

STAFF REPORT



MEETING DATE:	April 27, 2021
SUBJECT:	Approve Fiscal Year 2020/21 Low Carbon Transit Operations Program Funding to Year 2 of Expanded ShastaConnect Services
AGENDA ITEM:	11
STAFF CONTACT:	Sean Tiedgen, AICP, Senior Transportation Planner

SUMMARY:

The fiscal year (FY) 2020/21 Low Carbon Transit Operations Program (LCTOP) allocation to the Shasta Regional Transportation Agency (SRTA) totals \$183,165. Prior FY 2019/20 LCTOP funds were allocated towards expanded Sunday On-Demand Transit services and expanded Consolidated Transportation Services Agency (CTSA) rider eligibility. Continued support of these projects is recommended.

STAFF RECOMMENDATION:

It is recommended that the board of directors:

1. Authorize the Chair to sign Resolution 21-07, allocating \$115,910 in FY 2020/21 LCTOP funds to the ShastaConnect Sunday On-Demand Transit Service Expansion Project and \$67,255 to the ShastaConnect CTSA Rider Eligibility Expansion Project; and
2. Authorize the executive director to sign the Certifications and Assurances and Authorized Agent forms for the LCTOP applications, including any amendments that may be necessary.

DISCUSSION:

LCTOP provides public transportation funding for new or enhanced transit services that reduce greenhouse gas emissions and improve mobility. Projects that serve disadvantaged or low-income communities receive priority. LCTOP funds must be allocated to an approved project by the application deadline, or the funds are redistributed elsewhere in California. LCTOP funds cannot supplant existing services or funding, and expenditures must start within six months of award. New or expanded services may receive funding for up to five years to help agencies determine if those services are viable and can demonstrate greenhouse gas emission reductions.

At the [April 2020 meeting](#), the board of directors approved allocating FY 2019/20 LCTOP funds to operational costs for expanded Sunday On-Demand Transit services to the cities of Anderson and Shasta Lake, and expanding rider eligibility for rural public transit services operated by Dignity Health Connected Living (DHCL). This helped to address the lack of funding available to DHCL to mitigate impacts of COVID-19, as well as work toward SRTA's goals to fully fund the Sunday On-Demand Transit service and expand rider eligibility in the CTSA service area to anyone 18+ years of age.

Sunday On-Demand Transit Service Expansion Project – This project expanded the Sunday On-Demand Transit service area to include the cities of Anderson and Shasta Lake, and covered the operational costs of the expanded service. On November 1, 2020, the Sunday On-Demand Transit

service relaunched, after being impacted by COVID-19, with the expanded service area. A total of 1,031 passenger trips have been provided through March 31, 2021, with 25% of those trips originating from the expanded service area. Staff previously indicated that additional FY 2020/21 LCTOP funding would be needed to help fully fund the project. Additional funding supports SRTA's prior goals to fully fund the project and supports continued operation costs of the expanded service area until December 2022, providing time for SRTA to evaluate the service as intended, and determine whether the service should continue.

ShastaConnect CTSA Rider Eligibility Expansion Project – This project provides operating costs to expand rider eligibility in the current CTSA service area to include anyone 18 years of age or older, and minors in limited circumstances. The project was proposed for an initial one-year period; however, COVID-19 has hampered outreach efforts to potential riders. Many current riders have not returned to normal travel and the service currently operates under reduced rider capacity in accordance with state and federal COVID-related health guidelines. Expanded rider eligibility started December 2020, with only 50 passenger trips taken by newly eligible riders.

Staff recommends that FY 2020/21 LCTOP funds continue to be allocated toward both projects, with expenditures anticipated to start by December 2021, or earlier.

ALTERNATIVES:

The board of directors may decline to allocate FY 2020/21 LCTOP funds to the proposed projects and allocate to a different project(s) provided the project(s) meets all LCTOP eligibility criteria. Another funding source would need to be identified for the services to continue.

OTHER AGENCY INVOLVEMENT:

Caltrans and the California Air Resources Board administer the LCTOP funds. DHCL operates the ShastaConnect Sunday On-Demand Transit and CTSA services.

FISCAL IMPACT:

This action allocates \$183,165 in FY 2020/21 LCTOP funds toward operational costs for "Year 2" of the following projects: Expanded Sunday On-Demand Transit service to the cities of Anderson and Shasta Lake (\$119,910); and expanded rider eligibility for the Monday through Friday CTSA services (\$67,255).

FY 2017/18 LCTOP funds (\$231,865) funded Sunday On-Demand Transit service startup costs, outreach, and free fares. CTSA services are funded through the five percent set aside of regional Transportation Development Act (TDA) funds. FY 2019/20 LCTOP funds (\$326,992) provided operational funds for "Year 1" of the expanded services. FY 2021/22 LCTOP funds may be needed to cover project gaps.

Daniel S. Little, AICP, Executive Director

Attachment:

A: Resolution 21-07

B: FY 2020/21 LCTOP Authorized Agent Form – Sunday Transit Expansion (Year 2)

C: FY 2020/21 LCTOP Authorized Agent Form – CTSA Rider Eligibility Expansion (Year 2)

RESOLUTION



RESOLUTION NUMBER:	21-07
SUBJECT:	Authorization for the Execution of the Certifications and Assurances and Authorized Agent Forms for the Low Carbon Transit Operations Program for the following Projects: ShastaConnect Sunday On-Demand Transit Service Expansion Project (Year 2), for \$115,910, and ShastaConnect CTSA Rider Eligibility Expansion Project (Year 2) for \$67,255.

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

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

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

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

WHEREAS, the SRTA Board of Directors wishes to delegate authorization to execute the fiscal year 2020/21 LCTOP certifications, assurances and authorized agent forms and any amendments thereto to the executive director; and

WHEREAS, the SRTA Board of Directors wishes to implement the LCTOP project listed above.

NOW, THEREFORE, BE IT RESOLVED that the Shasta Regional Transportation Agency:

1. 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 LCTOP funded transit projects; and
2. Authorizes the Executive Director to execute all required documents of the LCTOP program and any amendments thereto with Caltrans; and
3. Authorizes submittal of the following project nomination(s) and allocation request(s) to Caltrans in FY 2020/21 LCTOP funds:

Project Name: ShastaConnect Sunday On-Demand Transit Service Expansion Project (Year2).

Amount of LCTOP funds requested: \$115,910

Short description of project: Expansion of the ShastaConnect Sunday On-Demand Transit service area to include the cities of Anderson and Shasta Lake, and some nearby unincorporated county areas.

Benefit to a Priority Population: Provides increased access to public transportation.

Project Name: ShastaConnect CTSA Rider Eligibility Expansion Project (Year 2)

Amount of LCTOP funds requested: \$67,255

Short description of project: Expansion of rider eligibility for ShastaConnect Monday-Friday CTSA service.

Benefit to a Priority Population: Provides increased access to public transportation.

PASSED AND ADOPTED this 27th day of April 2021, by the Shasta Regional Transportation Agency.

Greg Watkins, Chair

Shasta Regional Transportation Agency



**FY 2020-2021 LCTOP
Authorized Agent**

AS THE Executive Director

(Chief Executive Officer/Director/President/Secretary)

OF THE Shasta Regional Transportation Agency

(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.

Daniel S. Little, Executive Director

(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

Daniel S. Little

(Print Name)

Executive Director

(Title)

(Signature)

Approved this 27 day of April , 2021



FY 2020-2021 LCTOP Certifications and Assurances

Lead Agency: Shasta Regional Transportation Agency

Project Title: ShastaConnect Sunday On-Demand Transit Service Expansion Project (Year 2)

Prepared by: Sean Tiedgen

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 subject 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.

Daniel S. Little

(Print Authorized Agent)

Executive Director

(Title)

April 27, 2021

(Date)

(Signature)



**FY 2020-2021 LCTOP
Authorized Agent**

AS THE Executive Director

(Chief Executive Officer/Director/President/Secretary)

OF THE Shasta Regional Transportation Agency

(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.

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Click here to enter text.

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OR

Daniel S. Little

(Print Name)

Executive Director

(Title)

(Signature)

Approved this 27 day of April , 2021



FY 2020-2021 LCTOP Certifications and Assurances

Lead Agency: Shasta Regional Transportation Agency

Project Title: ShastaConnect CTSA Rider Eligibility Expansion Project (Year 2)

Prepared by: Sean Tiedgen

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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.

Daniel S. Little

(Print Authorized Agent)

Executive Director

(Title)

April 27, 2021

(Date)

(Signature)