



LOW CARBON TRANSIT OPERATIONS PROGRAM FY 2019-2020 GUIDELINES



CALTRANS
DIVISION OF RAIL AND MASS TRANSPORTATION

LCTOP FY 2019-2020 Guidelines

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Executive Summary

The Low Carbon Transit Operations Program (LCTOP) is part of the California Climate Investments (CCI), a statewide initiative that puts billions of Cap-and-Trade dollars to work by 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, sustainable agriculture, recycling, and much more. At least 35% 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 since the beginning of 2015. LCTOP funds are distributed based on State Transit Assistance (STA) eligibility funds where 50% of the funds are designated to regional entities and the other 50% for transit operators. LCTOP was established 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 (DACs). 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 DACs.

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, GHG 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 projects that maximize public benefits for transit ridership, GHG 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).

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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 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 (DACs).

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 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 a minimum of 25% of GGRF funds into projects that are located within a DAC and benefiting individuals living in DACs.

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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.

Senate Bill 824

The California Legislature passed Senate Bill 824 (SB 824) in 2016, amending SB 862 to provide transit agencies with more flexibility in spending their allocation, allowing 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 DAC's; 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.

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- 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 continue to 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 tracts from [CalEnviroScreen 3.0](#).

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 year's 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's updated Funding Guidelines, will update the LCTOP Guidelines as necessary. Once the LCTOP Guidelines are updated and the 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 LCTOP 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's 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. Each fiscal year, the SCO shall post LCTOP apportionments on their [website](#) and Caltrans LCTOP staff will notify eligible recipients of the amount they are eligible to 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

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

The 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 the recipient agency to quantify their projects GHG emissions reduction and other co-benefits. These tools will be reviewed annually for possible updates and revisions.

The 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.

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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.

California Department of Transportation

In coordination with CARB, Caltrans is responsible for developing and updating the guidelines for the LCTOP 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 the 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 the 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 the 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. If an eligible agency cannot use their apportionment for any reason, please consider the possibility of contributing to an eligible agency and project. All recipient agencies, both the Lead Agency and Contributing Sponsor, 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 Outcome 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 must 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 19-20 LCTOP funds within four (4) years of project award. Lead agencies **cannot** expend LCTOP funds on cost incurred before LCTOP Award/Approval.
8. All project documentation including but not limited to: Allocation Request, Corrective Action Plans, Report, 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.

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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 **LCTOP Guideline Workshops and Allocation Request Workshops** held regionally by LCTOP staff.

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

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, 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 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 (DACs). 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 the 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 before construction will not be ineligible for the program. **In addition, projects must start within 6 months of receipt of LCTOP funds from the State Controller's Office, except identified rollover projects. The program is not based on reimbursements; therefore 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.

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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 online and integrated into the LCTOP Allocation Request. Agencies will need to utilize this tool to complete a Corrective Action Plan (CAP), Close-Out Report, Outcome Reporting or to change an approved project.

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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 (DACs). SB 535 also requires the California Environmental Protection Agency (CalEPA) to identify DACs 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 educational attainment.

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.

CalEPA and staff held community meetings and a webinar to discuss how to identify disadvantaged and low-income communities for the purpose of investing Cap-and-Trade auction proceeds and implementing SB 535 and AB 1550—CalEPA created CalEnviroScreen 3.0, a tool that assesses all census tracts in the State to identify areas and priority populations disproportionately affected by multiple types of pollutions. To ensure the State is meeting investments targets to benefit priority populations, CARB developed program level targets to drive investments that achieve direct, meaningful and assured benefits to priority populations. These FY19-20 investments are posted for all agencies on the CCI Funding Guidelines for Administering Agencies [Website](#).

Senate Bill 1119 (SB 1119) was passed and signed into law in September 2018. This legislation's intention is to streamline LCTOP project selection and meet the benefit criteria outlined above for certain types of projects. Expenditures made pursuant to SB 1119 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

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listed below as selections types. With lead agencies documenting the benefits to the priority population, Caltrans will strive to meet CARB Investment percentages for the Priority Populations.

Priority Population Identification

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 tract 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](#)).

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. In an effort to meet SB 535 and AB 1550 requirements, maps identifying a DAC and or low-income community are available at:

<http://www.calepa.ca.gov/EnvJustice/GHGInvest/> or the [AB 1550 Map](#) 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/cc-communityinvestments.

Addressing an Important Need for a Community or Household

LCTOP's goal of funding projects that provide direct, meaningful, and assured benefits towards priority populations extends beyond the legislative requirements of SB 535, AB 1550, and SB 862. Program staff encourage recipient agencies to coordinate internally with their planning, outreach, or marketing staff to provide comprehensive qualitative or quantitative information that details (including but not limited to) community engagement, prioritized planning towards priority populations, or any other internal process or procedures that capture the intentional efforts dedicated towards funding the project.

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:

- 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;

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- 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 meaningful outreach and engagement to the Priority Populations they serve and fund projects that target the specific needs of these communities to the maximum extent possible. LCTOP Staff highly advises eligible agencies to utilize the recommended approaches listed above in approaches A and B to determine the needs of the priority populations. The program 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. Please refer to CARB's Funding Guidelines for a detailed description of the needs identification process.

In addition, Lead Agencies are encouraged to utilize the **Community Engagement Co-Benefit Assessment Methodology**. This is provided as Appendix C within the guidelines, in the Allocation Request Read ME, and online at the [CCI Co-Benefits website](#). Lead Agency would assess their level of community engagement as High, Medium or Low based on a series of questions and then assessing the response.

In 2018, LCTOP Piloted a Technical Assistance project focused towards facilitating stakeholder engagement between eligible agencies and Community Based Organizations. The Technical Assistance Contract was awarded to Estolano LeSar Advisors and Nelson Nygaard Consultants. The consultant team developed a best practices document to help further these efforts across the state and meet the goals of the California Climate Investments (CCI). And a Final 2019 Report on the LCTOP Technical Assistance information can be made available upon request.

In the summer of 2020, LCTOP anticipates facilitating the second cycle of prioritized stakeholder engagement workshops to help guide transit agency projects into the FY 20-21 funding cycle. The prioritized stakeholder engagement workshops will provide the opportunity to partner with community members and organizations to help determine the best projects that could maximize community benefits. 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.

For further inquiries related to Priority Populations and Disadvantaged Communities, please contact our Priority Populations Liaison, Courtney Williams at Priority.Populations@dot.ca.gov.

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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 is posted annually to the Low Carbon Transit Operations Program (LCTOP) Website. Technical assistance is available directly from LCTOP Staff assisting Lead Agencies in preparing their allocation packets. Because this is a formulaic program, staff can assist lead agencies throughout the allocation request process. 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. Please reach out to LCTOP Staff with any questions on the process or for project specific support.

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/drmf/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. If the lead agency is leveraging funds from multiple sources of GGRF dollars or if the applicant is pursuing funding from multiple sources of GGRF dollars, the sources should be described in detail to ensure benefits are attributed accurately to each program. 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 subjected to an adverse action.

A complete Allocation Request must be **submitted annually** to receive an apportionment. **Lead agency may only submit the Allocation Request during the annual call for projects and must submit by the final due date.** This will allow the State to release funds annually to the Lead Agency's bank account where funds could potentially accrue interest. Agencies who do not submit an Allocation Request will not

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have apportionments held or carried over into the following year for them. Unrequested apportionments will be carried over to the following year and redistributed with accumulated auction proceeds by formula to all eligible recipients.

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 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/drm/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/drm/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 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), fine PM less than 2.5 micrometers, passenger VMT reductions (in miles), fossil fuel use reductions, renewable energy generated in kilowatt hours (kWh), fossil fuel energy use reductions (kWh), travel cost savings (\$), energy savings, 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 on the LCTOP website. Please find the stand-alone tool and corresponding

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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 (CCI) 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 (CCI). 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 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/drm/splctop.html>. **An updated resolution is required annually per project, even if the project was a “roll-over” project from the previous year.**

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 must 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, it 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 during each fiscal 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

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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 and/or revisions. If CARB Staff has comments/concerns, LCTOP Staff will work with lead agencies to address concerns and/or make necessary revisions. If lead agencies do not make necessary revisions to submitted Allocation Request documented by LCTOP and/or CARB Staff, the project will not be awarded. LCTOP Staff will document and communicate early on with Lead Agency on 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 the 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 (FY16-17 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. This is not a reimbursement program, funds are awarded annually upfront for expenses approved and outlined in the Allocation Request that are to be incurred after project award.

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 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 the 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 also be approved by Caltrans, with concurrence from CARB. If the alternate project is not a previously

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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 the previous qualifications. Please note that funds being resigned are tied to the funding year of the 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 and include the project ID number listed on the award letter.
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).

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

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additional allocations of LCTOP funds until all delinquent items have been submitted and approved.

Interest Earned

Interest on LCTOP funds must be used similarly 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 is 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. The "reimbursement" will take place in the form of a submitted and approved allocation request that would take place at the next available submittal and award period.

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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 with an approved Benefit Calculator (QM Tool).

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 the 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>.

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LCTOP Annual Calendar

Allocation Request Schedule:	
Caltrans posts LCTOP Guidelines FY 2019-2020	January 2020
<p>1. January 22, 2020 10:00AM-12:00PM Butte County Association of Governments 326 Huss Drive, Suite 100, Chico CA 95925 Live Web: www.youtube.com/channel/UCHidik5N5lu0dU8NwhK3hlw</p> <p>2. January 29, 2020 10:00AM-12:00PM Caltrans District 4 111 Grand Ave., Oakland, CA 94612</p> <p>3. February 6, 2020 10:00AM-12:00PM City of Manteca 220 Moffat BLVD, Manteca, CA 95336</p> <p>4. February 12, 2020 10:00AM-12:00PM Kern COG 1401 19th St KERN COG Board Room Bakersfield, CA</p> <p>5. February 20, 2020 10:00AM-12:00PM San Bernardino County Transportation Authority 1170 West Third St., 1st Floor Board Room San Bernardino, CA 92410</p> <p>6. February 24, 2020 10:00AM-12:00PM Caltrans HQ 1120 N Street, Basement Board Room, Sacramento, CA 95814 Live Web: TBD</p>	January 2020- February 2020
SCO notifies agencies of available funding for the fiscal year	January 2020*
Transit agencies submit Allocation Requests to Caltrans	March 2020*
Caltrans and CARB approve list of projects and submit to SCO	Mid-June 2020*
SCO releases approved project amounts to recipients	By June 30, 2020*
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	

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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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Program Compliance and 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 the California Air Resources Board (CARB) who will then compile all program information and submit reports the Department of Finance (DOF) who will then finalize the report to the legislature. This section will highlight all the reporting requirements that Caltrans and transit agencies (Lead Agency) must complete in order for CARB to report accurately.

Lead agencies should track metrics in accordance with CARB Funding Guidelines for all projects. Samples of reporting templates are available on Low Carbon Transit Operations Program (LCTOP) website or upon a request to LCTOP staff. 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.

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 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 with Caltrans from approved allocation requests

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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 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 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 CCI Reporting Transacting System (CCIRTS) on program implementation as well as individual projects. The information will be collected during the Semi-Annual reporting cycle 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 GHG) emissions, 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. Lead Agencies need to document information such as when the project started, the anticipated end data, percentage of project completion, ridership associated with the project, etc. 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

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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 number 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. **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 the 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.

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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 45 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, vehicle miles traveled (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 walkthrough 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 the 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**

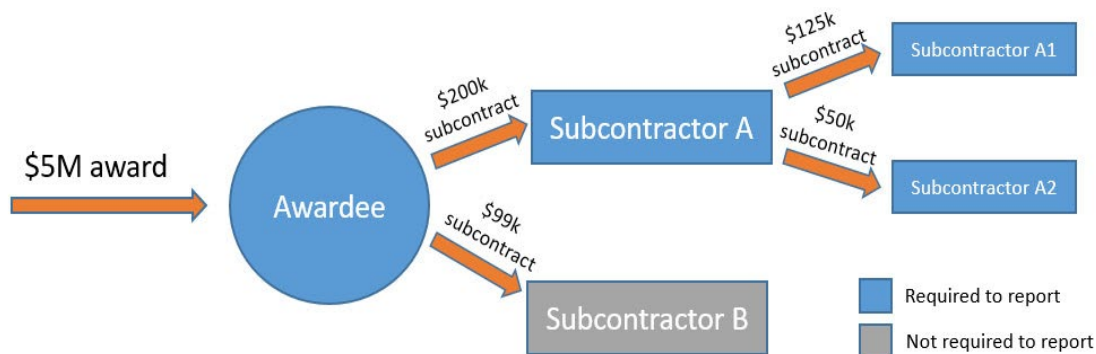
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will not receive further LCTOP allocations until completed and/or corrected reports have been received by Caltrans.

Jobs Reporting (Lead Agencies)

To the extent feasible, Caltrans will try to support Lead Agencies in fostering job creation via allocation requests to be carried out by California workers and businesses. To maximize economic benefits, investments should provide employment opportunities and job training tied to employment, wherever possible. To the extent feasible, jobs and job training should be targeted to priority populations. Caltrans encourages Lead Agencies to demonstrate local benefits and support of clean energy within the transportation sector and how projects can facilitate the shift towards a sustainable workforce. The allocation request is an opportunity to highlight these efforts from project types that support energy efficiency, renewable energy, and zero-emission transportation and mobility options.

Jobs reporting is required for all projects claiming to benefit priority populations by way of providing employment or training as well as any project that has a total project cost, including GGRF and leveraged funds exceeding \$1,000,000 awarded after August 2018 (Starting with FY18-19 Projects). Lead Agencies will report on all jobs and wages paid through GGRF, including subcontractors. This would apply to awards given over multiple years, such that a \$1,000,000 award disbursed as four annual awards of \$250,000 would be required to report its supported jobs. CARB staff has determined that exempting first-order subcontractors that enter a contract for less than \$100,000 in GGRF funds. This exemption would only apply to subcontractors providing services directly to the awardees, but not to subcontractors further down the chain.



The frequency and duration of Jobs Reporting will take place after the project closed out and submitted with the Close-Out Report. Once data is collected from lead agencies completing Jobs Reports, Caltrans will report to CARB. Caltrans will post the Jobs Reporting template to the website once finalized.

Project Outcome Reporting (Lead Agencies)

Project outcome reporting is only required for a subset of projects (Starting with FY17-18 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;

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- 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 this information twice a year during the Semi-Annual Reporting Period. The report will document metrics like that of the close-out reports that follow the CARB Funding Guidelines. 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 audits 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.

Site Visits

Site Visits can take place at any time at the discretion of Caltrans. Site Visits 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

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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 Site Visit to collect project outcome data. Through these Site Visits, for example, visiting a completed shelter to ensure it is being managed and utilized. Following a 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.

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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)

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

Step 1 – Identify the Priority Population(s).² Evaluate the project against each of the following criteria. Check all boxes that apply.

Note: 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.

- 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**?

If a project does not meet at least one of the qualifying criteria in Step 1,

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/cc-communityinvestments>.

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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.

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.

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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.

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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).

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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.

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Appendix C Co-Benefit Assessment Methodology Community Engagement Questionnaire

The questionnaire on the following pages is excerpted from the Community Engagement Co-benefit Assessment Methodology for California Climate Investments. The questionnaire is converted into a fillable table for ease of use. Guidance on how to answer each question is provided in Section C of the full methodology available at: www.arb.ca.gov/cc-cobenefits.

California Climate Investments that result in community engagement co-benefits create opportunities during planning, design, and implementation for communities to directly engage with the project, provide input that is incorporated into it, and collaborate on its development.

Overall, the methods for estimating the community engagement co-benefits are qualitative, based on tracking the extent and impact of public participation in project planning, design, and implementation. The assessment evaluates the quantity, quality, and equity of community engagement.

To estimate the community engagement co-benefit, users will respond to the five questions. Based on the responses to the questions, the level of community engagement will be evaluated as low, medium, or high.

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Community Engagement Questionnaire

1. Is the project a neighborhood-scale, city/regional-scale, or rural project?
2. With regard to public events held by the project proponent to discuss this project proposal with the community:
 - a. What was the approximate total attendance at those events?
 - b. Briefly describe the events held. (Please respond in fewer than 100 words)
3. With regard to other opportunities provided by the project proponent for community members to comment or provide input on the project (e.g., internet- or telephone- based input opportunities) or separate meetings with specific stakeholders, community leaders, and organizations, beyond those included above:
 - a. What is the approximate total number of people who provided commentary or input on the project through these opportunities?
 - b. Briefly describe the opportunities provided. (Please respond in fewer than 100 words)

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Community Engagement Questionnaire (cont.)

4. Which of the following took place as part of the events and other opportunities identified in questions 2 and 3?

(Check all that apply):

a. Informed the community about various aspects of the project, including the process by which major decisions about the project would be made. ☐

b. Solicited and recorded written or spoken input from the community about specific aspects of the project or potential project alternatives before decisions on those aspects and alternatives were finalized. ☐

c. Incorporated proposals or ideas from the community into project alternatives or components. ☐

d. Reported back to the community on how the input in 4(b) and 4(c) was incorporated. ☐

e. Developed project features or project alternatives collaboratively with the community by one or more of the following means: (Check all that apply):

i. One or more workshops or other meetings in which the community developed a project alternative or specific component to address unmet community needs, which was subsequently included in the project's application for funding or final design. ☐

ii. Formal cooperation with a community-based organization (i.e., via a memorandum of understanding, community benefits agreement, steering committee, labor agreement, etc.) to acquire or distribute funding, identify project alternatives or project components, or otherwise enhance community engagement in project design, planning and implementation. ☐

iii. Delegation of authority to choose between project alternatives or components to the community through a steering committee, organized voting process, representative community-based organization, or other means. ☐

iv. A community-based organization, community-driven steering committee, or similar entity designed, planned, and implemented the project in whole or in significant part. ☐

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Community Engagement Questionnaire (cont.)

5. Considering all of the events and input opportunities as a whole, which of the following statements are true (check all that apply):
- a. The participants comprised a broadly representative sample of the population potentially benefiting from, or affected by, the project. ☐
 - b. Project proponents identified key community leaders and organizations and engaged them directly. ☐
 - c. The events and input opportunities were hosted at varied and accessible times and locations throughout the area potentially affected by the project, and included both in person and online forms of engagement. ☐
 - d. Events and written materials were offered in languages other than English. ☐
 - e. The participation process was conducted or assisted by a professional facilitator or public participation expert. ☐
 - f. The project proponents, or those acting on their behalf, prepared and followed a community engagement plan that meets the minimum criteria originally established by the Transformative Climate Communities Program (option is available for all project types). ☐

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Assessment

To determine the overall Community Engagement Co-benefit, users will assess the responses to the quantity, quality, and equity-oriented questions as low, medium, or high.

For the quantity category, which measures the number of people giving input on the project, the scoring is different for projects of different scales and contexts — neighborhood-scale, city/regional-scale, and rural. These scoring thresholds reflect considerations of total population size and population density in the area potentially affected by the project.

Scores related to quantity, quality, and equity of community engagement are then aggregated to provide a total project community engagement score.

Table 2. Evaluation of Community Engagement in Projects			
	Low	Medium	High
Quantity: Total event attendance + number of people commenting through other opportunities			
For neighborhood-scale projects:	0 – 24	25 – 59	60 or more
For city/regional-scale projects:	0 – 49	50 – 99	100 or more
For rural projects:	0 – 14	15 – 29	30 or more
Quality: Boxes checked in response to Table 1, Question 4	4a or 4b	4c or 4d	Any box in 4e
Equity: Number of boxes checked in response to Table 1, Question 5	None or 1	2 or 3	4 or more

The total community engagement level will then be evaluated based on the quantity, quality, and equity of community engagement as follows:

- ☐ If two or more of these categories are low, the overall engagement level is **low**
- ☐ If two or more of these categories are medium, the overall engagement level is **medium**
- ☐ If two or more of these categories are high, the overall engagement level is **high**
- ☐ If each category is in a separate rank (one low, one medium, and one high), the overall engagement level is **medium**

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Appendix D 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:			

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) :						
<u>Please provide specific area information for the project in the Lat-Lon tab.</u>						
Identify the Project Census Tract(s) (10-digit identification code):						
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:			

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Allocation Request

Funding Information

<i>LCTOP Allocation Year</i>	Prior	FY 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24	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 #:	-		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 19-20 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.

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Allocation Request

Funding Plan

Proposed Total Project Cost								
Component	Prior	FY 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24	FY 24-25	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 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24	FY 24-25	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 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24	FY 24-25	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 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24	FY 24-25	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 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24	FY 24-25	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 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24	FY 24-25	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 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24	FY 24-25	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 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24	FY 24-25	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 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24	FY 24-25	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 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24	FY 24-25	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 Information

1) 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 12 lines.*

2) Project Planning - Explain the planning process this project went through and how it was designed/Planned to avoid substantial burden on any low income disadvantage community (*include any public outreach/input, or workshops*). *No More than 12 lines.*

3) Project Costs - Describe how the project costs were developed and provide an itemized cost breakdown. *No more than 10 lines.*

Agency Information

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

5) Agency Service Area - Describe the agency's service area including the city, town, or community (rural, suburban, urban & demographics). *No more than 10 lines.*

6) Agency Service - Describe the transit service provided and how the project plays into the overall operations. *No more than 10 lines.*

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 explanations supporting the data provided.

	Value	Explanation
Year 1 (Yr1) - First year of service, or year that capital improvements will be completed.		
Year F (YrF) - Final year that the service is funded or the final year of the capital improvements useful life.		
Project Yr1 Ridership - Estimated annual ridership contributed by the new service or capital improvement in Yr1.		
Project F Yr. Ridership - Estimated annual ridership contributed by the new service or capital improvement in YrF.		
Adjustment (A) - Adjustment factor to account for Choice Riders. You may use defaults values listed in the read me.		
Trip Length (L) - Length (miles) of average auto trip reduced or average passenger trip length (miles). You may use defaults values listed in the read me.		
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.
Total Project GHG Emission Reductions (MTCO2e)	Incomplete Inputs	This number is calculated based on the values from above and the QM-Tool tab.
LCTOP Project GHG Emission Reductions (MTCO2e)	Incomplete Inputs	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 or CARB Co-Benefits website)*

Primary Project Activity <i>(select from drop down)</i>	
% of Project Budget Associated with Primary Activity	
Other Project Activity <i>(select from drop down)</i>	
% of Project Budget Associated with Other Activity	
Other Project Activity <i>(select from drop down)</i>	
% of Project Budget Associated with Other Activity	

Travel Cost Savings Benefits

	Value	Explanation
Standard Fare Cost for Project (\$/Trip) <i>(Average fare associated with the project)</i>		
Reduced Fare Cost (\$/Trip) <i>(Average fare after reduction associated with the project)</i>		
Transit Facility Parking Cost (\$/Trip) <i>(Average cost to park to use transit associated with project)</i>		
Avoided Parking Cost (\$/Trip) <i>(Average avoided parking cost associated with project)</i>		
Avoided Toll Cost (\$/Trip) <i>(Average avoided toll cost associated with project)</i>		

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

Co-Benefits - Check all additional Benefits/Outcomes.

- | | |
|---|---|
| <input type="checkbox"/> Improved Safety | <input type="checkbox"/> Coordination with Educational Institution |
| <input type="checkbox"/> Improved Public Health | <input type="checkbox"/> College <input type="checkbox"/> Grades K-12 |
| <input type="checkbox"/> Reduced Operating/Maintenance Costs | <input type="checkbox"/> Promotes Active Transportation |
| <input type="checkbox"/> Increase System Reliability | <input type="checkbox"/> Promotes Integration w/ other modes |

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

Priority Populations Benefits

Does your Agency's Service Area have a Disadvantaged Community? (as defined by SB 535)	
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?	
Priority Population Community Engagement: Identify the specific assessment for the Community Engagement Co-benefit (High, Medium, Low): <i>*See Read Me for more information*.</i>	

Please provide the amount of FY 19-20 LCTOP Funds benefiting Priority Populations: <i>(Total should not exceed total FY 19-20 LCTOP project funding)</i>	
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: \$	

Priority Population Community Need: Select the method your agency used for identifying an important community or household need. <i>(For more information please review Read Me) :</i>	
Priority Population Community Need: Identify the specific Common Needs of Priority Populations <i>(if you select letter D. in question above):</i>	

Priority Populations Community Need: Based on selection above, describe, in your own words the method your agency used to identified an important community need(s), including the levels of community engagement.	

Priority Population Benefit: Select the benefit your project provides to the community or household.	
---	--

Priority Population Benefit: DAC Benefit - Based on the selection above, explain in your own words, how the project will benefit Disadvantaged Community(ies) within your service area.

Priority Population Benefit: Low-Income Community or Low-Income Household Benefit - Based on selection above explain, in your own words, how the project will benefit Low-Income Community(ies) or Low-Income Households within the project area.

Priority Population Benefit: Low-Income Community or Low-Income Household within 1/2 a mile of a Disadvantaged Community Benefit - Based on selection above explain, in your own words, how the project will benefit Low-Income Community(ies) or Low-Income Households within the project area.

SB 1119 Project Criteria: *See Read Me for more information.*

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?

Is the project a new or expanded transit service that connects with transit service serving a disadvantaged communities?

SB 1119 Project Criteria: Explain how your new or expanded transit service connects to transit service serving a Disadvantaged Community.



California Air Resources Board
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Low Carbon Transit Operations Program
California Climate Investments

Note to applicants:

A step-by-step user guide, including project examples, for this Benefits Calculator Tool is available here:
https://www.arb.ca.gov/climateaction/lowcarbontransit/California_AIRB_draftuserguide_09-20-2019.pdf

Project Name:

This section is used to determine the quantification method and emission factors to use to estimate emissions.			
Category	Input	Required	Description
Project Type	0	Required Input	For the purposes of this quantification, eligible LCTOP projects fall into four project types. Select the project type that best describes this component.
Quantification Method	#N/A	Automated	#N/A
Service Type		Required Input	The transit service (e.g., Intercity/Express Bus (Long Distance), Light Rail, Vanpool, etc.) directly associated with the proposed project. For projects that serve multiple services, select Multi-modal.
Type of Region		Required Input	The type of region that best encompasses the geographic location for the proposed project type.
Region		Required Input	The County or Air Basin where the majority of the service occurs.
Year 1 (Y1)	0	Required Input	#N/A
Year F (YF)	0	Required Input	#N/A
Useful Life (yrs)	Useful Life cannot be negative	Calculated	#N/A
This section is used to estimate the emission and cost reductions from displaced auto vehicle miles traveled (VMT).			
Category	Input	Required	Description
Displaced Auto VMT (mi)			
Y1 Ridership	0	#N/A	#N/A
YF Ridership	0	#N/A	#N/A
Adjustment Factor	0.000	#N/A	#N/A
Length of Average Trip (mi)	0.00	#N/A	#N/A
Passenger VMT Reductions (mi)		#N/A	#N/A
GHG Emission Reductions (MTCO ₂ e)		#N/A	#N/A
This section is used to estimate the net emission reductions from new service or from the purchase of new zero-emission/hybrid vehicles.			
Category	Input	Required	Description
New Service Vehicle Inputs			
Vehicle Type		#N/A	#N/A
Engine Tier		#N/A	#N/A
Engine Horsepower		#N/A	#N/A
Fuel Type		#N/A	#N/A
Hybrid Vehicle		#N/A	#N/A
Model Year		#N/A	#N/A
Project-Specific GHG Emission Factor (gCO ₂ e/MJ)		#N/A	#N/A
Annual VMT (mi/yr)		#N/A	#N/A
Annual Fuel Use		#N/A	#N/A
GHG Emissions (MTCO ₂ e)		#N/A	#N/A
This section is used to estimate the net emission reductions from vehicle replacement as a result of the proposed project.			
Category	Input	Required	Description
Baseline Vehicle Inputs			
Vehicle Type		#N/A	#N/A
Engine Tier		#N/A	#N/A
Engine Horsepower		#N/A	#N/A
Fuel Type		#N/A	#N/A
Model Year		#N/A	#N/A
Annual VMT (mi/yr)		#N/A	#N/A
Annual Fuel Use		#N/A	#N/A
GHG Emission Reductions (MTCO ₂ e)		#N/A	#N/A

This section is used to estimate the net emission reductions from fuel/energy reductions as a result of the proposed project.			
Fuel/Energy Reductions Basis	Input	Required	Description
Vehicle Type		#N/A	The vehicle type (e.g., Transit Bus, Streetcar, Ferry, etc.) of the vehicle(s) that will realize fuel/energy reductions as a result of The project.
Engine Tier		Not Required	Not applicable for this project type.
Engine Horsepower		Not Required	Not applicable for this project type.
Fuel Type		#N/A	#N/A
Model Year		Not Required	Not applicable for this project type.
Annual Fuel Use		Not Required	Not applicable for this project type.
GHG Emission Reductions (MTCO ₂ e)		Calculated	#N/A
This section calculates the greenhouse gas (GHG) emission reductions achieved by the proposed project.			
Total Project GHG Emission Reductions (MTCO ₂ e)	Incomplete Inputs	Calculated	Total GHG emission reductions (MTCO ₂ e) from the project during the useful life.
LCTOP Project GHG Emission Reductions (MTCO ₂ e)	Incomplete Inputs	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.

Project Location Information

Please provide specific area information for the project. *Lat-Lon for the project should be in decimal format.*

#	ID	Name	Latitude	Longitude	Priority Population
Ex.	142	J and 8th	38.580997	-121.496433	Disadvantaged Community
1					Disadvantaged Community
2					Low-Income Community/Household
3					Low-Income w/n 1/2 mile of a DAC
4					
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Step 3: Review the Estimated GHG Emission Reductions from the Proposed Project

Project Name:	0
---------------	---

Project Information	
FY 2019-20 LCTOP GGRF Funds Requested (\$)	\$ -
Total LCTOP GGRF Funds (\$)	\$ -
Total GGRF Funds (\$)	\$ -
Non-GGRF Leveraged Funds (\$)	\$ -
Total Funds (\$)	\$ -

GHG Summary	
Total FY 2019-20 LCTOP GHG Emission Reductions (MTCO ₂ e)	Incomplete Inputs
Total GHG Emission Reductions (MTCO ₂ e)	Incomplete Inputs
Total GHG Emission Reductions per FY 2019-20 LCTOP GGRF Funds (MTCO ₂ e/\$)	Incomplete Inputs
Total GHG Emission Reductions per Total GGRF Funds (MTCO ₂ e/\$)	Incomplete Inputs



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Step 3: Review the Estimated Co-benefits from the Proposed Project

Project Name:	0
---------------	---

Co-benefits and Key Variables Summary	
LCTOP GGRF Funds	
Local Diesel PM Emission Reductions (lbs)	
Local NO _x Emission Reductions (lbs)	
Local PM _{2.5} Emission Reductions (lbs)	
Local ROG Emission Reductions (lbs)	
Remote Diesel PM Emission Reductions (lbs)	0
Remote NO _x Emission Reductions (lbs)	0
Remote PM _{2.5} Emission Reductions (lbs)	0
Remote ROG Emission Reductions (lbs)	0
Passenger VMT Reductions (miles)	
Fossil Fuel Use Reductions (gallons)	
Fossil Fuel Energy Use Reductions (kWh)	
Renewable Energy Generated (kWh)	
Travel Cost Savings (\$)	
Energy and Fuel Cost Savings (\$)	
Additional California Climate Investments Program(s)	
Local Diesel PM Emission Reductions (lbs)	
Local NO _x Emission Reductions (lbs)	
Local PM _{2.5} Emission Reductions (lbs)	
Local ROG Emission Reductions (lbs)	
Remote Diesel PM Emission Reductions (lbs)	0
Remote NO _x Emission Reductions (lbs)	0
Remote PM _{2.5} Emission Reductions (lbs)	0
Remote ROG Emission Reductions (lbs)	0
Passenger VMT Reductions (miles)	
Fossil Fuel Use Reductions (gallons)	
Fossil Fuel Energy Use Reductions (kWh)	
Renewable Energy Generated (kWh)	
Travel Cost Savings (\$)	
Energy and Fuel Cost Savings (\$)	
Total California Climate Investments	
Local Diesel PM Emission Reductions (lbs)	0
Local NO _x Emission Reductions (lbs)	0
Local PM _{2.5} Emission Reductions (lbs)	0
Local ROG Emission Reductions (lbs)	0
Remote Diesel PM Emission Reductions (lbs)	0
Remote NO _x Emission Reductions (lbs)	0
Remote PM _{2.5} Emission Reductions (lbs)	0
Remote ROG Emission Reductions (lbs)	0
Passenger VMT Reductions (miles)	0
Fossil Fuel Use Reductions (gallons)	0
Fossil Fuel Energy Use Reductions (kWh)	0
Renewable Energy Generated (kWh)	0
Travel Cost Savings (\$)	\$0
Energy and Fuel Cost Savings (\$)	\$0



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	0.0
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.



Allocation Request Instructions

This document will serve as your guide to completing the Caltrans Low Carbon Transit Operations Program (LCTOP) Allocation Request form. Please Read before completing.

For Your Information

The FY 19-20 Allocation Request contains features including drop down lists, auto fill cells and cells that preform calculations.

- Light yellow cells are cells with drop down lists
- Light blue cells auto populate
- Light green cells include a calculation-if calculation is broken or does not add correctly, number will turn red.

The FY 19-20 Allocation Request has also been improved by including required documentation into one file. The Excel document includes the Allocation Request, Quantification Methodology (QM) Tool, Lat-Lon, and Map tab. It includes three summary tabs that will auto populate from completed inputs throughout the Allocation Request and QM Tool.

NEW This Year!

- Reorganized the areas within the Allocation Request Tab for a better flow of info
- LCTOP recently included a LAT-Lon tab intended for use by agencies inputting project location data.
- Section to document community engagement based on CARB Co-Benefits Tool

Allocation Request:

The Allocation section must be submitted by the Lead Agency along with a PDF version of the document.



PAGE 1

Lead Agency Information

The Lead Agency must complete all questions on the Lead Agency section including; Name, Address, County, Regional Entity, Agency Website, Approved Title VI Date, Preparer and Contact Information, as well Authorized Agent information.

Project Summary

The Lead Agency must complete all questions on the Project Summary page including:

1. Name;
2. Short description,
3. Project type from drop down (please scroll down to the Eligible Projects page to determine your project),
4. Sub-type by drop down populates after type is selected, if it is a rollover select total number of years and remaining rollover years;
5. Roll Over documentation
6. Start date and end date;
7. General area;
8. Identify the Project Census Tract. Please USE the LAT and LON TAB to add in project location data that would also represent benefit to a DAC, Low-Income Community and or Low-Income Community within ½ mile of a DAC. This should at minimum have three location data points of a stop within a priority population if agency is documenting/claiming benefit;
9. Project life in Capital or Operations;
10. The requesting funding amount for 99313 and 99314;
11. Indicate if there is an approved Letter of no prejudice on file (LONP).

PAGE 2

Funding Information

The Lead Agency completes this section and provides information about the amount and the number of years of LCTOP funding needed to complete the project.

1. Please document prior year funding only if it is associated with this project. This could be a Roll Over project or it could be a project that CAP'ed prior year funds to be used.
2. Include future funding amounts for fully funded project on a roll over. Four years of LCTOP allowed.
3. These numbers should be consistent from year to year.
4. **Any increase in funding here from one roll over to the next will be questioned.**



5. Increases are allowed when there is a scope increase.
6. If there is a Contributing Sponsor(s) to the proposed project, contact information for that entity needs to be provided.
7. The Lead Agency must also describe how the LCTOP funds will not supplant other funds and that the project is fully funded.

PAGE 3-4

Funding Plan

1. The Lead Agency completes this section and provides information about the funding amount and the number of years of LCTOP funding is needed to complete the project.
2. If there are other funding sources on this project, please identify the sources as well.
3. LCTOP funding should not be listed in phases prior to construction.
4. **The funding amount needs to be consistent across the allocation request.**

PAGE 5

Project Information

The Lead Agency must complete all questions in the Project Information section.

The Lead Agency must provide a clear and concise description of their proposed project in the Project Information section. If the proposed project is a capital project, the description of the project should include the number of items being purchased with LCTOP funding (i.e. 5 vehicles, 1 transit center), the type (i.e., zero emission bus, Light Rail Station, etc.), and any appropriate descriptions of the project to provide a clear understanding of the intent of the project.

If the proposed project is an operational project, the description of the project should include the type of service, the number of trips, the number of additional revenue service hours, the number of additional revenue service miles and the purpose of the additional service.

Attach any additional pages if necessary. Include a description of the planning process for the project. This is a great opportunity to document community support, engagement, outreach, etc. For example, if the project plans to increase frequency, the lead agency may document that the planning process included community meeting where residents requested frequency increases on certain days. Then, describe the cost of the project. This should also be consistent with numbers in the funding plan. How much does the project? How did you arrive at this amount?



PAGE 6

Agency Information

The Lead Agency must also provide information regarding their agency fare structure and if the project has any impact on it. This is extremely pertinent to list out the cost of fare in free fare/voucher projects. Please describe the agency service area and the service that the agency provides (fixed route, dial a ride, commuter, etc.).

PAGE 7

Project GHG Benefits

The Lead agency must provide required qualitative and quantitative information needed to prove the proposed project has an estimated Greenhouse Gas Reduction.

This section works directly with the Quantification Methodology Tool (QM) included in the document.

Please include numbers in the value column and explanation to those inputs you entered. If you are having difficulty in the explanation portion contact staff or review a sample project for assistance. The ridership should be associated with the actual project. For capital projects, estimate the ridership increase from the project. Operating projects should document the estimated ridership from the service increase, number of increased ridership from vouchers, etc.

For additional assistance in Average Trip Length and Adjustment Factors, lead agencies could utilize averages provided below ([also found in QM Tool User Guide](#)). The bottom two rows (light blue) will auto populate once the QM-Tool tab is completed.

Prepare may want to jump to the QM-Tool tab at this point to complete then jump back into the AR tab.

PAGE 8

Project Benefits

Job Support

The Lead agency must provide the required data to complete the jobs calculations. Caltrans has integrated the Inputs and Results entries into the Allocation Request with many of the questions being completed through the Allocation Request. CARB staff developed this Job Co-Benefit Modeling Tool to estimate jobs supported by California Climate Investments projects. For more direct information on the Job Co-Benefit Modeling Tool, please email ggrfprogram@arb.ca.gov. The Final standalone Job Co-benefit Modeling Tool and Final Job Co-benefit Assessment Methodology will be available on the California Climate Investments co-benefits webpage at: www.arb.ca.gov/cci-cobenefits.

Project Activities in drop down:

- Construction of bicycle or pedestrian facilities
- Construction or installation of transit or rail infrastructure or station improvements



- Operation of bicycle share program
- Operation of car share program
- Operation of intercity passenger rail service
- Operation of local transit service, including mixed mode
- Procurement of alternative fueling equipment
- Procurement of bicycle racks or lockers
- Procurement of buses
- Procurement of communications systems
- Procurement of electric vehicle supporting infrastructure
- Procurement of fare collection or integration equipment
- Procurement of ferries
- Procurement of light duty vehicles
- Procurement of locomotives or other rail vehicles
- Procurement of signage
- Procurement of solar photovoltaic equipment
- Procurement of street lights
- Procurement of transit and rail signaling equipment
- Transit subsidies

Travel Cost Savings Benefits

The Lead Agency must include values associated with the project and provide a brief explanation for the value as supporting documentation. This is also a CARB Co-Benefit Tool that was imbedded into the AR.

Transit Mode Share

The Lead Agency must provide a description of how the proposed project will increase transit mode share.

Co-Benefits

The Lead Agency must explain how the proposed project might have additional/co-benefits besides reducing Greenhouse Gas and increasing transit mode share. GREAT area to highlight these benefits! Please mark all the apply to the project then describe the benefits as it relates to the markings.

PAGE 9-11

Priority Population Benefits

The Lead Agency must complete this section as it pertains to their project. **If the Lead Agency has a DAC within their service area, at least 50 % of the total funds received shall be expended on projects or services that benefit a DAC and are required to provide a detailed description of the criteria used to evaluate if a project provides direct, meaningful and assured benefit(s) to the DAC and meaningfully address an important community need(s)**

1. (Please scroll down to the Criteria for Evaluating Benefits to Priority Populations page to review.)



2. Lead Agency please answer the first four questions (Yes or No). These questions pertain to Identifying the Priority Population.

Lead Agency please document the community engagement from the drop down of High, Medium, and Low.

This section is highlight suggested and based on co-benefit methodology from CARB. Additional information could be found by visiting the website for [various methodologies](#). The fillable format a Lead Agency should utilize is below and within the guidelines.

Lead Agency must identify the important community need and describe the selected community need as it pertains to the project. The list in Criteria for Evaluating Priority Populations Benefits below and in the guidelines.

Lead Agency must specify the Priority Population Benefit. This includes describing how it pertains to the project for benefiting a DAC, Low Income Community of Household, and/or Low-Income Community or Household within ½ mile of a DAC.

Please document the amount of funding from this project that is benefit the Priority Populations. The total amount of the three listed amounts should not be more than total current funding allocation amount from LCTOP.

SB 1119 Project Criteria should be documented based on project response to three yes or no drop-down questions. Then provide an explanation if selecting that the project is providing connectivity to a DAC.

Quantification Methodology Tool TAB:

Much of the information here is being auto populated from the Allocation Request. Please make sure that Lead Agency completes this portion in order from the top down. Please select the correct drop town from the yellow boxes. Please input data into the white boxes. For a standalone [tool](#) please visit: <https://ww2.arb.ca.gov/resources/documents/cci-quantification-benefits-and-reporting-materials>

Lat-Long TAB:

Please include the Latitude and Longitude of project location data. Please separate location data by DAC, Low-Income, and Low-Income Benefit within ½ mile of a DAC. Please make sure to input at least three stop location data points that pertain to the priority populations if claiming benefit to them. Agency is highly encouraging to submit shape files as it pertains to the project if it is a service wide project benefit.

MAP TAB:

Please include screenshot of project area location as it pertains to the CalEnviroScreen 3.0



Signature Pages

The Word Document includes the Authorized Agent, Certification and Assurances, Allocation Page, and Sample Board Resolution. If the Lead Agency has no changes to a previously submitted Authorized Agent, please include the copy of the document instead of completing a new page.

Please make sure the Allocation Page matches information inputted into the location Request (funding amounts and contributing sponsor). This section should be signed by an Authorized Agent of the Lead Agency and Contributing Sponsor(s) Agency. An official signed support letter can be submitted by a Contributing Sponsor(s) in lieu of signing the Allocation Page. This letter should include the correct contribution amount.

The Sample Board Resolution needs to be finalized prior to project award. If the Lead Agency cannot obtain a final board resolution by submittal data, please include a draft when submitting documents along with an estimated date of finalization. This resolution has areas to include that directly correlates to the information inputted into the allocation request. If the project or projects benefit Priority Populations, please make note of that. Allocation Request will not move forward without finalize board resolution.



LEAD AGENCY CHECK LIST

Lead Agency:	Click here to enter text.	
Project Name:	Click here to enter text.	
DOCUMENTS	CHECK	NOTES
Allocation Request		
Lead Agency Information (page 1)	<input type="checkbox"/>	
Project Summary (page 1)	<input type="checkbox"/>	
Project Information	<input type="checkbox"/>	
Roll-Over Information	<input type="checkbox"/>	
Funding Information (page 2)	<input type="checkbox"/>	
Lead Agency Funds	<input type="checkbox"/>	
Contributing Sponsor Funds	<input type="checkbox"/>	
Funding Plan (page 3-4)	<input type="checkbox"/>	
LCTOP funds	<input type="checkbox"/>	
Other Funds	<input type="checkbox"/>	
Project/Agency Information (page 5-6)	<input type="checkbox"/>	
Project Information	<input type="checkbox"/>	
Agency Information	<input type="checkbox"/>	
Project GHG Benefits (page 7)	<input type="checkbox"/>	
Greenhouse Gas Reduction Qualitative	<input type="checkbox"/>	
Greenhouse Gas Reduction Quantitative	<input type="checkbox"/>	
Project Benefits (page 8)	<input type="checkbox"/>	
Job Support	<input type="checkbox"/>	
Travel Cost Savings	<input type="checkbox"/>	
Priority Populations Benefits (pages 9-11)	<input type="checkbox"/>	
Disadvantaged Communities (DAC) Benefits	<input type="checkbox"/>	
LAT and LON	<input type="checkbox"/>	
Maps	<input type="checkbox"/>	
Copy of FTA Approve Title VI Plan	<input type="checkbox"/>	
Authorized Agent Form (signed)	<input type="checkbox"/>	
Certifications and Assurances (signed)	<input type="checkbox"/>	
Allocation Form (signed)	<input type="checkbox"/>	
Board Resolution (Needed Annually- Project, Authorized Agent and Certifications and Assurances)	<input type="checkbox"/>	

This document is a helpful tool used by lead agencies to ensure they have completed and are submitting all required documents. Caltrans does not need this sheet.



Eligible Projects

The projects listed below are expected to meet the statutory requirements of Senate Bill 824 (SB 824) and Public Resource Code (PUC) 75230 (a) "to reduce greenhouse gas emissions and improve mobility, with a priority on serving disadvantaged communities and PUC 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.

Project Type Selection	Method for Quantification
New expanded/enhanced transit service (Operations)	New Service (Optional Technology Conversion and Fuel/Energy Reductions)
Alternative transportation services (Operations)	New Service (Optional Technology Conversion and Fuel/Energy Reductions)
Purchase, construct, and/or install infrastructure to support zero-emission or low-emission vehicle(s) in support of new expanded/enhanced transit service	New Service (Optional Technology Conversion and Fuel/Energy Reductions)
Purchase, construct, and/or install equipment and facilities needed to provide expanded/enhanced transit service	New Service (Optional Technology Conversion and Fuel/Energy Reductions)
Free or reduced fares (Operations)	Increased Ridership (Optional Fuel/Energy Reductions)
Network/fare integration (Operations)	Increased Ridership (Optional Fuel/Energy Reductions)
Purchase, construct, and/or install transit-related amenities or infrastructure to encourage increased transit ridership	Increased Ridership (Optional Fuel/Energy Reductions)
Purchase and construct active transportation facilities that connect to stops/stations and encourage ridership	Increased Ridership (Optional Fuel/Energy Reductions)
Purchase and install equipment on transit vehicles to encourage increased transit ridership	Increased Ridership (Optional Fuel/Energy Reductions)
Purchase expansion zero-emission vehicle(s) (may include equipment/infrastructure)	Technology Conversion (Optional Fuel/Energy Reductions)
Purchase replacement zero-emission vehicle(s) (may include equipment/infrastructure)	Technology Conversion (Optional Fuel/Energy Reductions)
Purchase construct, and/or install infrastructure, equipment, or facilities to support zero-emission vehicle(s)	Technology Conversion (Optional Fuel/Energy Reductions)
Purchase expansion zero-emission vehicle(s) and equipment/infrastructure in support of new expanded/enhanced transit service	New Service and Technology Conversion (Optional Fuel/Energy Reductions)
Purchase replacement vehicle(s) and equipment/infrastructure in support of new expanded/enhanced transit service	New Service and Technology Conversion (Optional Fuel/Energy Reductions)
Purchase, construct, and install renewable energy/fuel for transit facilities in support of new expanded/enhanced transit service*	New Service and Fuel/Energy Reductions

*For solar projects, use the National Renewable Energy Laboratory PVWatts Calculator to calculate the annual energy (kWh) expected to be generated from the solar panels. The energy generated will be entered into the LCTOP Calculator Tool as a Fuel/Energy Reduction with electric selected as the fuel type. The PVWatts tool can be accessed at: <http://pvwatts.nrel.gov/>.



Criteria for Evaluating Benefits to Priority Populations

Assembly Bill 1550 (AB 1550) Populations Criteria: Provided by CARB in the Funding Guidelines for Agencies that Administer California Climate Investment, available on-line at <https://www.arb.ca.gov/cc/capandtrade/auctionproceeds/fundingguidelines.htm>

For transit agencies whose service areas include disadvantaged communities (DAC) as identified in Section 39711 of the Health and Safety Code, at least 50 % of the total funds received shall be expended on projects or services that benefit the DAC. The California Environmental Protection Agency (EPA) has identified disadvantaged communities based on geographic, socioeconomic, public health, and environmental hazard criteria. This process utilized by CalEnviroScreen version 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.

The eligible Lead Agency shall provide a map of their service area from the EPA website <http://oehha.maps.arcgis.com/apps/View/index.html?appid=c3e4e4e1d115468390cf61d9db83efc4> to determine which, if any, disadvantaged communities fall within their service areas, and report those in the format recommended by Caltrans. The Lead Agency must provide a map whether or not their service area includes a disadvantaged community. Only the EPA designation of disadvantaged communities shall be used for the purpose of the LCTOP. Where applicable, eligible Lead Agencies shall provide a map that identifies the applicable service area in relation to the disadvantaged community(ies) that will benefit from the project. Lead Agencies must also describe the benefits of selected projects to disadvantaged communities in the appropriate section of the Allocation Request form provided by Caltrans. **Where a proposed project involves the demolition or rehabilitation of existing units occupied by lower-income households or businesses in disadvantaged communities, the project must include measures to avoid the displacement of low-income residents and businesses from those communities.**

CARB's criteria for serving disadvantaged communities, as released in their draft guidelines on August 2018, is listed below. If these criteria are later updated, and these LCTOP guidelines have not been updated, the CARB updated criteria will take precedent over the criteria listed below.

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)

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

Step 1 – Identify the Priority Population(s).¹ Evaluate the project against each of the following criteria. Check all boxes that apply.

Note: 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.

- 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**?

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.

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.

¹ 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>.

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.

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 modes 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.



Common Needs for 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.

Length of Average Trip and Adjustment Factor by Mode

CARB staff developed these recommended values for applicants to use for the length of the average unlinked passenger trip and baseline average fare cost, by agency or statewide, by mode, and by type of service using 2017 Annual data from the National Transit Database. These values were calculated by dividing passenger miles traveled by unlinked passenger trips. Adjustment factors were developed by the Institute of Transportation Studies based on a review of research on transit dependency and data from the 2013 California Household Travel Survey.

Mode Type	Mode	Type of Service	Length of Average Trip (Miles/Trip)	Adjustment Factor
Commuter Bus (Express/Intercity)	CB	DO	17.57	0.705
Commuter Bus (Express/Intercity)	CB	PT	21.83	0.705
Cable Car	CC	DO	1.26	0.479
Commuter Rail	CR	PT	25.69	0.867
Demand Response	DR	DO	9.08	0.540
Demand Response	DR	PT	9.94	0.540
Demand Response Taxi	DT	PT	12.35	0.540
Ferryboat	FB	DO	10.85	1
Ferryboat	FB	PT	15.01	1
Heavy Rail	HR	DO	11.48	0.794
Light Rail	LR	DO	5.44	0.685
Bus (Local)	MB	DO	3.77	0.561 (Transit Bus) 0.585 (Shuttle)
Bus (Local)	MB	PT	4.27	0.561 (Transit Bus) 0.585 (Shuttle)
Monorail/Automated Guideway	MG	PT	3.18	0.479
Bus Rapid Transit	RB	DO	6.56	0.542
Streetcar Rail	SR	DO	1.43	0.479
Trolley Bus	TB	DO	1.48	0.479
Vanpool	VP	DO	42.28	0.879
Vanpool	VP	PT	44.27	0.879
Hybrid Rail	YR	PT	8.58	0.738



Length of Average Trip and Average Fare Cost by Transit Agency

Agency	Mode	Type of Service	Length of Average Trip	Average Fare Cost per Trip
Access Services	DR	PT	11.47	\$2.22
Access Services	DT	PT	14.69	\$2.39
Alameda-Contra Costa Transit District	CB	DO	14.19	\$2.49
Alameda-Contra Costa Transit District	DR	PT	10.47	\$3.81
Alameda-Contra Costa Transit District	MB	DO	3.28	\$1.36
Alameda-Contra Costa Transit District	MB	PT	13.03	\$2.48
Altamont Corridor Express	CR	PT	42.86	\$6.85
Anaheim Transportation Network	MB	PT	1.98	\$0.55
Antelope Valley Transit Authority	CB	PT	42.05	\$8.53
Antelope Valley Transit Authority	DR	PT	9.18	\$2.21
Antelope Valley Transit Authority	MB	PT	7.15	\$1.13
Butte County Association of Governments	DR	PT	4.33	\$2.09
Butte County Association of Governments	MB	PT	4.92	\$1.11
California Vanpool Authority	VP	DO	42.28	\$3.27
Central Contra Costa Transit Authority	DR	PT	9.89	\$3.55
Central Contra Costa Transit Authority	MB	DO	4.54	\$1.12
City of Commerce Municipal Buslines	DR	DO	9.36	\$0.00
City of Commerce Municipal Buslines	MB	DO	4.03	\$0.00
City of Elk Grove	CB	PT	13.46	\$1.80
City of Elk Grove	DR	PT	6.27	\$5.17
City of Elk Grove	MB	PT	4.00	\$1.34
City of Fairfield - Fairfield and Suisun Transit	CB	PT	20.40	\$3.88
City of Fairfield - Fairfield and Suisun Transit	DR	PT	9.63	\$4.94
City of Fairfield - Fairfield and Suisun Transit	MB	PT	3.17	\$1.03
City of Gardena Transportation Department	DR	DO	3.17	\$0.50
City of Gardena Transportation Department	MB	DO	3.20	\$0.77
City of Glendale	DR	PT	5.26	\$1.09
City of Glendale	MB	PT	2.20	\$0.62
City of La Mirada Transit	DR	PT	2.86	\$0.77
City of Los Angeles Department of Transportation	CB	PT	17.00	\$3.03
City of Los Angeles Department of Transportation	DR	PT	4.69	\$0.92
City of Los Angeles Department of Transportation	DT	PT	2.18	\$2.77
City of Los Angeles Department of Transportation	MB	PT	1.55	\$0.37
City of Petaluma	DR	PT	3.90	\$2.23



City of Petaluma	MB	PT	2.76	\$0.64
City of Redondo Beach - Beach Cities Transit	DR	PT	4.43	\$0.85
City of Redondo Beach - Beach Cities Transit	MB	PT	4.10	\$0.84
City of Riverside Special Transportation	DR	DO	7.79	\$2.11
City of San Luis Obispo	MB	PT	3.10	\$0.62
City of Santa Rosa	DR	PT	5.46	\$3.13
City of Santa Rosa	MB	DO	3.94	\$0.77
City of Santa Rosa	MB	PT	3.00	\$10.28
City of Tulare	DR	PT	5.38	\$2.27
City of Tulare	MB	PT	4.36	\$0.84
City of Turlock	DR	PT	7.42	\$3.01
City of Turlock	MB	PT	3.33	\$0.56
City of Visalia - Visalia City Coach	CB	PT	45.01	\$7.69
City of Visalia - Visalia City Coach	DR	PT	7.69	\$3.93
City of Visalia - Visalia City Coach	MB	PT	6.26	\$0.90
Culver City Municipal Bus Lines	DR	DO	2.03	\$0.45
Culver City Municipal Bus Lines	MB	DO	3.33	\$0.63
El Dorado County Transit Authority	CB	DO	31.03	\$5.37
El Dorado County Transit Authority	DR	DO	11.22	\$10.25
El Dorado County Transit Authority	MB	DO	8.97	\$1.47
Foothill Transit	MB	PT	7.62	\$1.19
Fresno Area Express	DR	PT	7.30	\$1.30
Fresno Area Express	MB	DO	2.60	\$0.79
Gold Coast Transit	DR	PT	7.45	\$2.62
Gold Coast Transit	MB	DO	4.25	\$0.81
Golden Empire Transit District	DR	DO	6.48	\$2.69
Golden Empire Transit District	MB	DO	3.59	\$0.84
Golden Gate Bridge, Highway and Transportation District	DR	PT	11.82	\$4.09
Golden Gate Bridge, Highway and Transportation District	FB	DO	10.85	\$8.05
Golden Gate Bridge, Highway and Transportation District	MB	DO	18.65	\$4.79
Imperial County Transportation Commission	DR	PT	18.47	\$2.09
Imperial County Transportation Commission	MB	PT	9.91	\$0.83
Kings County Area Public Transit Agency	DR	PT	3.75	\$1.92
Kings County Area Public Transit Agency	MB	PT	6.46	\$0.73
Laguna Beach Municipal Transit	MB	DO	2.22	\$0.04
Livermore / Amador Valley Transit Authority	DR	PT	6.02	\$4.14
Livermore / Amador Valley Transit Authority	MB	PT	4.62	\$1.22
Long Beach Transit	DR	PT	4.76	\$1.66
Long Beach Transit	MB	DO	3.23	\$0.61



Los Angeles County Metropolitan Transportation Authority dba: Metro	HR	DO	5.00	\$0.78
Los Angeles County Metropolitan Transportation Authority dba: Metro	LR	DO	7.31	\$0.78
Los Angeles County Metropolitan Transportation Authority dba: Metro	MB	DO	4.03	\$0.82
Los Angeles County Metropolitan Transportation Authority dba: Metro	MB	PT	4.72	\$0.43
Los Angeles County Metropolitan Transportation Authority dba: Metro	RB	DO	6.56	\$0.78
Los Angeles County Metropolitan Transportation Authority dba: Metro	VP	PT	44.79	\$3.93
Marin County Transit District	DR	PT	8.10	\$3.33
Marin County Transit District	MB	PT	4.09	\$1.08
Modesto Area Express	DR	PT	6.84	\$2.87
Modesto Area Express	DT	PT	4.90	\$1.69
Modesto Area Express	MB	PT	4.26	\$0.89
Montebello Bus Lines	DT	PT	2.16	\$0.29
Montebello Bus Lines	MB	DO	3.25	\$0.76
Montebello Bus Lines	MB	PT	2.90	\$1.20
Monterey-Salinas Transit	CB	DO	40.49	\$16.91
Monterey-Salinas Transit	DR	PT	8.58	\$2.59
Monterey-Salinas Transit	MB	DO	6.21	\$2.14
Monterey-Salinas Transit	MB	PT	3.71	\$1.92
Napa Valley Transportation Authority	CB	PT	30.84	\$2.33
Napa Valley Transportation Authority	DR	PT	7.19	\$2.43
Napa Valley Transportation Authority	MB	PT	7.42	\$0.69
North County Transit District	CR	PT	26.44	\$4.04
North County Transit District	DR	PT	12.97	\$3.83
North County Transit District	MB	PT	4.32	\$0.95
North County Transit District	YR	PT	8.58	\$1.06
Norwalk Transit System	DR	PT	3.41	\$1.14
Norwalk Transit System	MB	DO	4.19	\$0.88
Omnitrans	DR	PT	14.01	\$3.78
Omnitrans	MB	DO	5.14	\$1.01
Omnitrans	MB	PT	3.12	\$1.08
Orange County Transportation Authority	CB	DO	21.11	\$1.68
Orange County Transportation Authority	CB	PT	19.28	\$1.44
Orange County Transportation Authority	DR	PT	11.29	\$4.42
Orange County Transportation Authority	DT	PT	3.02	\$3.44
Orange County Transportation Authority	MB	DO	3.35	\$0.99
Orange County Transportation Authority	MB	PT	3.88	\$0.97
Orange County Transportation Authority	VP	PT	34.51	\$3.95
Paratransit, Inc.	DR	DO	9.74	\$4.20
Paratransit, Inc.	DR	PT	10.46	\$7.07
Paratransit, Inc.	DT	PT	8.37	\$4.47
Peninsula Corridor Joint Powers Board dba: Caltrain	CR	PT	21.77	\$4.96
Peninsula Corridor Joint Powers Board	MB	PT	3.47	\$0.00



dba: Caltrain				
Placer County Department of Public Works and Facilities	CB	PT	20.11	\$5.37
Placer County Department of Public Works and Facilities	DR	DO	11.84	\$3.53
Placer County Department of Public Works and Facilities	DR	PT	3.41	\$0.73
Placer County Department of Public Works and Facilities	DT	PT	15.71	\$3.54
Placer County Department of Public Works and Facilities	MB	DO	7.64	\$1.05
Placer County Department of Public Works and Facilities	MB	PT	3.09	\$0.67
Placer County Department of Public Works and Facilities	VP	PT	33.94	\$2.79
Pomona Valley Transportation Authority	DR	PT	5.50	\$0.81
Pomona Valley Transportation Authority	DT	PT	4.81	\$1.94
Redding Area Bus Authority	DR	PT	8.86	\$3.26
Redding Area Bus Authority	MB	PT	6.99	\$1.02
Riverside Transit Agency	CB	DO	19.49	\$3.83
Riverside Transit Agency	CB	PT	23.22	\$2.08
Riverside Transit Agency	DR	PT	11.28	\$3.68
Riverside Transit Agency	DT	PT	17.51	\$4.05
Riverside Transit Agency	MB	DO	6.27	\$0.90
Riverside Transit Agency	MB	PT	6.64	\$1.33
Sacramento Regional Transit District	DR	DO	2.59	\$1.38
Sacramento Regional Transit District	LR	DO	6.01	\$1.29
Sacramento Regional Transit District	MB	DO	3.46	\$1.53
San Diego Association of Governments	VP	PT	48.70	\$3.11
San Diego Metropolitan Transit System	CB	PT	24.51	\$4.17
San Diego Metropolitan Transit System	DR	PT	10.38	\$4.52
San Diego Metropolitan Transit System	LR	DO	5.61	\$1.04
San Diego Metropolitan Transit System	MB	DO	4.51	\$1.02
San Diego Metropolitan Transit System	MB	PT	3.25	\$1.00
San Francisco Bay Area Rapid Transit District	HR	DO	13.72	\$3.64
San Francisco Bay Area Rapid Transit District	MG	PT	3.18	\$5.58
San Francisco Bay Area Water Emergency Transportation Authority	FB	PT	15.01	\$7.07
San Francisco Municipal Railway	CC	DO	1.26	\$4.34
San Francisco Municipal Railway	DR	PT	6.17	\$2.29
San Francisco Municipal Railway	LR	DO	2.73	\$0.77
San Francisco Municipal Railway	MB	DO	2.15	\$0.77
San Francisco Municipal Railway	SR	DO	1.43	\$0.77
San Francisco Municipal Railway	TB	DO	1.48	\$0.77
San Joaquin Regional Transit District	CB	PT	44.30	\$4.45
San Joaquin Regional Transit District	DT	PT	5.83	\$3.73
San Joaquin Regional Transit District	MB	DO	3.53	\$0.82



San Joaquin Regional Transit District	MB	PT	4.56	\$0.82
San Luis Obispo Regional Transit Authority	DR	DO	7.85	\$3.05
San Luis Obispo Regional Transit Authority	MB	DO	11.05	\$1.31
San Mateo County Transit District	DR	PT	8.10	\$2.51
San Mateo County Transit District	DT	PT	11.89	\$2.38
San Mateo County Transit District	MB	DO	3.61	\$1.32
San Mateo County Transit District	MB	PT	6.19	\$1.34
Santa Barbara Metropolitan Transit District	MB	DO	4.09	\$1.12
Santa Clara Valley Transportation Authority	DR	PT	10.24	\$3.45
Santa Clara Valley Transportation Authority	DT	PT	10.68	\$2.86
Santa Clara Valley Transportation Authority	LR	DO	5.25	\$0.88
Santa Clara Valley Transportation Authority	MB	DO	5.18	\$0.88
Santa Clara Valley Transportation Authority	MB	PT	3.68	\$0.00
Santa Clarita Transit	CB	PT	24.78	\$3.03
Santa Clarita Transit	DR	PT	6.11	\$1.14
Santa Clarita Transit	MB	PT	4.23	\$0.84
Santa Cruz Metropolitan Transit District	CB	DO	31.21	\$5.42
Santa Cruz Metropolitan Transit District	DR	DO	7.24	\$4.08
Santa Cruz Metropolitan Transit District	DT	PT	7.23	\$2.09
Santa Cruz Metropolitan Transit District	MB	DO	4.27	\$1.52
Santa Maria Area Transit	DR	PT	7.40	\$0.44
Santa Maria Area Transit	MB	PT	3.73	\$1.02
Santa Monica's Big Blue Bus	DR	PT	2.27	\$0.41
Santa Monica's Big Blue Bus	MB	DO	3.81	\$0.89
Solano County Transit	CB	PT	13.78	\$2.50
Solano County Transit	DR	PT	5.36	\$2.21
Solano County Transit	MB	PT	2.64	\$2.43
Sonoma County Transit	DR	PT	12.17	\$3.77
Sonoma County Transit	MB	PT	8.33	\$1.49
Southern California Regional Rail Authority dba: Metrolink	CR	PT	29.15	\$5.79
SunLine Transit Agency	DR	DO	12.02	\$2.05
SunLine Transit Agency	MB	DO	6.86	\$0.65
The Eastern Contra Costa Transit Authority	DR	PT	6.00	\$3.08
The Eastern Contra Costa Transit Authority	MB	PT	7.23	\$1.11
Torrance Transit System	DT	PT	5.20	\$1.74
Torrance Transit System	MB	DO	4.95	\$0.66
Transit Joint Powers Authority for Merced County	DR	PT	6.36	\$3.69
Transit Joint Powers Authority for Merced County	MB	PT	6.22	\$1.57
Unitrans - City of Davis/ASUCD	MB	DO	2.15	\$0.79
Ventura Intercity Service Transit Authority	CB	PT	20.34	\$1.60



Ventura Intercity Service Transit Authority	DR	PT	3.18	\$1.75
Ventura Intercity Service Transit Authority	MB	PT	4.37	\$0.85
Victor Valley Transit Authority	CB	PT	52.89	\$10.12
Victor Valley Transit Authority	DR	PT	13.17	\$2.96
Victor Valley Transit Authority	MB	PT	6.74	\$1.08
Victor Valley Transit Authority	VP	PT	48.72	\$4.17
Western Contra Costa Transit Authority	CB	PT	23.95	\$4.12
Western Contra Costa Transit Authority	DR	PT	8.15	\$1.35
Western Contra Costa Transit Authority	MB	PT	7.29	\$1.10
Yolo County Transportation District	DR	PT	12.25	\$4.88
Yolo County Transportation District	MB	PT	10.63	\$1.67
Yuba-Sutter Transit Authority	CB	PT	39.33	\$4.48
Yuba-Sutter Transit Authority	DR	PT	5.87	\$1.83
Yuba-Sutter Transit Authority	MB	PT	3.05	\$0.65



Co-benefit Assessment Methodology
Community Engagement Questionnaire

California Climate Investments
Greenhouse Gas Reduction Fund

The questionnaire on the following pages is excerpted from the Community Engagement Co-benefit Assessment Methodology for California Climate Investments. The questionnaire is converted into a fillable table for ease of use. Guidance on how to answer each question is provided in Section C of the full methodology available at: www.arb.ca.gov/cc-cobenefits.

California Climate Investments that result in community engagement co-benefits create opportunities during planning, design, and implementation for communities to directly engage with the project, provide input that is incorporated into it, and collaborate on its development.

Overall, the methods for estimating the community engagement co-benefits are qualitative, based on tracking the extent and impact of public participation in project planning, design, and implementation. The assessment evaluates the quantity, quality, and equity of community engagement.

To estimate the community engagement co-benefit, users will respond to the five questions. Based on the responses to the questions, the level of community engagement will be evaluated as low, medium, or high.

Community Engagement Questionnaire

1. Is the project a neighborhood-scale, city/regional-scale, or rural project?

2. With regard to public events held by the project proponent to discuss this project proposal with the community:
- What was the approximate total attendance at those events?
 - Briefly describe the events held. (Please respond in fewer than 100 words)

3. With regard to other opportunities provided by the project proponent for community members to comment or provide input on the project (e.g., internet- or telephone- based input opportunities) or separate meetings with specific stakeholders, community leaders, and organizations, beyond those included above:
- What is the approximate total number of people who provided commentary or input on the project through these opportunities?
 - Briefly describe the opportunities provided. (Please respond in fewer than 100 words)

Community Engagement Questionnaire (cont.)

4. Which of the following took place as part of the events and other opportunities identified in questions 2 and 3?
(Check all that apply):

- a. Informed the community about various aspects of the project, including the process by which major decisions about the project would be made. ☐
- b. Solicited and recorded written or spoken input from the community about specific aspects of the project or potential project alternatives before decisions on those aspects and alternatives were finalized. ☐
- c. Incorporated proposals or ideas from the community into project alternatives or components. ☐
- d. Reported back to the community on how the input in 4(b) and 4(c) was incorporated. ☐
- e. Developed project features or project alternatives collaboratively with the community by one or more of the following means: (Check all that apply):
 - i. One or more workshops or other meetings in which the community developed a project alternative or specific component to address unmet community needs, which was subsequently included in the project's application for funding or final design. ☐
 - ii. Formal cooperation with a community-based organization (i.e., via a memorandum of understanding, community benefits agreement, steering committee, labor agreement, etc.) to acquire or distribute funding, identify project alternatives or project components, or otherwise enhance community engagement in project design, planning and implementation. ☐
 - iii. Delegation of authority to choose between project alternatives or components to the community through a steering committee, organized voting process, representative community-based organization, or other means. ☐
 - iv. A community-based organization, community-driven steering committee, or similar entity designed, planned, and implemented the project in whole or in significant part. ☐

Community Engagement Questionnaire (cont.)

5. Considering all of the events and input opportunities as a whole, which of the following statements are true (check all that apply):
- a. The participants comprised a broadly representative sample of the population potentially benefiting from, or affected by, the project. ☐
 - b. Project proponents identified key community leaders and organizations and engaged them directly. ☐
 - c. The events and input opportunities were hosted at varied and accessible times and locations throughout the area potentially affected by the project, and included both in person and online forms of engagement. ☐
 - d. Events and written materials were offered in languages other than English. ☐
 - e. The participation process was conducted or assisted by a professional facilitator or public participation expert. ☐
 - f. The project proponents, or those acting on their behalf, prepared and followed a community engagement plan that meets the minimum criteria originally established by the Transformative Climate Communities Program (option is available for all project types). ☐

Assessment

To determine the overall Community Engagement Co-benefit, users will assess the responses to the quantity, quality, and equity-oriented questions as low, medium, or high.

For the quantity category, which measures the number of people giving input on the project, the scoring is different for projects of different scales and contexts — neighborhood-scale, city/regional-scale, and rural. These scoring thresholds reflect considerations of total population size and population density in the area potentially affected by the project.

Scores related to quantity, quality, and equity of community engagement are then aggregated to provide a total project community engagement score.

Table 2. Evaluation of Community Engagement in Projects			
	Low	Medium	High
Quantity: Total event attendance + number of people commenting through other opportunities For neighborhood-scale projects: 0 – 24 For city/regional-scale projects: 0 – 49 For rural projects: 0 – 14			
Quality: Boxes checked in response to Table 1, Question 4	4a or 4b	4c or 4d	Any box in 4e
Equity: Number of boxes checked in response to Table 1, Question 5	None or 1	2 or 3	4 or more

The total community engagement level will then be evaluated based on the quantity, quality, and equity of community engagement as follows:

- ☐ If two or more of these categories are low, the overall engagement level is **low**
- ☐ If two or more of these categories are medium, the overall engagement level is **medium**
- ☐ If two or more of these categories are high, the overall engagement level is **high**
- ☐ If each category is in a separate rank (one low, one medium, and one high), the overall engagement level is **medium**



FY 2019-2020 LCTOP
Authorized Agent

AS THE

Click here to enter text.

(Chief Executive Officer/Director/President/Secretary)

OF THE

Click here to enter text.

(Name of County/City/Transit Organization)

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

Click here to enter text.

(Name and Title of Authorized Agent)

OR

Click here to enter text.

(Name and Title of Authorized Agent)

OR

Click here to enter text.

(Name and Title of Authorized Agent)

OR

Click here to enter text.

(Name and Title of Authorized Agent)

OR

Click here to enter text.

(Print Name)

Click here to enter text.

(Title)

(Signature)

Approved this Choose an item. day of Choose an item. , Click



FY 2019-2020 LCTOP Certifications and Assurances

Lead Agency: Lead Agency

Project Title: Project Title

Prepared by: Prepared by

The California Department of Transportation (Caltrans) has adopted the following Certifications and Assurances for the Low Carbon Transit Operations Program (LCTOP). As a condition of the receipt of LCTOP funds, Lead Agency must comply with these terms and conditions.

A. General

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

B. Project Administration

1. The Lead Agency certifies that required environmental documentation is complete before requesting an allocation of LCTOP funds. The Lead Agency assures that projects approved for LCTOP funding comply with Public Resources Code § 21100 and § 21150.
2. The Lead Agency certifies that a dedicated bank account for LCTOP funds only will be established within 30 days of receipt of LCTOP funds.
3. The Lead Agency certifies that when LCTOP funds are used for a transit capital project, that the project will be completed and remain in operation for its useful life.
4. The Lead Agency certifies that it has the legal, financial, and technical capacity to carry out the project, including the safety and security aspects of that project.
5. The Lead Agency certifies that they will notify Caltrans of pending litigation, dispute, or negative audit findings related to the project, before receiving an allocation of funds.
6. The Lead Agency must maintain satisfactory continuing control over the use of project equipment and facilities and will adequately maintain project equipment and facilities for the useful life of the project.
7. Any interest the Lead Agency earns on LCTOP funds must be used only on approved LCTOP projects.
8. The Lead Agency must notify Caltrans of any changes to the approved project with a Corrective Action Plan (CAP).



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9. Under extraordinary circumstances, a Lead Agency may terminate a project prior to completion. In the event the Lead Agency terminates a project prior to completion, the Lead Agency must (1) contact Caltrans in writing and follow-up with a phone call verifying receipt of such notice; (2) pursuant to verification, submit a final report indicating the reason for the termination and demonstrating the expended funds were used on the intended purpose; (3) submit a request to reassign the funds to a new project within 180 days of termination.

C. Reporting

1. The Lead Agency must submit the following LCTOP reports:
 - a. Semi-Annual Progress Reports by May 15th and November 15th each year.
 - b. A Close Out Report within six months of project completion.
 - c. The annual audit required under the Transportation Development Act (TDA), to verify receipt and appropriate expenditure of LCTOP funds. A copy of the audit report must be submitted to Caltrans within six months of the close of the year (December 31) each year in which LCTOP funds have been received or expended.
 - d. Project Outcome Reporting as defined by CARB Funding Guidelines.
 - e. Jobs Reporting as defined by CARB Funding Guidelines.
2. Other Reporting Requirements: CARB develops and revises Funding Guidelines that will include reporting requirements for all State agencies that receive appropriations from the Greenhouse Gas Reduction Fund. Caltrans and project sponsors will need to submit reporting information in accordance with CARB's Funding Guidelines, including reporting on greenhouse gas reductions and benefits to disadvantaged communities.

D. Cost Principles

1. The Lead Agency agrees to comply with Title 2 of the Code of Federal Regulations 225 (2 CFR 225), Cost Principles for State and Local Government, and 2 CFR, Part 200, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.
2. The Lead Agency agrees, and will assure that its contractors and subcontractors will be obligated to agree, that:
 - a. Contract Cost Principles and Procedures, 48 CFR, Federal Acquisition Regulations System, Chapter 1, Part 31, et seq., shall be used to determine the allow ability of individual project cost items and
 - b. Those parties shall comply with Federal administrative procedures in accordance with 2 CFR, Part 200, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments. Every sub-recipient receiving LCTOP funds as a contractor or sub-contractor shall comply with



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Federal administrative procedures in accordance with 2 CFR, Part 200, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.

3. Any project cost for which the Lead Agency has received funds that are determined by subsequent audit to be unallowable under 2 CFR 225, 48 CFR, Chapter 1, Part 31 or 2 CFR, Part 200, are subject to repayment by the Lead Agency to the State of California (State). All projects must reduce greenhouse gas emissions, as required under Public Resources Code section 75230, and any project that fails to reduce greenhouse gases shall also have its project costs submit to repayment by the Lead Agency to the State. Should the Lead Agency fail to reimburse moneys due to the State within thirty (30) days of demand, or within such other period as may be agreed in writing between the Parties hereto, the State is authorized to intercept and withhold future payments due the Lead Agency from the State or any third-party source, including but not limited to, the State Treasurer and the State Controller.

A. Record Retention

1. The Lead Agency agrees and will assure that its contractors and subcontractors shall establish and maintain an accounting system and records that properly accumulate and segregate incurred project costs and matching funds by line item for the project. The accounting system of the Lead Agency, its contractors and all subcontractors shall conform to Generally Accepted Accounting Principles (GAAP) and enable the determination of incurred costs at interim points of completion. All accounting records and other supporting papers of the Lead Agency, its contractors and subcontractors connected with LCTOP funding shall be maintained for a minimum of three (3) years after the "Project Closeout" report or final Phase 2 report is submitted (per ARB Funding Guidelines, Vol. 3, page 3.A-16), and shall be held open to inspection, copying, and audit by representatives of the State and the California State Auditor. Copies thereof will be furnished by the Lead Agency, its contractors, and subcontractors upon receipt of any request made by the State or its agents. In conducting an audit of the costs claimed, the State will rely to the maximum extent possible on any prior audit of the Lead Agency pursuant to the provisions of federal and State law. In the absence of such an audit, any acceptable audit work performed by the Lead Agency's external and internal auditors may be relied upon and used by the State when planning and conducting additional audits.
2. For the purpose of determining compliance with Title 21, California Code of Regulations, Section 2500 et seq., when applicable, and other matters connected with the performance of the Lead Agency's contracts with third parties pursuant to Government Code § 8546.7, the project sponsor, its contractors and subcontractors and the State shall each maintain and make available for inspection all books, documents, papers, accounting records, and other evidence pertaining to the performance of such contracts, including, but not limited to, the costs of administering those various contracts. All of the above referenced parties shall make such materials available at their respective offices at all reasonable times



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during the entire project period and for three (3) years from the date of final payment. The State, the California State Auditor, or any duly authorized representative of the State, shall each have access to any books, records, and documents that are pertinent to a project for audits, examinations, excerpts, and transactions, and the Lead Agency shall furnish copies thereof if requested.

3. The Lead Agency, its contractors and subcontractors will permit access to all records of employment, employment advertisements, employment application forms, and other pertinent data and records by the State Fair Employment Practices and Housing Commission, or any other agency of the State of California designated by the State, for the purpose of any investigation to ascertain compliance with this document.

F. Special Situations

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

I certify all of these conditions will be met.

Print Authorized Agents Name.

(Print Authorized Agent)

Print Authorized Agents Name.

(Title)

(Signature)

(Date)



FY 2019-2020 LCTOP Allocation

Lead Agency:	Lead Agency
Project Title:	Project Title
Regional Entity:	Select Regional Entity
County:	Select County

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

Authorized Agent:	Authorized Agent
Title:	Authorized Agent's Title
Lead Agency:	Lead Agency.

Signature:	
PUC Funds Type:	99313 \$ Amount of 99313 Funds
PUC Funds Type:	99314 \$ Amount of 99314 Funds

Contributing Sponsor(s): The contributing sponsor is an entity that passes funds to the Lead Agency to support a project. The contributing sponsor 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. The contributing sponsor(s) must also sign and state the amount and type of LCTOP funds (PUC Sections 99313 and 99314) they are contributing the project. Sign below or attach a separate officially signed letter providing that information. If there is more than one contributing sponsor, please submit additional page, or a letter from the additional Contributing Sponsors.

Authorized Agent:	Authorized Agent
Title:	Authorized Agent's Title
Lead Agency:	Lead Agency.

Signature:	
PUC Funds Type:	99313 \$ Amount of 99313 Funds
PUC Funds Type:	99314 \$ Amount of 99314 Funds



FY 2019-2020 LCTOP Sample Board Resolution

(The following is sample language that must be included in your Board Resolution, necessary for execution of Certification and Assurances and Authorized Agent forms)

RESOLUTION # _____

AUTHORIZATION FOR THE EXECUTION OF THE
CERTIFICATIONS AND ASSURANCES AND AUTHORIZED AGENT FORMS
FOR THE LOW CARBON TRANSIT OPERATIONS PROGRAM (LCTOP)
FOR THE FOLLOWING PROJECT(S):

(NAME OF PROJECT(S) AND DOLLAR AMOUNT(S))

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

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

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

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

WHEREAS, the (Agency) wishes to delegate authorization to execute these documents and any amendments thereto to (Name and title).

WHEREAS, the (Agency) wishes to implement the following LCTOP project(s) listed above,

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

NOW THEREFORE, BE IT FURTHER RESOLVED that (Name and Title) be authorized to execute all required documents of the LCTOP program and any Amendments thereto with the California Department of Transportation.

NOW, THEREFORE, BE IT RESOLVED by the Board of Directors of the (Agency) that it hereby authorizes the submittal of the following project nomination(s) and allocation request(s) to the Department in FY19-2020 LCTOP funds:



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List project(s), including the following information:

Project Name:

Amount of LCTOP funds requested:

Short description of project:

Benefit to a Priority Populations:

Contributing Sponsors (if applicable):

AGENCY BOARD DESIGNEE:

BY: _____