investments (CCI) is a statewide initiative that puts billions of Cap-and-Trade dollars to work reducing GHG emissions, strengthening the economy and improving public health and the environment, particularly in Disadvantaged Communities (DAC)(s).

Senate Bill 535 (SB 535) of 2012 requires GGRF investments to fund projects that provide a benefit to a DAC. The designation of “disadvantaged communities” was assigned to the California Environmental Protection Agency (CalEPA). CARB is responsible for developing Funding Guidelines that include a component for maximizing benefits to a DAC per Senate Bill 862 (SB 862).

SB 862 of 2014, established the Low Carbon Transit Operations Program (LCTOP) receiving GGRF monies and provides continuous appropriation with 5% of the annual auction proceeds. LCTOP projects will reduce GHG emissions and support transit agencies in their efforts to increase mode share. To achieve the required GHG emissions reduction for each project, the Department of Transportation (Caltrans) will not approve or accept any project that would not be fully funded when LCTOP funds are combined with other committed funding sources. Therefore, a project that only includes pre-construction work will likely be ineligible under the program.

Senate Bill 32 (SB 32) of 2016 further requires CARB to ensure rules and regulations are achieving the maximum technologically feasible and cost-effective GHG emissions and ensure that statewide GHG emissions are reduced to at least 40 percent below the statewide GHG emissions limit no later than December 31, 2030.

Assembly Bill 1550 (AB 1550) of 2016, revised investments within disadvantaged communities requiring administering agencies to allocate: minimum of 25% of GGRF funds must be invested in projects that are located within and benefiting individuals living in DACs.

1. Additionally, 5% of GGRF funds must benefit individuals living in low-income communities or benefiting low income households statewide.
2. An additional minimum of 5% that are located within and benefiting individuals living in low-income communities, or benefiting low-income households, that are within a ½ mile of a DAC.

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Guiding Legislation

Senate Bill 824

The California Legislature passed Senate Bill 824 (SB 824) in 2016, amending SB 862 to provide transit agencies more flexibility in spending their allocation and allows them to use their allocation to fund a wider range of eligible projects. More specifically, SB 824 allows LCTOP funds to be expended by transit agencies on operating and capital assistance that reduce GHG emissions and improve mobility, with a priority on serving disadvantaged communities; and meets any of the following:

1. Expenditures that directly enhance or expand transit service by supporting new or expanded bus or rail services, new or expanded water-borne transit, or expanded intermodal transit facilities, and may include equipment acquisition, fueling, maintenance, and other costs to operate those services or facilities.
2. Operational expenditures that increase transit mode share.
3. Expenditures related to the purchase of zero-emission buses, including electric buses, and the installation of the necessary equipment and infrastructure to operate and support zero-emission buses.

Under SB 824, recipients are allowed to roll over funding for a maximum of 4 years; apply for a Letter of No Prejudice (LONP) for an allowable expenditure (see page 16 for more information) and requires the audit of recipient agencies' finances—already required under the Transportation Development Act (TDA), to be expanded to include verification of receipt and appropriate expenditure of funds from the program. SB 824 also requires recipient agencies to comply with all applicable legal requirements, including California Environmental Quality Act (CEQA), civil rights and environmental justice obligations under state and federal law. SB 824 also requires that a recipient agency demonstrate that each expenditure of program monies does not supplant another source of funds.

Senate Bill 1119

The California Legislature passed Senate Bill 1119 (SB 1119) in 2018, to increase project flexibility by allowing transit agencies to waive the requirement of expending 50 percent of their total allocation within and benefiting a DAC if the recipient transit agencies expend the funding provided pursuant to the following:

- a) New or expanded transit service that connects with transit service serving disadvantaged communities, as identified in Section 39711 of, or in low-income communities, as defined in paragraph (2) of subdivision (d) of Section 39713 of, the Health and Safety Code.
- b) Transit fare subsidies and network and fare integration technology improvements, including, but not limited to, discounted or free student transit passes.
- c) The purchase of zero-emission transit buses and supporting infrastructure.

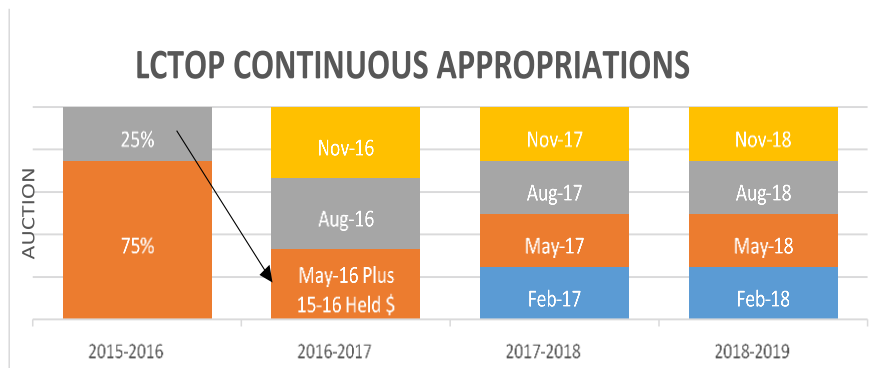
This bill also asserts that expenditures listed above are deemed to have met all applicable requirements established pursuant to Section 39713 of the Health and Safety Code (summarized as AB 1550). Furthermore, the bill makes it clear that the Caltrans and or the CARB will not require recipient transit agencies to provide individual rider data. (Per Section 75230, Public Resources Code (3) (4).

Caltrans staff will encourage Lead Agencies submitting an Allocation Request to continue to document the meaningful and assured benefit to the priority populations as defined in Assembly Bill 1550 (AB 1550) and documented by census tracks from CalEnviroScreen 3.0.

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Continuous Appropriation

The Department of Finance (DOF) will release auction proceeds quarterly after the Cap-and-Trade auction totals are finalized. After the review of available proceeds and upon notice from the DOF, the State Controller's Office (SCO) determines formulaic shares for recipients. Caltrans anticipates SCO to release amounts no later than January to meet the Spring Allocation Request due date. The amount of funding available for LCTOP will be the funds from the applicable calendar years of auctions in February, May, August and November.



Funding Process

The SCO will prepare a list of eligible recipients and the amount of funds to allocate per Section 39719 of the Health and Safety Code. Funds will be distributed by formula based on prior use of State Transportation Act (STA) funds and is divided in two equal parts. 50% is available for regional entities and is distributed based on the ratio of population of the area under its jurisdiction to the total population of the state. The other 50% is available to transit operators and is distributed based on the ratio of total revenue of each operator during the prior fiscal year to the total revenue (fare) of all operators of the state.

Caltrans, in coordination with CARB updated Funding Guidelines, will update the LCTOP Guidelines as necessary. Once the LCTOP Guidelines are updated and SCO releases the list of eligible agencies and funding limits, Caltrans will invite eligible agencies to submit an Allocation Request for Caltrans and CARB review. The Guidelines describe the process that each agency must follow to qualify and receive their allocation. The Lead Agency will receive their allocation of funds once they have submitted an Allocation Request, and Caltrans—in coordination with CARB, has determined the project meets all requirements of the program. Each agency must submit an Allocation Request to receive the annual apportionment, funding amounts will not be held or saved for a future year's request.

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Roles and Responsibilities

Department of Finance

Upon the completion of the last calendar year, quarterly Cap-and-Trade Auctions (February, May, August, November), the Department of Finance (DOF) will make a final determination of the Greenhouse Gas Reduction Funds (GGRF) available for the Low Carbon Transit Operations Program (LCTOP) and notify State Controller's Office (SCO) of the amount of funds.

State Controller's Office

The SCO will prepare a list of eligible recipients and determine the appropriate allocation. The SCO will annually apply the current year's formula to available funds from the quarterly auction proceeds (provided by DOF) to determine each eligible recipient's share. During the FY 2015-2016 and each fiscal year thereafter, the SCO shall notify eligible recipients of the amount each will receive. The SCO will also be responsible for distributing the LCTOP funds to eligible recipients based on the list of projects approved by the California Department of Transportation (Caltrans) and the California Air Resources Board (CARB). Any unallocated funds in the award year will be added to the next year of appropriation.

California Air Resources Board

CARB will update and adopt the *Cap-and-Trade Auction Proceeds: Funding Guidelines for Agencies that Administer California Climate Investments*, Funding Guidelines when applicable after public review, comment and revision. Please refer to the following link for the most current Funding Guidelines: www.arb.ca.gov/cc-fundingguidelines. The Funding Guidelines include general guidance, recommendations for prioritizing investments to benefit Disadvantaged Communities (DAC)(s), Low-Income Communities, and general reporting requirements.

CARB is also responsible for developing the methodologies for quantifying and reporting of greenhouse gas (GHG) emissions reductions and other co-benefits. CARB will work with Caltrans to develop tools for recipient agency to quantify their projects GHG emissions reduction and other co-benefits. These tools will be reviewed annually for possible updates and revisions.

CARB is also responsible for coordinating with all GGRF programs to:

1. Manage the GGRF, in coordination with DOF, and work with SCO to distribute GGRF monies to administering agencies.
2. Review and comment on program guidelines when necessary.
3. Work with administering agencies to determine the eligibility of the projects submitted by the Lead Agency for funding.
4. Collect information on program status for the annual report to the Legislature and to provide program transparency.
5. Collect data from administering agencies for multiple annual reports.
6. Provide guidance to administering agencies to target investments to benefit Assembly Bill 1550 (AB 1550) populations and maximize benefits to DACs per Senate Bill 535 (SB 535) requirements.

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California Department of Transportation

In coordination with CARB, Caltrans is responsible for developing and updating the guidelines for this program, defining the criteria for project eligibility and reporting requirements as well as:

1. Establish and manage the schedule for the allocation process.
2. Provide assistance and guidance to local agencies in preparing their requests for funds.
3. Evaluate agencies' requests for funds, reviewing projects with CARB for their concurrence on the approval of projects.
4. Monitor the progress of projects through reporting requirements and communication with project's Lead Agency.
5. Ensure approved projects, where applicable, are benefitting and meeting the need(s) of AB 1550 Populations¹.
6. Conduct regular site visits and initiate audits as needed.
7. Review project completion through reports and documentation from project's Lead Agency.
8. Review and approve Letter of No Prejudice (LONP) when applicable.
9. Prepare program data and submit to CARB for the Legislature.
10. Prepare LCTOP reports to submit to CARB, in accordance with reporting requirements contained in Funding Guidelines. These reports may include but are not limited to: Annual Expenditure Record, Project Profile, End of Year Report, Bi-Annual Report, Project Closeout Report, and Project Outcome Reporting.
11. Maintain copies of project records for minimum of three years after the "Project Closeout" report or three years after the final project outcome report is submitted, whichever is later.

¹ As stated in CARB's 2018 Funding Guidelines, AB 1550 Populations include: disadvantaged communities, low-income communities, and low-income households. Disadvantaged communities must be identified in accordance with Health and Safety Code Section 39711. Low-income communities and low-income households are defined in Health and Safety Code Section 39713. However, SB 1119 (2018) waive these requirements for certain project types.

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Eligible Recipients

Eligible recipients are entities included in the list provided by the State Controller's Office (SCO) and are transportation planning agencies and transit operators that are eligible for State Transit Assistance (STA) Fund per PUC 99313 or 99314. SCO allocates 50% of funds to regional entities and 50% of funds to transit agencies. All recipient agencies, both lead and contributing, must comply with the California Air Resources Board (CARB) Funding Guidelines. The [Funding Guidelines](#) include requirements for reporting, recordkeeping and other activities designed to provide accountability and transparency.

Lead Agency

The Lead Agency is an eligible recipient of the Low Carbon Transit Operations Program (LCTOP) funds that is responsible for their project from request to final reporting along with the following tasks:

1. Submitting a completed Allocation Request annually during the open call for projects (including Allocation Request form, Quantification Methodology Tool, Funding Plan, Disadvantaged Communities (DAC)(s) and/or Low-Income Communities' Maps, etc.).
2. Submitting all required reporting including Semi-Annual Reports, Close-Out Reports, Expenditure Reports, and any outcoming reporting initiated by CARB.
3. Oversight and/or performance of all work from receipt of funding through completion of the project.
4. Establishing a bank account for LCTOP funds. If a separate account is not possible, the agency may show documents of a line item or subaccount dedicated to LCTOP funds.
5. Meeting all statutory DAC, low-income community, and/or low-income household requirements, where applicable.
6. Quantifying greenhouse gas (GHG) emission reductions per project and in accordance with CARB's Quantification Methodology Tool for LCTOP, available online at: www.arb.ca.gov/cc-quantification.
7. Expend funds on an approved project in a timely manner, expending all FY 18-19 LCTOP funds within four (4) years of project award. Lead agencies **cannot** expend LCTOP funds on cost incurred prior to LCTOP Award/Approval.
8. All project documentation including but not limited to: Allocation Request, Corrective Action Plans, Reports, Project Audits, Transportation Development Act Audits, Reassigning of GGRFs (Greenhouse Gas Reduction Fund) request, and any additional information needed in the event of an audit. Note: Please review the Reporting section for greater detail.
9. Comply with all applicable California Environmental Quality Act (CEQA), civil rights and environmental justice obligations under state and federal law.
10. Maintaining copies of project records for three years after the "Final Project" report or three years after the final project outcome report is submitted, whichever is later.
11. Attend annual Allocation Request Workshops, as well as **LCTOP Guidelines Workshops** held regionally by LCTOP staff.

Once a Lead Agency's project has been approved and authorized for funding, the SCO will send LCTOP funds directly to that Lead Agency on or before the close of the state fiscal year (June 30th). It is important that Lead Agencies ensure that the address provided is correct on the Allocation Request since that is where the funds will be sent.

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Contributing Sponsor

The Contributing Sponsor(s) is an entity that passes funds to the Lead Agency to support a project. The Contributing Sponsor(s) could be the regional entity (PUC 99313) passing their funds to a recipient agency within their region or a recipient agency (PUC 99314) passing their funds through to either a regional entity or a recipient agency within their region. If a Contributing Sponsor(s) has a DAC within its jurisdiction at least 50% of the transferred funds must be utilized within a DAC, and meaningfully address an important community need. The California Department of Transportation (Caltrans) is not responsible for tracking funding agreements (borrowing, loaning, delegating, relinquishing funds, etc.) between LCTOP, Lead Agencies and Contributing Sponsors(s). The Department of Transportation (Caltrans) will track allocation amounts to ensure funding is accurate per regional apportionment and track Contributing Sponsor(s) signature of agreement in order to pass their funds to the Lead Agency who will carry out the project requirements.

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Project Eligibility

The Low Carbon Transit Operations Program (LCTOP) was created to provide operating and capital assistance for transit agencies to reduce Greenhouse Gas (GHG) emissions and improve mobility, with a priority on serving disadvantaged communities (DAC)(s). Per **Public Resource Code 75230 (f) (1-3)**, moneys for the program shall be expended to provide transit operating or capital assistance that meets **any** of the following:

1. Expenditures that directly enhance or expand transit service by supporting new or expanded bus or rail services, new or expanded water-borne transit, or expanded intermodal transit facilities, and may include equipment acquisition, fueling, and maintenance, and other costs to operate those services or facilities.
2. Operational expenditures that increase transit mode share.
3. Expenditures related to the purchase of zero-emission buses, including electric buses, and the installation of the necessary equipment and infrastructure to operate and support these zero-emission buses.

The California Department of Transportation (Caltrans), in coordination with California Air Resources Board (CARB) will review Allocation Request to determine if the project supports at least one of the above listed criteria, decreases GHG emissions, and benefits a low-income community and/or low-income residents and/or a DAC, if applicable. Recipients have the ability to fund “new or expanded services” with single or multiple years of LCTOP funding as long as the agency is not **supplanting** funds. Within the Funding Plan recipients must certify that each project seeking LCTOP moneys does not supplant another source of funds and that the project will be fully funded once LCTOP funds are awarded. **Any request or expenditure identifying a phase prior to construction will likely be ineligible for the program. In addition, projects must start on or after Lead Agency receives LCTOP funds from the State Controller’s Office. The program is not based on reimbursements, Lead Agencies cannot expend LCTOP funds on costs incurred prior to LCTOP award/approval.**

New or Expanded Service

New or expanded bus or rail services, new or expanded water-borne transit, or expanded intermodal transit facilities is considered new if it is within **five (5) years** from the date of its implementation. This is in alignment with the Federal Transit Administration’s guidance for the Congestion Mitigation and Air Quality (CMAQ) “start-up” assistance. Akin to CMAQ funding, LCTOP will provide an adequate incentive and flexibility while not creating a pattern of excessive or even perpetual support. When applying for LCTOP funds under this criterion, the intent is to help start a new viable service that can demonstrate GHG emission reductions. As these projects become part of the baseline transportation network, other funding sources should supplement and ultimately replace LCTOP funds for operating assistance; since over time, these projects will no longer represent additional net GHG emission reductions.

Greenhouse Gas Reduction Criteria

CARB and Caltrans will continue to require agencies to **quantify** the project GHG emission reductions by using the [CARB Quantification Methodology Tool](#), available on line and integrated into the LCTOP Allocation Request. Agencies will need to utilize this tool if they complete a Corrective Action Plan (CAP), Close-Out Report, Semi-Annuals or to change their FY 15-16 or later project.

LCTOP FY 2018-2019 Guidelines

Investments to Benefit Priority Populations

Guiding Legislation

Senate Bill 535 (SB 535) required that Greenhouse Gas Reduction Funds (GGRF) be invested in and benefit Disadvantaged Communities (DAC)(s). SB 535 also required the California Environmental Protection Agency (CalEPA) to identify DAC's based on geographic, socioeconomic, public health, environmental hazard criteria and create a tool to identify the DAC. Criteria included but is not limited to:

1. Areas disproportionately affected by environmental pollution and other hazards that can lead to negative public health effects, exposure, or environmental degradation.
2. Areas with concentrations of people that are of low income, high unemployment, and low levels of education attainment.

CalEPA created CalEnviroScreen 3.0, a tool that assesses all census tracts in the State to identify areas disproportionately affected by multiple types of pollution and areas with vulnerable populations.

Assembly Bill 1550 (AB 1550) modified existing legislation for DAC benefits, and created additional requirements for low income communities and low-income residents. These requirements are as follows:

- 5 % of available funds must be allocated to projects that benefit low-income households or to projects located within, and benefiting individuals living in, low income communities.
- 5 % of available funds must be allocated to projects that benefit low-income households that are outside of, but within a ½ mile of, disadvantaged communities, or to projects located within the boundaries of, and benefiting individuals living, low-income communities that are outside of, but within a ½ mile of disadvantaged communities.

The Lead Agency will document and select the appropriate information to show their project meets all DAC and AB 1550 Population Requirements by:

- Be physically located in an AB 1550 community census track or benefit a low-income household; and
- Meaningfully address an important community or household need; and
- Provide direct, meaningful and assured benefits to an AB 1550 population, consistent with the criteria in Appendix 2.A of the California Air Resources Board (CARB) Funding Guidelines (also provided in [Appendix A](#)).

Priority Populations

Maps identifying a DAC and or low-income community are available at:

<http://www.calepa.ca.gov/EnvJustice/GHGInvest/> and a “look-up” tool and list of Housing and Community Development’s “low-income” threshold by county and household size are available at www.arb.ca.gov/ccl-communityinvestments. The Lead Agency will provide a map or maps depicting their project in relation to the AB 1550 Population; identify the latitude and longitude of their project in the allocation request and identify DAC/low-income project requirements in the publicly approved project Board Resolution.

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Addressing an Important Need for a Community or Household

Applicable projects shall specify how the investment will result in benefits that meaningfully address an important community or household need(s).

Compliant with CARB's Funding Guidelines, project leads must use at least one of the four approaches as described in Step 2 of the criteria tables ([Appendix A](#)) to determine community or household need. These approaches include:

- A. **Recommended Approach:** Host community meetings, workshops, outreach efforts, or public meetings as part of the planning process to engage local residents and community groups for input on community or household needs, and document how the received input was considered in the design and/or selection of projects to address those needs;
- B. **Recommended Approach:** Receive documentation of support from local community-based organizations and/or residents (e.g., letters, emails) identifying a need that the project addresses and demonstrating that the project has broad community support;
- C. **Alternative Approach:** Where direct engagement is infeasible, look at the individual factors in CalEnviroScreen that are most impacting an identified disadvantaged or low-income community (i.e., factors that score above the 75th percentile), and confirm that the project will reduce the impacts of at least one of those factors; or
- D. **Alternative Approach:** Where direct engagement is infeasible, refer to the list of common needs for priority populations in CARB's Funding Guidelines Table 5 and confirm that the project addresses at least one listed need.

The California Department of Transportation (Caltrans) and CARB encourage all agencies to conduct outreach to the Priority Populations they serve and fund projects that target the specific needs of these communities to the maximum extent possible. The Low Carbon Transit Operations Program (LCTOP) funds should result in benefits that either address an important need commonly identified by DAC and/or low-income residents or address a key factor that caused the area(s) to be identified as a DAC or low-income community, as described above. Ideally, the important needs will be identified during the outreach process. Please refer to CARB's Funding Guidelines for a detailed description of the needs identification process.

To assist LCTOP and eligible agencies in the engagement process, a [Technical Assistance Contract](#) was awarded to Estolano Le Sar Advisors and Nelson Nygaard Consulting Associates, as a pilot program. This Technical Assistance Pilot Project consist of statewide workshops designed to help facilitate better communication and possible prioritize project selection from the community. A best practices document will be developed to help further these efforts across the State and meet the goals of the California Climate Investments (CCI). For further inquiries related to priority populations and Disadvantaged Communities, please contact our Priority Populations Liaison, Courtney Williams at Priority.Populations@dot.ca.gov. This work will help bridge possible communication gaps and help foster positive relationships that are maximizing benefits to priority populations.

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Providing a Benefit to Residents of AB 1550 Communities

To maximize benefits to DACs, transit agencies receiving funding under LCTOP whose service areas include a DAC, as identified in Section 39711 of the Health and Safety Code (CalEnviroScreen), shall expend at least 50% of the total funds received on projects **within** a DAC that provide benefit to individuals that live in the DAC. If a recipient agency transfers funds to another agency, both agencies need to be aware of the applicable DAC requirements and fully comply. For example, if a recipient agency that contains a DAC transfers their funds, at least 50% of the transferred funds must be spent on a project within, and benefiting, a DAC. The Lead Agency must use the funds accordingly and all expenditures must be tracked and reported including the DAC benefit(s).

Transit agencies should design projects to avoid substantial burdens, such as physical or economic displacement of low income households and small businesses and minority or women-owned businesses, or increased exposure of low-income households to toxics or other health risks. Lead agencies are encouraged to engage community members and community advocates in identifying potential substantial burdens.

There are a variety of benefits the project could identify with. To determine how the project will provide a benefit to the Priority Populations (see Appendix A) developed by CARB; Review to ensure the project is meeting at least one of the identified benefit criteria. Benefits for example include, but are not limited to: improving transit connectivity, improving connectivity between travel modes, creates or improves infrastructure or equipment to reduce air pollution, project improves transit stations or stops within an AB 1550 community to increase safety and comfort, etc.

Senate Bill 1119 (2018)

Senate Bill 1119 (SB 1119) was passed and signed into law September 2018. This legislation intention is to streamline LCTOP project selection and meet the benefit criteria outlined above for certain types of projects. SB 1119 states “For recipient transit agencies whose service areas include disadvantaged communities, as identified pursuant to Section 39711 of the Health and Safety Code, at least 50 percent of the total moneys received pursuant to this chapter shall be expended on projects or services that meet the requirements of subdivisions (d), (e), and (f) and benefit the disadvantaged communities, as identified consistent with the guidance developed by the State Air Resources Board pursuant to Section 39715.”

The requirement of the paragraph above is waived if the recipient transit agencies expend the funding provided pursuant to this section on any of the following:

- A. New or expanded transit service that connects with transit service serving disadvantaged communities, as identified in Section 39711 of, or in low-income communities, as defined in paragraph (2) of subdivision (d) of Section 39713 of, the Health and Safety Code.
- B. Transit fare subsidies and network and fare integration technology improvements, including, but not limited to, discounted or free student transit passes.
- C. The purchase of zero-emission transit buses and supporting infrastructure.

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Expenditures made pursuant to paragraph above shall be deemed to have met all applicable requirements established pursuant to Section 39713 of the Health and Safety Code. As mentioned, in the Introduction, Caltrans staff encourages Lead Agencies submitting an Allocation Request to continue to document the *direct, meaningful and assured benefit to the priority populations* as defined in AB 1550 and documented by census tracts from CalEnviroScreen 3.0. The methods to do so are outlined in the Allocation Request with the inclusion of the criteria listed above as selection types. With lead agencies documenting the benefits to the priority population, Caltrans will strive to meet CARB Investment percentages for the Priority Populations.

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Allocation Request and Award Requirements

This section will highlight how an agency should request their allocation and the requirements for the awarded projects that the Lead Agency and Contributing Sponsor(s) must comply with. **Please Note:** The Allocation Request will be treated in accordance with Public Records Act requirements and that certain information, subject to those requirements, may be publicly disclosed. To further support these requirements, the initial Allocation Requests and Awarded Project List are posted annually to the Low Carbon Transit Operations Program (LCTOP) Website. Technical assistance is available directly from LCTOP Staff to assist lead agencies in preparing their allocation packets. LCTOP Staff will also hold multiple workshops on how to complete the Allocation Request for Lead Agencies throughout the State and post sample project types for reference. Please check the LCTOP Website or with LCTOP Staff for workshop dates and samples.

Allocation Request Form

The Lead Agency must submit to the California Department of Transportation (Caltrans) an Allocation Request for the proposed project it intends to fund with the LCTOP project. The LCTOP Allocation Request is the basis for Caltrans' verification that the project is consistent with LCTOP requirements and is available online at: <http://www.dot.ca.gov/drm/splctop.html>. The Allocation Request consists of an Excel document (Allocation Request Form) with multiple worksheets, two Word Documents Read Me and Signature Pages (Authorized Agent and Certifications and Assurances) and required project maps. Within the Allocation Request form, agencies shall provide project information, project sponsors, detailed description of projects major benefits, project schedule, etc. This also includes a detailed account of the project funding with an itemized list of all fund sources depicting the full project costs. This will detail a break-out of each fiscal year of LCTOP contributions. To ensure that LCTOP expenditures are **not supplanting** existing transit funding sources, a recipient agency receiving LCTOP funds shall certify that the funds will not be used to pay for existing expenditures. Caltrans may audit recipient agencies to determine whether LCTOP funds are being used to supplant funding. If Caltrans determines that an agency is in fact supplanting with LCTOP funds, agencies will be subject to an adverse action.

A complete Allocation Request must be submitted annually in order to receive an agencies apportionment. This will allow the State to release funds annually to the Lead Agency's bank account where funds could potentially accrue interest. Apportionments will not be held per eligible agency into the following year and should be expended according to the LCTOP Guidelines.

Any Contributing Sponsor(s) must sign the Allocation Request form indicating the dollar amounts to be contributed, or provide a signed letter detailing this information. If there are multiple Contributing Sponsors, each sponsor must sign the Allocation Request indicating their respective portion of funds being contributed or submit a signed letter with the required information as described above. If an eligible agency cannot use their apportionment for any reason, please consider the Possibility of contributing to an eligible agency and project.

Authorized Agent Form

The executive authority of an eligible recipient of LCTOP funds must submit to Caltrans a signed and dated Authorized Agent Form that is Board approved, identifying the agent(s) given authority to act for

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the executive authority to submit the Allocation Request form and all reporting documents. If there is a change in the Authorized Agent(s), the eligible recipient must submit a new form. This form is required even when the Authorized Agent is the executive authority. The form is available online at:

<http://www.dot.ca.gov/drmt/splctop.html>.

Certifications and Assurances Form

The Authorized Agent for the Lead Agency must sign and submit, with their Allocation Request, a self-certification that he/she will meet all requirements of the LCTOP Guidelines, including all reporting deadlines. Only Allocation Requests with a signed Certifications and Assurances document will be accepted. This form must be Board approved and is available online at:

<http://www.dot.ca.gov/drmt/splctop.html>

LCTOP Benefits Calculator Tool (Quantification Methodology Tool)

Allocation Requests must use the California Air Resources Board (CARB) approved Benefits Calculator Tool (QM) to calculate the estimated greenhouse gas (GHG) emission reductions associated with the proposed LCTOP project. This tool will provide a uniform approach to quantify GHG emission reduction in metric tons of carbon dioxide equivalent. All projects must net a positive emissions reduction in order to qualify for approval. This tool will use project level data specified within the Allocation Request for estimated ridership increases and corresponding Vehicle Miles Traveled (VMT) reductions. The LCTOP Benefits Calculator Tool also estimates the following selected co-benefits and key variables from LCTOP projects: reductions in criteria and toxic air pollutants (in tons), including diesel particulate matter (PM), nitrogen oxide (NOx), reactive organic gases (ROG), and fine PM less than 2.5 micrometers; passenger VMT reductions (in miles); fossil fuel use reductions; renewable energy generated (in kWh); fossil fuel energy use reductions (in kWh); travel cost savings (\$); and energy and fuel cost savings (\$). LCTOP Staff will integrate the Benefits Tool into the Allocation Request for a streamlined approach to submit project requests, once finalized it will be posted the LCTOP website. Please find the stand alone tool and corresponding documents (PDF instructions and EXCEL based tool) online at: www.arb.ca.gov/cci-quantification.

CARB Job Co-Benefit Assessment Methodology

Allocation Requests must utilize the CARB Job Co-Benefit Assessment Methodology to estimate jobs supported by California Climate Investments projects. A job is defined as a full-time equivalent (FTE) employment of one person for one year. These jobs supported by an LCTOP project include direct, indirect, and induced employment. This tool will provide a uniform approach to model jobs support for all California Climate Investments. LCTOP staff is working to integrate this tool into the Allocation Request to streamline the submittal process. The tool is still in draft form and can be found as a stand-alone tool at: www.arb.ca.gov/cci-cobenefits.

Board Resolutions

The Authorized Agent, Certifications and Assurances Board Resolution, and Project Board Resolution may be combined into **one** Board Resolution. The resolution must include a description of the project, the amount of LCTOP funds requested, and identification of any disadvantaged communities (DAC)(s) or other AB 1550 requirements and a list of Contributing Sponsors, if applicable. This resolution is crucial and demonstrates the project was publicly reviewed. LCTOP staff strongly recommends utilizing the sample Project Board Resolution to ensure all language is captured. A Lead Agency may combine

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multiple LCTOP Projects on one resolution, but each project must be listed separately or bulleted with the allocated dollar amounts. A sample is available at: <http://www.dot.ca.gov/drmt/splctop.html>.

Bank Account

Once an Allocation Request is approved, the State Controller's Office (SCO) will release the allocation amount to the Lead Agency. The Lead Agency must deposit funds into a dedicated bank account that will hold only LCTOP funds. If a separate account is not possible, the agency may show documents of a line item or subaccount dedicated to LCTOP funds. When the agency submits their Semi-Annual Reports, they are required to submit a copy of their most recent bank statement.

Fund Roll-Over

If the agency is not prepared to initiate a project in the current fiscal year, they may roll funds over into a subsequent fiscal year, accruing a maximum of 4 years of LCTOP funds for a more substantial project. Approved projects must also be completed, and **funds expended within the subsequent 4 years**.

If the Lead Agency intends to roll over funds or hold funds for a more substantial project, a **full Allocation Request must be submitted in each year**. Unrequested funds **will not** be held by the State for a future request. The request shall list any prior year's funds, the current year funds and the estimated additional year(s) so the total LCTOP fund use is documented. After the project is fully reviewed and approved, the SCO will release the requested funds to the Lead Agency to be deposited in the dedicated LCTOP bank account. Upon receipt of the final year's funding, whether it's for 4 years or less, the agency will have **six months** to begin the project.

Allocation Request/Project Award

Allocation Requests will be awarded if they meet all criteria and after extensive review from LCTOP and CARB Staff. LCTOP Staff will review submitted Allocation Requests and contact lead agencies as needed for clarification or revisions. If CARB Staff have comment/concerns, LCTOP Staff will work with lead agencies to make necessary revisions. If lead agencies do not make necessary corrections to Allocation Request, the project will not be awarded. LCTOP Staff will document why allocation requests are not moving forward for award. After concurrent review and approval with CARB Staff, LCTOP Staff will send a project list to the State Controller's Office for award. The SCO will announce the awarded projects and transmit direct payment to lead agencies. Following SCO's announcement, Caltrans will post a press release and send award letters to lead agencies. This award letter will detail the project information and LCTOP assigned project identification number. Lead Agencies will use this number for the life of the project and outcome reporting if applicable.

Expending Funds

Lead Agencies must expend funds on approved projects in a timely manner and must expend all LCTOP funds within 4 years of project award (16-17 and beyond). This changed from the 14-15 and 15-16 funding years where funds needed to be fully expended within 2 and 3 years. Lead Agencies **cannot** expend LCTOP funds on costs incurred prior to LCTOP Award/Approval.

Reassigning Funds to a New or Existing Eligible LCTOP Project

Lead Agencies may find that they have surplus funds at the completion of an approved LCTOP project or they may determine the funded LCTOP project is no longer a high priority or feasible. As a result, the Lead Agency may apply to reassign funds to a different approved LCTOP project, and a Corrective Action

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Plan (CAP) for the original project must be submitted. If the project is complete and there are surplus funds, an agency should include the proposed use for the surplus funds as part of the required Close-Out Report. If use of surplus funds has not yet been determined, Caltrans Staff shall treat the project as on-going (incomplete) until the agency identifies an eligible LCTOP project to receive the surplus funds. If the agency elects to reprioritize eligible projects and redirect approved LCTOP funds to an alternate project, a CAP for the original project must also be submitted. The alternate project must be approved by Caltrans, with concurrence from CARB. If the alternate project is not a previously approved LCTOP project, the Lead Agency must submit a completed Allocation Request during the next call for projects and comply with all the requirements.

Reassigning Funds to a [NEW](#) Eligible LCTOP Project:

1. If the reassigned funds have been accrued from a project within a DAC, the reassigned funds may only be applied to another Assembly Bill 1550 (AB 1550) Populations project. These projects must meet legislative requirements as stated in AB 1550 or Senate Bill 1119 (SB 1119) regardless of previous qualification. Please note that funds being resigned are tied to the funding year of award, as they are tied to that year's legislation.
2. The Allocation Request for the reassigned funds should be treated the same as an Allocation Request submitted for new funding, and all required documents must be submitted in the same manner.
3. The new project must expend the funds within the time limits of the original allocation of funds.
4. The new Allocation Request must have all the authorized signatures of the same agencies as the original project, indicating all Contributing Sponsors are aware of the new use of their contributed funds.
5. **The Lead Agency may not expend any funds on the new project before receiving written approval from Caltrans.**
6. **Reassigning funds to a NEW eligible LCTOP project may only occur during a call for new projects.**

Reassigning Funds to an [EXISTING LCTOP](#) Project:

1. The Lead Agency must submit a CAP for the project that will no longer be using LCTOP funds. The justification should list the project that will receive the reassigned funds.
2. An additional CAP is to be submitted for the existing approved LCTOP project receiving the reassigned funds. This CAP should list the original fund amounts and the revised amounts based on the transfer of funds following the steps listed above.
3. The reassigned funds must be expended within the time limits of the original allocation of funds.
4. If there are any Contributing Sponsors to the reassigned funds, the Lead Agency must have sign-off from the Contributing Sponsor for the change in use of their funds, so they are aware of the use of their funds. This may be documented by adding signature lines to the CAP or including a signed letter from the contributors indicating agreement of the use of their funds.
5. If Caltrans staff determines an agency has a pattern/history of reassigning the same funds multiple times, the agency may be placed on the list of high risk project leads and could be subject to a spot audit (see section on spot audits).

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Agencies who fail to submit revisions made to the CAP as requested by Caltrans staff and/or are delinquent in other required reports and submittals, **will not** receive additional allocations of LCTOP funds until all delinquent items have been submitted and approved.

Interest Earned

Interest on LCTOP funds must be used in the same manner as the principal. Interest earned must only be used for approved LCTOP projects. If the interest has been accrued from a project in a DAC, the interest may only be applied to another DAC project. If the project costs exceed the amount on the approved Allocation Request, any interest earned may be applied to the project. The Lead Agency must first submit a CAP and receive Caltrans' approval of that CAP before any interest earned may be applied to the project. Interest remaining after a project closeout must be applied to another approved LCTOP project. Any unused interest not applied to a current project should be applied to the next Allocation Request submitted and used prior to or along with, the allocation of additional funds. The LCTOP staff will inquire about the status of unused interest every six months until said interest earned is exhausted.

Letter of No Prejudice

A Lead Agency may apply to Caltrans for a Letter of No Prejudice (LONP) for an eligible expenditure under LCTOP. Upon receipt of the LONP request, Caltrans will have 45 days to review and approve/reject said documentation. Caltrans will thoroughly review the LONP to ensure the agency is not proposing to supplant funds. The LONP is necessary as LCTOP provides upfront project funds. If approved by Caltrans, the LONP shall allow the Lead Agency to expend its own money for the project and be eligible for future reimbursement from moneys available for the program. The amount expended shall be reimbursed by the State from funds available to the program if all the following conditions are met:

1. The project or project component for which the LONP was requested has commenced and the regional or local expenditures have been incurred.
2. The expenditures made by the Lead Agency are eligible expenditures under the program. If the expenditures made by the Lead Agency are determined to be ineligible, Caltrans has no obligation to reimburse those expenditures.
3. The Lead Agency complies with all legal requirements for the project, including the requirements set forth by the California Environmental Quality Act (CEQA).
4. There are funds in the Greenhouse Gas Reduction Fund (GGRF) designated for the program that are sufficient to make the reimbursement payment.

The Lead Agency and Caltrans shall enter into an agreement governing the potential reimbursement. The timing and final amount of the reimbursement shall be dependent upon the terms of the agreement and the availability of funds in the GGRF for the program.

Please be advised that LCTOP funding is not guaranteed and fluctuates per quarterly auction. The Lead Agency should calculate the estimated project GHG emissions reduction to ensure final project approval by CARB and Caltrans.

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Compliance with CEQA, Civil Rights and Environmental Justice

Section 75231 (a) (3) of the Public Resources Code *“The recipient transit agency complies with all applicable legal requirements for the expenditures, including the requirements of the California Environmental Quality Act (Division 13 (commencing with Section 21000))[sic], and civil rights and environmental justice obligations under state and federal law. Nothing in this section shall be construed to expand or extend the applicability of those laws to recipient transit agencies.”* Currently all transit agencies must comply with these requirements and provide a requested approved Title VI plan. Within the Allocation Request, lead agencies must document when their Title VI plan was approved by Federal Transit Administration and provide a link to the plan. Most capital projects, if not all, should be construction ready and therefore have previously gone through the CEQA requirements. Caltrans also provides guidance and support for public agencies in the Environmental Justice and Title VI Program page: <http://www.dot.ca.gov/hq/tpp/offices/ocp/ejandtitlevi.html>.

LCTOP Annual Calendar

Allocation Request Schedule:	
Caltrans posts LCTOP Guidelines FY 2018-2019	January 2019
Allocation Request Workshops: <ol style="list-style-type: none">1. <u>Tuesday January 22, 2019 10AM-12PM</u> Metropolitan Transportation Commission 375 Beale Street, San Francisco CA 941052. <u>Tuesday January 29^h, 2019 10AM-12PM</u> Visalia Council Chambers 707 W. Acequia AVE., Visalia CA 932913. <u>Thursday January 31, 2019 10AM-12PM</u> San Joaquin Regional Transit District 2849 E. Myrtle Street, Stockton CA 952054. <u>Friday February 8^t, 2019 10:30AM-12:30PM</u> City of Gardena 13999 S. Western Avenue, Gardena, CA 902495. <u>Thursday February 21, 2019 9AM-11AM</u> Omnitrans 1700 West Fifth Street San Bernardino CA 924116. <u>Wednesday February 27th, 2019 10AM-12PM</u> Butte County Association of Governments 326 Huss Drive, Suite 100, Chico CA 95925	January 2019- February 2019
SCO notifies agencies of available funding for the fiscal year	January 2019*
Transit agencies submit Allocation Requests to Caltrans	March 2019*
Caltrans and CARB approve list of projects and submit to SCO	Mid-June 2019*
SCO releases approved project amounts to recipients	By June 30, 2019*

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Reporting Schedule:	
Semi-Annual Report due to Caltrans (on data October 1 - March 31)	May 15 th
Semi-Annual Report due to Caltrans (on data April 1 - September 30)	November 15 th
*Subject to Change	

LCTOP Allocation Request Submittal

The following documents are required and must be mailed as a hard-copy to Caltrans. This includes:

- Allocation Request Form
- Signed Authorized Agent Form
- Signed Certifications and Assurances
- Signed Allocation Form
- Approved Board Resolution
- Jobs Support Modeling Tool

Addressed to:

LCTOP Program
California Department of Transportation
Division of Rail and Mass Transportation, MS #39 P.O. Box 942874
Sacramento, CA 94274-0001

In addition, a scanned copy of the completed request and Excel documents of the Allocation Request Form, are **required** to be e-mailed to LCTOPcomments@dot.ca.gov. **One Allocation Request per email** to be sent by the Lead Agency.

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Reporting Obligations

All programs funded by the Greenhouse Gas Reduction Fund (GGRF) must report biannually. The California Department of Transportation (Caltrans) must complete and submit documentation to California Air Resources Board (CARB) who will then compile all program information and submit reports to the Department of Finance (DOF) who will then finalize the report to the legislature. This section will highlight all of the reporting requirements that Caltrans and transit agencies (Lead Agency) must complete in order for CARB to report accurately.

Annual Expenditure Record (Caltrans)

Per the 2018 CARB Draft Funding Guidelines, Caltrans must complete and maintain an Expenditure Record and Attestation Memorandum. The Attestation Memorandum must be signed by the Agency Secretary and Department Director (or equivalent) affirming that the Expenditure Record was prepared according to the requirements of Senate Bill 1018 (SB 1018) and the 2018 Funding Guidelines. An Expenditure Record is prepared for a program, not for individual projects. It provides elements that describe the proposed use of monies and must be submitted prior to the expenditure of those monies for projects. The Expenditure Record is a critical first step in the tracking and reporting process to ensure that all California Climate Investments (CCI) meet statutory requirements and further the purposes of Assembly Bill 32 (AB 32) and related amendments. The Expenditure Record must be updated, as outlined in CARB's Funding Guidelines, to accurately reflect the Low Carbon Transit Operations Program (LCTOP) design and implementation, as it serves as a valuable tool for maintaining accountability throughout the life of the projects funded by the appropriation.

Semi Annual Report (Caltrans)

Caltrans will report semi-annually to CARB to ensure data is submitted to the DOF. DOF will then submit the Semi-Annual reports to the Legislature. The report will provide a status of CCI projects and the outcomes of those projects. In addition, the Semi-Annual Reports describe how Caltrans met the investment minimums required under Assembly Bill 1550 (AB 1550) and Senate Bill 535 (SB 535).

The Semi-Annual Reports will include LCTOP specific information compiled by Caltrans that would include: agency and program description, program schedule, public meetings, solicitation process, program financial status, benefits to AB 1550 populations, jobs support criteria, and a description of the co-benefits provided by LCTOP. The project level information, compiled by Caltrans from approved allocation requests and broken into sections: "Selected Projects" (projects awarded but funds are being rolled over); "Awarded/Implemented" (projects expending funds within 6 months of award); Closeout (when a project is complete); "Jobs"; and "Project Outcome Reporting. Caltrans will report on project outcomes of 50% of LCTOP projects that received \$250,000 or more and are construction projects that are complete and transit service is operational; or vehicles(s) or equipment is operational. Project outcome reporting is not applicable for some project types that report all relevant information in the Project Closeout Report. The information that Caltrans and LCTOP staff will collect is outlined in CARB's 2018 Draft Funding Guidelines, starting on Page 55. The information will be gathered and compiled from all documentation submitted by the Lead Agency. Caltrans will submit the collected information into the California Climate Investments Reporting Transacting System (CCIRTS) on program implementation as well as individual projects. The information will be collected during the Semi-Annual reporting cycle

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on activities that occurred within that period. The reporting cycles cover December 1 through May 31 and June 1 through November 30. Submittals are due 30 days after the end of a reporting cycle.

Semi-Annual Progress Report (Lead Agency)

The project's Lead Agency is required to report semi-annually to Caltrans on the activities and progress of each approved and allocated project. The Lead Agency must ensure that activities funded from the auction proceeds are timely, within approved scope and cost, are reducing Greenhouse Gas Emissions (GHG), and are achieving the intended purpose for which they are to be utilized. The Lead Agency must notify Caltrans when the allocated LCTOP funds have been encumbered and must provide completed and signed Semi-Annual Reports every six months until an approved project is completed, and the project Close-Out Report has been submitted and approved.

Reports will cover information accrued from October 1st to March 31st and April 1st to September 30th. Reports will be due to Caltrans 45 days after the close of the first and third quarters. The due date for the first quarter report will be May 15th and the due date for the third quarter will be November 15th. The aforementioned dates are necessary for Caltrans to meet program reporting requirements.

The report consists of two sections, the "Semi-Annual Report" and the "Semi-Annual Itemized Expenditure Table." This report must contain accurate and up-to-date information on the progress of each project. Reports will only be accepted by Caltrans staff when determined to be complete and accurate. **Bank statements for March 31st or September 30th must be attached to the expenditure table.**

All projects are expected to begin work within **six months** of becoming fully funded. Should a project experience any delays, the cause of such delay must be reported on the Semi-Annual Report. If projects have not begun within six months of the project becoming fully funded, the report must include a clear description of the circumstances delaying the project which leaves no question that the circumstances were unforeseen, extraordinary, and beyond the control of the agency. The description must include information indicating specific steps the agency plans to take to keep the project on task. Any justification deemed inadequate by Caltrans staff will be questioned and the agency will be asked to provide further information. Should there be a major change, a full Corrective Action Plan (CAP) is required. Agencies with a project that is repeatedly delayed will be encouraged to submit a CAP to reassign the funds.

If the agency is accruing LCTOP funds over a period of two or more years, a single Semi-Annual Report will be required for the project instead of multiple Semi-Annual Reports. The Lead Agency will provide all Project ID # on the Semi-Annual Report. A bank statement will still be required to verify the receipt of each year of LCTOP funds and the establishment of the dedicated bank account. A copy of the bank statement will continue to be required, due concurrently with Semi-Annual Report requirements, until the project has started. Funding received in the first year may remain in the account until the second, third and/or fourth year funds are accrued and added to the account. At that time, the agency will have **six months** to begin the project.

All reports must reflect accurate and complete project information. Any incomplete or inaccurate reports will not be accepted and will be considered delinquent until submitted with corrections and/or additional information as requested by Caltrans staff. Agencies found to have submitted inaccurate information will be placed on the list of high risk agencies and could be subject to additional spot audits.

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Agencies, with delinquent reports will not receive further LCTOP allocations until reports have been received by Caltrans.

Corrective Action Plan (Lead Agencies)

To change an approved Allocation Request, including any changes to the original approved scope of work, schedule, or cost, the Lead Agency must first obtain approval from Caltrans by submitting a CAP. This must be done before funds can be applied to any use other than the current project's approved scope of work. Funds may not be used on an alternate project until the CAP has been submitted and approved. If the funds are being applied to an alternate project, it must have an approved LCTOP Allocation Request on file. The CAP must indicate any potential changes in the scope, approved funding amounts, and schedule. If the scope of work changes the type or level of benefits, the changes must also be reflected in the benefit description, with revised estimates of benefits listed. If there are significant changes to the project, a revised Quantification Methodology Tool may be requested to demonstrate a reduction in GHG emissions.

If the project schedule is being revised to reflect any delays or obstacles, an adequate justification must be given and the amended LCTOP project completion date must fall within the appropriate timelines. All CAPs must have the justification for change completed. If a justification is not deemed adequate by Caltrans staff, the agency will be asked to provide a revised justification before the CAP is approved. The project change may not move forward until Caltrans has approved the CAP.

If it is discovered that an agency has begun spending funds on a task or project outside the approved scope of work prior to submitting a CAP and prior to Caltrans approval of the CAP, the agency will be placed on the list of high risk. The State is entitled to recover any and all funds that are spent on ineligible expenses.

Upon receipt of the CAP, Caltrans has 30 days to review and approve/not approve the document. Agency may not proceed without Caltrans' approval of the CAP.

Close-Out Report (Lead Agencies)

Once a project has been completed, the Lead Agency must notify LCTOP staff by email or letter and submit a Close-Out Report within six months of completion. Please note, once an agency has received all LCTOP funding for a particular project, the project must be fully expended within four years (FY16-17 and after). The final project report includes:

1. Close-Out Report Form: Includes questions about actual project performance as it pertains to ridership increases, vehicles miles travelled (VMT) reductions and GHG emission reductions (utilizing the Quantification Methodology Tool from the year corresponding to the original Allocation Request). It will also include summarized information regarding benefits to DACs and/or other AB 1550 Populations (if applicable), and a summary of co-benefits for the project.
2. Final Project Itemized Expenditure Table: Complete this table and attach the latest bank statement from the LCTOP dedicated bank account.
3. Verification: Project completion as scoped must be verified. The Lead Agency will provide evidence of project completion, including photograph(s) of the completed project. Evidence of project completion can be satisfied by submitting the required photographs and one or more of the following; A copy of the final invoicing, punch list from the facility's final walk

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through and a copy of the title if the project is to procure a vehicle. This list includes a sample of what can be used to show evidence regarding completion of a project. Please contact LCTOP staff to discuss alternatives that may exist for your circumstances.

4. Savings/Interest: If the project has been completed with a savings or unspent interest, the report should indicate the amount of savings or interest and how those funds will be applied towards an approved LCTOP project. This should be done by submitting a CAP. LCTOP staff will inquire about the status of any outstanding cost savings every six months until said savings are exhausted. If the savings have been accrued from a project in a Disadvantaged Communities (DAC)(s) or low-income community, the savings may only be applied to another DAC or low-income community project.

Please ensure that expended interest and all other information in the final report are properly reported. Incomplete or incorrect reports will not be accepted and will be considered delinquent until corrections are provided. **Agencies with delinquent reports will not receive further LCTOP allocations until completed and/or corrected reports have been received by Caltrans.**

Project Outcome Reporting

Project outcome reporting is only required for a subset of projects. For LCTOP, projects that receive \$250,000 or more from GGRF will complete the report. Project Outcome Reporting is not applicable for:

- Limited-term operations of new and expanded transit services;
- Connectivity improvements; and
- Transit passes, vouchers, or reduced fares.

Project Outcome Reporting will begin when:

- Construction is complete and transit services is operations; or
- Vehicles(s) or equipment is operational.

The frequency and duration of Project Outcome Reporting will take place for 36 months. Caltrans staff will collect data at a minimum of once a year but may establish more frequent data collection requirements. Once data is collected from lead agencies completing Project Outcome reports, Caltrans will report to CARB. Caltrans will post the Project Outcome Reporting template to the website once finalized.

Project Audit

Annual audit of public transportation operators required under the Transportation Development Act (TDA), per PUC 99245, must include verification of receipt and appropriate expenditure of funds. Lead Agencies receiving LCTOP funds in a fiscal year for which a TDA audit is conducted must submit a copy of the audit to Caltrans by December 31st, six months after the close of the fiscal year (closes June 30th). Caltrans will make the audits available to the Legislature and the State Controller's Office (SCO). Lead agencies may request a 90-day extension from the December 31st deadline to March 31st. They must notify Caltrans in writing via e-mail or a formal letter. Project leads who fail to submit an expanded TDA audit documenting all LCTOP funding allocated to date will not receive future LCTOP allocations until the required document(s) have been submitted to Caltrans.

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On-Site Monitoring (Site Visits)

On-site monitoring can take place at any time at the discretion of Caltrans. On-site monitoring will be conducted, and some projects may have more specific questions or monitoring regarding specific issue(s) or function. Any evidence or information that supports the need for a compliance audit action or monitoring will be pursued by Caltrans. High risk lead agencies are likely to become the subject of a spot audit. Agencies or projects will be placed on the high-risk list for the following:

1. Delinquent with reporting requirements and or not providing documentation as stipulated in the LCTOP guidelines
2. Agencies with frequent errors or that have not conformed to the requirements of previous awards
3. Agencies engaged in multiple reassignments of funds
4. Projects with **0% progress** one year after allocation
5. Agencies suspected of supplanting funds and other special situations

Caltrans will select agencies each year and perform an extensive review of all LCTOP related information from the agency. If selected, an agency may be asked to provide additional documents pertinent to the LCTOP program and projects that have been funded. If inconsistencies are found, agencies will be provided an opportunity to correct those errors. If discrepancies are not corrected, the agency will not be eligible to receive future funding. Caltrans, could also select applicable projects for project outcome reporting. For example, LCTOP Staff would perform direct monitoring to collect project outcome data. Through these site visits, for example, visiting a completed shelter to ensure it is being managed and utilized. Following an On Site Monitoring or Site Visit from LCTOP Staff, the program manager will send a letter documenting the visit and any action items as discussed during the site visit.

Program Compliance

Agencies who do not meet program requirements are at risk of not receiving future LCTOP funds. Furthermore, agencies that do not meet GHG emission reductions, supplant funds, or do not deliver the agreed upon project, or expend funds within 4 years of receipt of the final allocation of funds, will be required to reimburse LCTOP funds.

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Appendix A Evaluation Criteria for Providing Benefits to Priority Populations

Project Type: Projects will provide incentives, infrastructure, or operational improvements that reduce vehicle miles traveled (e.g., improving bus or rail service, providing better bus connections to intercity rail, improving transit stops, encouraging people to shift from cars to transit, providing transit vouchers, linking active transportation to transit, increasing safety and mobility for transit users)
<i>Projects must satisfy the applicable criteria through Step 3 to be considered to provide direct, meaningful, and assured benefits to priority populations and count toward statutory investment minimums</i>
Step 1 – Identify the Priority Population(s).² Evaluate the project against each of the following criteria. Check all boxes that apply.
<p><u>Note:</u> For this project type, the project must be at least partially located within a disadvantaged or low-income community census tract. For projects that offer consumer-based incentives (e.g., vouchers, rebates, transit passes, free-fare days), the project location may be determined by the residence of the direct recipient. For projects that improve transit service or increase transit access along transit lines or corridors, at least one stop or station must be within a disadvantaged or low-income community census tract. For projects located at freight facilities or hubs, the freight facility or hub must be at least partially within a disadvantaged or low-income community census tract.</p> <ul style="list-style-type: none">A. Is the project located within the boundaries of a disadvantaged community census tract?B. Is the project located within the boundaries of a low-income community census tract?C. Is the project located outside of a disadvantaged community, but within ½ mile of disadvantaged community and within a low-income community census tract?D. Is the project located within the boundaries of a low-income household?
<i>If a project does not meet at least one of the qualifying criteria in Step 1, the project does not count toward statutory investment minimums and no further evaluation is needed. If the project meets at least one Step 1 criterion, continue the evaluation in Step 2.</i>

² An online mapping tool of identified disadvantaged communities and low-income communities, and a “look-up” tool list of “low-income” thresholds by county and household size are available at: <https://www.arb.ca.gov/ci-communityinvestments>.

LCTOP FY 2018-2019 Guidelines

Step 2 – Address a Need. *Identify an important community or household need and evaluate whether the project provides a benefit that meaningfully addresses that need.*

To identify a need that the project will address, agencies and/or applicants can use a variety of approaches:

- A. Recommended Approach: Host community meetings, workshops, outreach efforts, or public meetings as part of the planning process to engage local residents and community groups for input on community or household needs, and document how the received input was considered in the design and/or selection of projects to address those needs;
- B. Recommended Approach: Receive document of support from local community-based organizations and/or residents (e.g. letters, emails) identifying a need that the project addresses and demonstrating that the project has broad community support;
- C. Alternative Approach: Where direct engagement is infeasible, look at the individual factors in CalEnviroScreen that are most impacting an identified disadvantaged or low-income community (i.e., factors that score above the 75th percentile), and confirm that the project will reduce the impacts of a least one of those factors; or
- D. Alternative Approach: Where direct engagement is infeasible, refer to the list of common needs for priority populations in CARB's Funding Guidelines Table 5 and confirm that the project address at least one listed need. *(Also Appendix B of this document)*

Describe identified community or household need(s):

If the project addresses a community or household need as described in Step 2, proceed to Step 3. If the project does not address a community or household need, it will not count toward statutory investment minimums and no further evaluation is needed.

LCTOP FY 2018-2019 Guidelines

Step 3 – Provide a Benefit. Evaluate the project against each of the following criteria to determine if it provides direct, meaningful, and assured benefits to priority populations. The benefit provided must directly address the identified need

Project must meet at least one of the following benefit criteria:

- A. Project provides improved transit or passenger rail service for stations or stops within a disadvantaged or low-income community (e.g., new transit lines, more frequent service, greater capacity on existing lines that are nearing capacity, improved reliability, improved accessibility, bus rapid transit service);
- B. Project provides transit incentives to residents of a disadvantaged or low-income community or a low-income household (e.g.; transit vouchers, reduced transit fares, transit passes)'
- C. Project improves transit connectivity for residents at stations or stops in a disadvantaged or low-income community (e.g., network/fare integration, fare-system investments);
- D. Project improves connectivity between travel moves for vehicles or equipment that serves stations or stops in a disadvantaged or low-income community (e.g., bicycle racks on transit vehicles, better links between transit and active transportation);
- E. Project creates or improves infrastructure or equipment that reduces criteria air pollutant or toxic air contaminant emissions at a station, stop, or transit facility located in a disadvantaged or low-income community (e.g., rail electrification, zero-emission bus);
- F. Project creates or improves infrastructure or equipment that reduces criteria air pollutant or toxic air contaminant emissions or regular scheduled routes that are primarily within a disadvantaged or low-income community (e.g., rail electrification, zero-emission bus);
- G. Project provides increased access to shared-mobility transportation options for residents of disadvantaged or low-income community (e.g., vanpooling shuttles, ride-sharing, car sharing or bike-sharing);
- H. Project provides increased access to transit through advanced technology mobility options for residents of a disadvantaged or low-income community (e.g., smartphone application-based ride-sharing service);
- I. Project improves transit stations or stops within a disadvantaged or low-income community to increase safety and comfort (e.g. lights, shelters, benches).

If the project meets the criteria in Steps 1, 2, and 3, it will be considered as providing direct, meaningful, and assured benefits to priority populations and will be counted toward statutory investment minimums.

LCTOP FY 2018-2019 Guidelines

Appendix B Common Needs of Priority Populations

Public Health
<ol style="list-style-type: none">1. Reduce health harms (e.g., asthma) suffered disproportionately by priority populations due to air pollutants.2. Reduce health harms (e.g., obesity) suffered disproportionately by priority populations due to the built environment (e.g., provide active transportation, parks, playgrounds).3. Increase community safety.4. Reduce heat-related illnesses and increase thermal comfort (e.g., weatherization and solar energy can provide more efficient and affordable air-conditioning; urban forestry can reduce heat-island effect).5. Increase access to parks, greenways, open space, and other community assets.
Economic
<ol style="list-style-type: none">1. Create quality jobs and increase family income (e.g., targeted hiring for living-wage jobs that provide access to health insurance and retirement benefits with long-term job retention, using project labor agreements with targeted hire commitments, community benefit agreements, community workforce agreements, partnerships with community-based workforce development and job training entities, State-certified community conservation corps).2. Increase job readiness and career opportunities (e.g., workforce development programs, on-the-job training, industry-recognized certifications).3. Revitalize local economies (e.g., increased use of local businesses) and support California-based small businesses.4. Reduce housing costs (e.g., affordable housing).5. Reduce transportation costs (e.g., free or reduced cost transit passes) and improve access to public transportation (e.g., new services in under-served communities).6. Reduce energy costs for residents (e.g., weatherization, solar).7. Improve transit service levels and reliability on systems/routes that have high use by disadvantaged and/or low-income community residents or low-income riders.8. Bring jobs and housing closer together (e.g., affordable housing in transit-oriented development and in healthy, high-opportunity neighborhoods).9. Preserve community stability and maintain housing affordability for low-income households (e.g., prioritize projects in jurisdictions with anti-displacement policies).10. Provide educational and community capacity building opportunities through community engagement and leadership.
Environmental
<ol style="list-style-type: none">1. Reduce exposure to local environmental contaminants, such as toxic air contaminants, criteria air pollutants, and drinking water contaminants (e.g., provide a buffer between bike/walk paths and transportation corridors).2. Prioritize zero-emission vehicle projects for areas with high diesel air pollution, especially around schools or other sensitive populations with near-roadway exposure.3. Reduce exposure to pesticides in communities near agricultural operations.4. Greening communities through restoring local ecosystems and planting of native species, improving aesthetics of the landscape, and/or increasing public access for recreation.

LCTOP FY 2018-2019 Guidelines

[Appendix C Allocation Request](#)

Lead Agency Information

Name:			
Address:			
City, State Zip Code:			
County:			Regional Entity:
Agency Website:			
Approved Title VI (Date)*:			
Link to Agency's Approved Title VI Plan:			

*Please provide a copy of your FTA/Caltrans Approval Letter as an attachment to your FY18-19 LCTOP Allocation Request.

Allocation Request Prepared by	
Name:	
Title:	
Phone #:	
E-mail:	

Contact (if different then "Prepared by")	
Name:	
Title:	
Phone #:	
E-mail:	

Authorized Agent	
Name:	
Title:	
Phone #:	
E-mail:	

Legislative District Numbers						
Assembly*:						
Senate*:						
Congressional*:						

*if you have more Districts please provide an attachment

Project Summary

Name: <i>No more than 180 characters.</i>					
Description (Short): <i>No more than 370 characters.</i>					
Type:					
Sub-Type					
Total Years of Rollover:		Remaining years of Rollover:			
Start date (anticipated):		End date (anticipated):			
General Area (City/County):					
Specific Area (Lat-Long of the project in decimal degrees separated by a comma "," (e.g., 34.413775, -119.848624). For multiple locations, list each separated by a semicolon ";")					
Project Life - For capital projects, state the "Useful Life" of the project. For operation projects state the number of months service will be funded.					
Capital:		Operations:			
Funding:	99313:	99314:	Total:	\$0	
Approved LONP:		LONP Approval date:			

Funding Information

LCTOP Allocation Year	Prior	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23	Total
PUC 99313 Amount:		\$0					\$0
PUC 99314 Amount:		\$0					\$0
Total LCTOP Funds:	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other GGR Funds:							\$0
Other Funds:							\$0
Total Project Cost:	\$0	\$0	\$0	\$0	\$0	\$0	\$0

Lead Agency:	0	Amount:	PUC Funds Type:
Contact Person:	0		99313
Contact Phone #:	0		99314
Contact E-mail:	0		

Contributing Sponsor:		Amount:	PUC Funds Type:
Contact Person:			99313
Contact Phone #:			99314
Contact E-mails:			

Contributing Sponsor:		Amount:	PUC Funds Type:
Contact Person:			99313
Contact Phone #:			99314
Contact E-mails:			

Contributing Sponsor:		Amount:	PUC Funds Type:
Contact Person:			99313
Contact Phone #:			99314
Contact E-mails:			

Contributing Sponsor:		Amount:	PUC Funds Type:
Contact Person:			99313
Contact Phone #:			99314
Contact E-mails:			

Contributing Sponsor:		Amount:	PUC Funds Type:
Contact Person:			99313
Contact Phone #:			99314
Contact E-mails:			

Total FY 18-19 LCTOP Funding	\$0
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Supplanting Funds - Describe how the LCTOP funds will not supplant other funding sources.

Fully Funded Project - Provide a description of the status of all the funds to be used to completely fund this project.

Funding Plan

Proposed Total Project Cost								
Component	Prior	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24	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	\$0	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0

Low Carbon Transit Operations Program (LCTOP)								
Component	Prior	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24	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

Funding Source:								
Component	Prior	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24	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

Funding Source:								
Component	Prior	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24	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

Funding Source:								
Component	Prior	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24	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

Funding Plan

Funding Source:								
Component	Prior	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24	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

Funding Source:								
Component	Prior	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24	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

Funding Source:								
Component	Prior	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24	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

Funding Source:								
Component	Prior	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24	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

Funding Source:								
Component	Prior	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24	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

Project/Agency Information

Project Description - Describe the project using comprehensive overall project description regarding improvements to be made and/or increased level of service (include for operations projects number of trips, span, frequency improvements and number of days of operation; for capital projects include product specifications). *No more than 10 lines*.

Agency Service Area - Describe the project area including the city, town, community (rural, suburban, urban & demographics). *No more than 10 lines*.

Agency Service - Describe the service you provide and how the project plays into your overall operations plan. *No more than 10 lines*.

Agency Fare - Describe the fare structure for your system and how the project will affect that structure if at all.

Project/Agency Information (continued)

Project Costs - Describe the assumptions and process for how the projects costs were developed. *No more than 10 lines.*

Project Planning - Explain the planning process this project went through, including any public outreach/input, or worksho

Environmental Justice - Explain how your agency designed the project to avoid substantial burden on *any* low income disadvantaged community.

Project GHG Benefits

Greenhouse Gas Reductions - Describe qualitatively how this project will reduce greenhouse gas emissions. For example, expanded/enhanced transit service will improve headways thus making transit a more convenient option of transportation thus increasing ridership, reducing Vehicle Miles Traveled (VMT) and reducing GHG.

Greenhouse Gas Reductions - Please provide quantitative information requested below and explanation/support for the data provided.

	Value	Explanation
Year 1 (Yr1) - <i>First year of service, or year that capital improvements will be completed.</i>		
Year F (YrF) - <i>Final year that the service is funded or the final year of the capital improvements useful life.</i>		
Project Yr1 Ridership - <i>Estimated annual ridership contributed by the new service or capital improvement in Yr1.</i>		
Project F Yr. Ridership - <i>Estimated annual ridership contributed by the new service or capital improvement in YrF.</i>		
Adjustment (A) - <i>Adjustment factor to account for transit dependency. Default: 0.5 for local bus service and 0.83 for long distance commute service.</i>		
Trip Length (L) - <i>Length (miles) of average auto trip reduced or average passenger trip length (miles).</i>		
Project Useful Life	0	This is calculated based on the values above.
Total Project Ridership Increased	0	This is calculated based on the values above.
Total Project VMTs Reduced	0	This number is calculated based on the values above.
Estimated Total Project GHG (mtco2) Reduction:		This number is calculated based on the values from above and the QM-Tool tab.
LCTOP Emission Reductions /Total LCTOP Funds Requested		This number is calculated based on the values from above and the QM-Tool tab.

Project Benefits

Job Support Benefits (Refer to Read Me for more information)

Primary Project Activity <i>(select from drop down)</i>	
% of Project Budget Associate with Primary Activity	
Secondary Project Activity <i>(select from drop down)</i>	
% of Project Budget Associate with Tertiary Activity	
Secondary Project Activity <i>(select from drop down)</i>	
% of Project Budget Associate with Tertiary Activity	

Travel Cost Savings Benefits

	Value	Explanation
Standard Fare Cost for Project (\$/Trip)		
Reduced Fare Cost (\$/Trip)		
Transit Facility Parking Cost (\$/Trip)		
Avoided Parking Cost (\$/Trip)		
Avoided Toll Cost (\$/Trip)		

Transit Mode Share (increase mobility): Describe how this project will increase transit mode share (increase mobility).

Co-Benefits - Check all additional Benefits/Outcomes.

- | | |
|---|--|
| <p>_____ Improved Safety</p> <p>_____ Improved Public Health</p> <p>_____ Reduced Operating/Maintenance Costs</p> <p>_____ Increase System Reliability</p> <p>_____ Other Benefits</p> | <p>_____ Coordination with Educational Institution</p> <p>_____ College _____ Grades K-12</p> <p>_____ Promotes Active Transportation</p> <p>_____ Promotes Integration w/ other modes</p> |
|---|--|

Co-Benefits - Describe benefits indicated above and other benefits not listed.

Priority Populations Benefits

Does your Service Area have a Disadvantaged Community? <i>(as defined by SB 535)</i>	
Is the project located within the boundaries of a disadvantaged community census tract?	
Is the project located within the boundaries of a low-income community census tract?	
Is the project located outside of a disadvantaged community, but within 1/2 mile of a disadvantage community and within a low-income census tract?	
Is the project a new or expanded transit service that connects with transit service serving a disadvantaged communities?	
Is the project a transit fare subsidies or network and fare integration technology improvements, including, but not limited to, discounted or free student transit passes	
Is the project a purchase of zero-emission transit buses and/or supporting infrastructure?	

Identify the Project Census Tract(s) <i>(please use the 10-digit identification code) :</i>	
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Identify an important community or household need and evaluate whether the project provides a benefit that meaningfully addresses that need. <i>(For more information please review Read Me) :</i>	
Identify Specific Common Needs of Priority Populations <i>(if you select letter D. in question above):</i>	

Priority Populations Community Need: Describe, in detail the identified community need(s) and how the project meets the need(s), including the levels of community engagement.

Identify the Specific Priority Population Benefit:	
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DAC Benefit - Explain, in your own words, how the project will benefit Disadvantaged Community(ies) within your service area.

Low-Income Community or Low-Income Household Benefit - Explain, in your own words, how the project will benefit Low-Income Community(ies) or Low-Income Households within the project area.

Low-Income Community or Low-Income Household within 1/2 a mile of a Disadvantaged Community Benefit - Explain, in your own words, how the project will benefit Low-Income Community(ies) or Low-Income Households within the project area.

Amount funds to benefit a DAC: \$	
Amount funds to benefit Low-Income Households & Residents: \$	
Amount funds to benefit Low-Income Households or Resident within 1/2 mile of a DAC: \$	



California Air Resources Board
Benefits Calculator Tool for the
Low Carbon Transit Operations Program
California Climate Investments

Inputs	Required	Description
SECTION 1: This section is used to determine the quantification method and emission factors to use to estimate emissions.		
Project Type	0	
Quantification Method	#N/A	Automated
Type of Region		Yes
Region		Yes
Year 1 (Yr1)	0	Yes
Year F (YrF)	0	Yes
Quantification Period	0	Calculated
SECTION 2: This section is used to estimate the emission and cost reductions from displaced auto vehicle miles traveled (VMT).		
Service Type		Yes
Yr1 Ridership	0	Yes
YrF Ridership	0	Yes
Adjustment Factor (A)	0.00	Yes
Length of Average Trip (L)	0.00	Yes
Passenger VMT Reductions	#N/A	Calculated
GHG Emission Reductions	#N/A	Calculated
SECTION 3: This section is used to estimate the net emission reductions from new service or from the purchase of new zero-emission/hybrid vehicle(s).		
Vehicle Type		#N/A
Engine Tier		No
Hybrid Vehicle		#N/A
Fuel/Energy Type		#N/A
Project Specific Emission Factor		#N/A
Model Year		#N/A
Annual VMT		#N/A
Annual Fuel/Energy		#N/A
GHG Emissions	#N/A	Calculated

SECTION 4: This section is used to estimate the net emission reductions from vehicle replacement as a result of the proposed project.			
Additional GHG Reductions		#N/A	#N/A
Vehicle Type		#N/A	#N/A
Engine Tier		No	#N/A
Fuel/Energy Type		#N/A	#N/A
Model Year		#N/A	#N/A
Annual VMT		#N/A	#N/A
Annual Fuel/Energy		#N/A	#N/A
GHG Reductions	Not Applicable	Calculated	#N/A
SECTION 5: This section is used to estimate the net emission reductions from fuel/energy reductions as a result of the proposed project.			
Additional GHG Reductions		#N/A	#N/A
Vehicle Type		#N/A	#N/A
Engine Tier		No	#N/A
Fuel/Energy Type		#N/A	#N/A
Model Year		#N/A	#N/A
Annual Fuel/Energy		#N/A	#N/A
GHG Reductions	Not Applicable	Calculated	#N/A
SECTION 6: This section calculates the greenhouse gas (GHG) emission reductions achieved by the proposed project.			
Total Project GHG Reductions		Calculated	Total GHG emission reductions (MTCO ₂ e) from the project during the useful life.
LCTOP Project GHG Reductions		Calculated	The portion of GHG emission reductions attributable to funding from LCTOP; GHG emission reductions are prorated according to the level of program funding contributed from LCTOP and other CCI programs, as applicable.



California Air Resources Board
Benefits Calculator Tool for the
Low Carbon Transit Operations Program
California Climate Investments

Project Information		
Project Name		0
FY 2018-19 LCTOP GGRF Funds Requested (\$)	\$	-
Total LCTOP GGRF Funds (\$)	\$	-
Total GGRF Funds (\$)	\$	-
Non-GGRF Leveraged Funds (\$)	\$	-
Total Funds (\$)	\$	-
GHG Summary		
Total LCTOP GHG Emission Reductions (MTCO ₂ e)		
Total GHG Emission Reductions (MTCO ₂ e)		
Total GHG Emission Reductions per Total LCTOP GGRF Funds (MTCO ₂ e/\$million)		
Total GHG Emission Reductions per Total GGRF Funds (MTCO ₂ e/\$million)		



California Air Resources Board
Benefits Calculator Tool for the
Low Carbon Transit Operations Program
California Climate Investments

Project Name	0
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Co-benefits and Key Variables Summary	
	LCTOP GGRF Funds
Diesel PM emission reductions (lbs)	
NOx emission reductions (lbs)	
PM2.5 emission reductions (lbs)	
ROG emission reductions (lbs)	
Passenger VMT reductions (miles)	#N/A
Fossil fuel use reductions (gallons)	N/A
Fossil fuel energy use reductions (kWh)	N/A
Renewable energy generated (kWh)	N/A
Travel cost savings (\$)	N/A
Energy and fuel cost savings (\$)	N/A
	Additional California Climate Investments Program(s)
Diesel PM emission reductions (lbs)	
NOx emission reductions (lbs)	
PM2.5 emission reductions (lbs)	
ROG emission reductions (lbs)	
Passenger VMT reductions (miles)	#N/A
Fossil fuel use reductions (gallons)	N/A
Fossil fuel energy use reductions (kWh)	N/A
Renewable energy generated (kWh)	N/A
Travel cost savings (\$)	N/A
Energy and fuel cost savings (\$)	N/A
	Total California Climate Investments
Diesel PM Emission Reductions (lbs)	
NOx emission reductions (lbs)	
PM2.5 emission reductions (lbs)	
ROG emission reductions (lbs)	
Passenger VMT reductions (miles)	#N/A
Fossil fuel use reductions (gallons)	N/A
Fossil fuel energy use reductions (kWh)	N/A
Renewable energy generated (kWh)	N/A
Travel cost savings (\$)	N/A
Energy and fuel cost savings (\$)	N/A



California Air Resources Board

Benefits Calculator Tool for the Low Carbon Transit Operations Program

California Climate Investments

Total Full-time Equivalent Jobs Supported by Project Budget	
Total Full-time Equivalent Jobs Supported by Project GGRF Funds	
Full-time Equivalent Jobs Directly Supported by Project GGRF Funds	
Full-time Equivalent Jobs Indirectly Supported by Project GGRF Funds	
Full-time Equivalent Induced Jobs Supported by Project GGRF Funds	

Note:

It is not appropriate to directly compare the job estimates from this Job Co-benefit Modeling Tool to the GGRF project dollars. California Climate Investments facilitate greenhouse gas emission reductions and deliver a suite of economic, environmental, and public health co-benefits, including job co-benefits. A different mix of spending on materials, equipment, and labor is expected across various California Climate Investments project types and match funding arrangements. As such, some project types will support more jobs than others.

Project Location Information

#	ID	Name	Latitude	Longitude	Priority	Population
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						
14						
15						
16						
17						
18						
19						
20						
21						
22						
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