



City of Sacramento City Council

915 I Street, Sacramento, CA, 95814
www.CityofSacramento.org

Meeting Date: 2/22/2011

Report Type: Consent

Title: Funding: Sacramento Intermodal Transportation Facility (T15029000)

Report ID: 2011-00087

Location: District 1 - Downtown near Sacramento Valley Station, between I Street Bridge and 7th Street.

Recommendation: Adopt a Resolution: 1) appropriating an additional \$1,447,897 in federal funds for Track Relocation Project; 2) appropriating an additional \$1,700,000 in reimbursable funds for Track Relocation Project; 3) appropriating \$1,521,000 million in federal funds for the Intermodal Phase 2 design and approving a funding agreement with Regional Transit ; and 4) appropriating \$10.44 million in state Public Transit Account (PTA) funding for the Depot Retrofit Project and approving a Funding Agreement with Caltrans and California Transportation Commission.

Contact: Hinda Chandler, Senior Architect, (916) 808-8422; Lucinda Willcox, Program Manager, (916) 808-5052, Department of Transportation

Presenter: None

Department: Transportation Department

Division: Planning & Policy

Dept ID: 15001041

Attachments:

-
- 1-Description/Analysis
 - 2-Background
 - 3-Agreement Cover Sheet
 - 4-Location Map
 - 5-Resolution
 - 6-Exhibit A - Allocation Section 5309 Regional Surface Transportation Program Funds

City Attorney Review

Approved as to Form
Sheryl N. Patterson
2/15/2011 4:38:15 PM

City Treasurer Review

Prior Council Financial Policy Approval or
Outside City Treasurer Scope
Janelle Gray
2/2/2011 3:11:59 PM

Approvals/Acknowledgements

Department Director or Designee: Jerry Way - 2/15/2011 10:02:00 AM

Assistant City Manager: John Dangberg - 2/15/2011 4:22:10 PM

Eileen Teichert, City Attorney

Shirley Concolino, City Clerk
Gus Vina, Interim City Manager

Russell Fehr, City Treasurer



Description/Analysis

Issue: City Council approval is necessary to enter into funding agreements and accept and budget funds for several sub-projects that are part of the Sacramento Intermodal Transportation Facility (SITF or Intermodal) family of projects. These projects include Track Relocation (Intermodal Phase 1), Improvements to the Sacramento Valley Station (Intermodal Phase 2), and the Depot Retrofit Project.

Policy Considerations: The action requested herein is consistent with the Sacramento City Code, Title 3 and with the City of Sacramento Strategic Plan goals of achieving sustainability and neighborhood livability.

Environmental Considerations:

California Environmental Quality Act (CEQA): Phase 1 Track Relocation and Phase 2 Improvements to the Sacramento Valley Station Projects - On June 2, 2009, the City Council approved a Mitigated Negative Declaration under CEQA, and a Notice of Determination was filed on June 8, 2009. On March 27, 2009, the Federal Highway Administration (FHWA) released the Environmental Assessment and Section 4(f) Evaluation Report for public review. FHWA also consulted with the State Office of Historic Preservation (SHPO) in accordance with Section 106 and on August 28, 2009 entered into a Programmatic Agreement, including the City, Caltrans, the Federal Railroad Administration, the Federal Transit Administration and the Federal Highway Administration as signatories. On August 31, 2009, FHWA issued a Finding of No Significant Impact and authorized the City to implement Phases 1 and 2 of the Intermodal project. Therefore, all requirements of CEQA, NEPA and Sections 4(f) and 106 under federal law have been met and no further environmental review is required to approve the proposed actions for the Phase 1 and Phase 2 Projects.

Depot Retrofit – The proposed project to retrofit the historic Depot building for structural and seismic safety was evaluated and determined to be exempt under CEQA and categorically excluded under NEPA because the work will comply with the Secretary of the Interior Standards. The CEQA Notice of Exemption was filed on January 20, 2011 and the NEPA categorical exclusion was approved on June 7, 2010. SHPO has concurred that there will be no adverse effects on this historic resource.

Phase 2 Intermodal Project – The proposed action to allocate funding for the design of this project is an administrative activity and any further environmental review will be undertaken as part of the design tasks, if needed.

Sustainability Considerations: The SITF projects will provide facilities to accommodate rail freight movement, heavy passenger rail trains, light rail transit, intercity and local buses, and taxis, as well as bicycle and pedestrian transportation modes and future modes, such as streetcars and California High Speed Rail. The Track Relocation Project will improve operations, safety and

convenience for passenger service and goods movement, as well as facilitate the future development of the Intermodal facility. The Intermodal Phase 2 project and the Depot Retrofit's structural upgrades will enable the station to function better for passenger and operators and provide for greater use of the Depot. The improvements are consistent with the City's sustainability goals to provide better accessibility to public transportation.

Other: None.

Commission/Committee Action: None.

Rationale for Recommendation: The funding actions proposed are needed to finance design and construction of the projects.

Financial Considerations: The Sacramento Intermodal Facility is being implemented through several phases and sub-projects. Much of the funding received can only be used for specific sub-projects or activities; for auditing and tracking purposes, several sub-CIPs have been administratively established.

This report amends the revenue and expenditure budgets in the Sacramento Intermodal Facility Project and its sub-CIPs (T15029000):

- \$1,447,897 in federal funds (Fund 3703). This consists of an additional \$1 million in Congestion Management Air Quality (CMAQ) and \$447,897 in American Reinvestment and Recovery Act (ARRA) funds that were programmed to increase funding needed for the Track Relocation Project.
- \$1,700,000 in reimbursable funds (Fund 3702) pursuant to the Track Relocation Project Escrow Agreement with IA Sacramento Holdings, LLC, approved by the City Council on January 18, 2011, for reimbursement of specific expenses related to private development interests for utility services and the West Tunnel which will be constructed concurrently with the Track Relocation Project.
- \$1,521,000 in federal funds (Fund 3703) in Federal Transit Authority (FTA) Section 5309 Fiscal Year 09 allocation. This is federal funding for Phase 2 design of the Intermodal Facility where the City is a grant subrecipient to Regional Transit (RT).
- \$10,440,000 in State Public Transit Account (PTA) Funds (Fund 3704) for the structural and seismic retrofit of the historic Depot.

Disadvantaged Business Enterprise (DBE): DBE participation is included in the Track Relocation and Depot Retrofit bid in accordance with federal funding provisions.



Background Information:

Summary of Project Funding

As a result of extensive efforts on the part of the City and its partners, the Intermodal projects have received considerable funding in federal and state grants, primarily for design and construction. Additionally, the City has contributed local funds, such as Measure A sales tax revenue, for required grant matches, site acquisition and to replace a water transmission line.

Council is being requested to take official action to receive several of the recent grants, to approve funding agreements for them and to appropriate them into the project budget so that they may be expended as needed.

Summary of Funding Actions

Sub-CIP	Project Title	Current Funding	New Funding appropriated with this Council action		Total Funding
T15029003	Depot Retrofit		\$10,440,000	Fund 3704	
T15029005	Track		\$1,447,897	Fund 3703	
T15029006	Relocation		\$1,700,000	Fund 3702	
T15029040	Phase 2 Design		\$1,521,000	Fund 3704	
<i>Administrative Changes to Project Funding based on RT Budget Revision</i>					
T15029003	Depot Retrofit		(\$549,060)	Fund 3703	
T15029040	Phase 2 Design		\$549,060	Fund 3703	
Total Intermodal Funding (T15029000 and all sub-CIPs)		\$141,616,112	\$15,108,897		\$156,725,009

The Intermodal family of projects consists of publicly-funded facilities at the historic Depot and Intermodal site that provide upgrades and new development to enhance this area as a transportation center and retail, commercial, cultural and civic destination. The projects include the main “parent” project, T15029000, and various sub-projects created administratively to better manage funding and contracts. These sub-projects are described below.

Sacramento Intermodal Transportation Facility, or Intermodal or SITF (Intermodal and Phase 3) (T15029000) – This is the main Intermodal project and includes the overall planning, financial and administrative activities for the SITF. At this time, it also includes the initial project development work for the future transformation of the station into a regional transportation connection. The expanded station will accommodate new transportation modes and higher service levels in conjunction with intensive joint development on-site. The existing station and rail corridor will be integrated with the adjacent area into a district containing transportation, development, civic and open

space uses. This location is also planned to be the northern terminus of California High Speed Rail.

Track Relocation (Intermodal Phase 1) Design (T15029005) and Track Relocation Construction (T15029006) – These projects provide the design and construction respectively for the track and passenger improvements, which are the first phase of the Intermodal. The Track Relocation Project relocates and reconfigures the current Union Pacific Railroad (UPRR) mainline and passenger tracks and the passenger platforms to the north between the I Street Bridge and 7th Street. This will improve mainline heavy rail capacity, safety and reliability for both freight service and passenger rail service. Station tracks will branch off the mainline tracks and there will be grade-separated access to the passenger platforms. Relocating the existing UPRR tracks will also allow extension of 5th and 6th Streets. Provision of the West Pedestrian Tunnel will link the south side of the rail corridor and Old Sacramento with the Central Shops area north of the rail. Overall, this project will improve access and circulation within downtown Sacramento and facilitate development of the Railyards project.

Track Relocation is the top priority transportation project in the region. In 2010, bids came in above available funds. Subsequently, the project has been redesigned and reissued for bid. In March 2011, the City will award the construction contract in order to maintain funding.

The action requested in this report increases the funding for Track Relocation construction by \$1,447,897 in federal funds and \$1.7 million in reimbursable funds placed in escrow by IA Sacramento Holdings, LLC.

Improvements to the Sacramento Valley Station (Intermodal Phase 2) (T15029040) – After Track Relocation, improvements to the existing station are planned to enable the station to function better. The Phase 2 Intermodal Project will incorporate components such as a transitway and circulation, site and parking improvements, passenger amenities and refurbishing of the Depot to foster greater use of the building. This report approves the Regional Transit-City pass-through funding and increases the funding for Phase 2 Design (T15029040) by \$1,521,000 in FTA Section 5309 FFY2009 funds. Also, \$589,680 of prior year FTA funds is being administratively reallocated to this project because they are no longer needed as originally scoped.

Intermodal Site Acquisition (T15029001) – This project involves the real estate activities required to acquire the site, obtain easements and resolve right of way and access issues for the property and for construction. With the recent approval of the Purchase and Sale Agreement for Parcel B and the Sliver Addition, this project is near completion.

Depot Seismic and Structural Retrofit (T15029003) – Built in the 1920's, the existing station building referred to as the Depot requires seismic strengthening and structural upgrades to meet current building standards. This project will provide these structural improvements and will also provide accessibility and fire-life safety improvements. This project is currently in design and is planned to be under construction in spring 2011.

This report increases the funding for this project by \$10.44 million in state Public Transit Account (PTA) funds. Council is being requested to approve a resolution accepting the funds, stating the City's intent to proceed with the project and authorizing the City Manager or his designee to enter into the standard CTC Funding Agreement(s) that will be issued by CTC after the funding allocation. This advance approval will facilitate implementation of the project.

Sacramento Valley Station Historic Renovations (T15029002) – This project provides funding for rehabilitation work at the Depot and for the surrounding Depot District. The Depot and the Depot District, which includes the adjacent REA building, are listed on national, state and local historic registers as historic resources.

Sacramento Valley Station Upgrades and Site Repairs (T15029004) – This project encompasses the ongoing maintenance and repairs needed at the existing station on a regular basis. It also includes remediation of hazardous materials and minor capital improvements, such as roof replacements.

Depot Electrical Re-Feed (T15029049) – This project provided for the design and construction of new electrical service to the existing station, including a new electrical room and repowering of existing uses. The station's original electrical system was in a significantly deteriorated condition when the City acquired the site in 2006. When the Track Relocation project required relocation of the electrical service feeding the Depot, this project was initiated. Its construction has been completed and is in the closeout phase.

West Tunnel Design (T15029030) – This project tracked the design work for the pedestrian-bicycle tunnel that will connect the south and north sides of the new rail corridor on the west side of the Intermodal site. The tunnel will provide connectivity between destinations, such as the two California State Railroad Museum sites, facilitate alternative modes and encourage tourism. It will be constructed as part of the Track Relocation project and funded in part with a state Proposition 1B grant and with matching funds by the Railyards property owner under the recently approved Track Relocation Project Escrow Agreement.



Unexecuted Contract/Agreements

- The Unexecuted Contract/Agreement is signed by the other party, is attached as an exhibit to the resolution, and is approved as to form by the City Attorney.

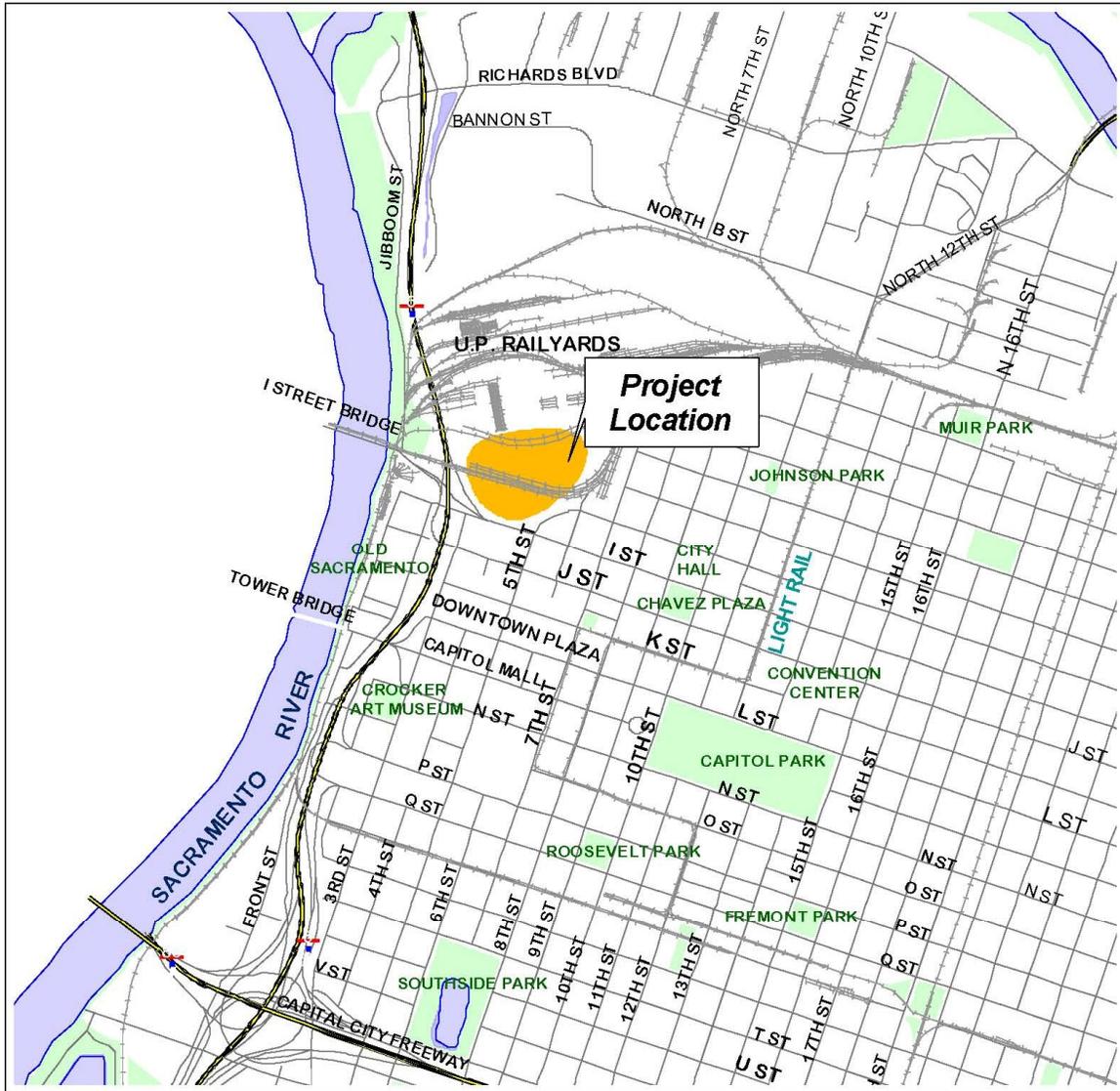
- The Unexecuted Contract/Agreement (Public Project) is NOT signed by the other party, is attached as an exhibit to the resolution, and is approved as to form by the City Attorney.

- X** The Unexecuted Contract is NOT included as an exhibit to the Resolution, as the Agreement(s) is with other another governmental agency and it is not feasible to obtain the other agency's signature prior to Council action (be they denominated Agreements, MOUs, MOAs, etc.); however, the City Attorney approves the forwarding of the report to Council even though the signed agreement is not in hand yet.

- The Unexecuted Contract is NOT included as an exhibit to the resolution because, due to special circumstances, and the City Attorney confirms in writing that it is okay to proceed with Council action even though the signed agreement is not in hand yet.

All unexecuted contracts/agreements which are signed by the other parties are to be in the Office of the City Clerk before agenda publication.

Location Map for
**SACRAMENTO INTERMODAL
TRANSPORTATION FACILITY (SITF)**
(PN:CF41)



Map Contact: S. Tobin
Date: October, 2003

1000 0 1000 2000 Feet





RESOLUTION NO.

Adopted by the Sacramento City Council

APPROPRIATING FUNDING AND APPROVING AGREEMENTS FOR SACRAMENTO INTERMODAL TRANSPORTATION FACILITY PROJECTS

BACKGROUND

- A. The Sacramento Intermodal Transportation Facility Project (Intermodal) will be implemented in phases and in a series of projects that include Track Relocation (Intermodal Phase 1), Sacramento Valley Station Improvements (Intermodal Phase 2) and the Depot Retrofit Project.
- B. Caltrans and the Federal Highway Administration (FHWA) authorized additional federal funding in the amount of \$1,447,897 for construction related to Track Relocation Project.
- C. The City and IA Sacramento Holdings, LLC entered into the Track Relocation Escrow Agreement to provide \$1.7 million in reimbursable funds for the West Tunnel and Railyards utilities and these funds needs to be budgeted as part of the Track Relocation CIP.
- D. The Intermodal project has received authorization for Federal Transit Administration (FTA) Section 5309 funds in the amount of \$1,521,000 to be provided to the City, as a sub-recipient to Regional Transit, to support design of the Sacramento Valley Station Phase 2 improvements. The funding transfer agreement needs to be approved and the funds need to be programmed in the CIP.
- E. The Depot Retrofit Project is programmed in FY 10/11 State Transportation Improvement Plan (STIP) for allocation of \$10.440 million in funding by the CTC. The City Council needs to approve the funding request and authorize execution of the funding agreement to receive such allocation.

BASED ON THE FACTS SET FORTH IN THE BACKGROUND, THE CITY COUNCIL RESOLVES AS FOLLOWS:

- Section 1. The Track Relocation Project revenue and expenditure budgets are increased by \$1,447,897 (Fund 3703) and \$1,700,000 (Fund 3702) to accept additional federal and developer funding respectively for this project.

- Section 2. The City Manager or his designee is authorized to execute a sub-recipient funding agreement with Sacramento Regional Transit District to accept funds for the Sacramento Valley Station Improvement Project (T15029000) and the project revenue and expenditure budgets are increased by \$1,521,000 (Fund 3703).
- Section 3. The City Manager or his designee is authorized to execute a Funding Agreement with the State of California Transportation Commission and California Department of Transportation for Public Transit Account (PTA) funds and take other actions related to accepting funds for the Depot Retrofit Project (T15029000). The Depot Retrofit Project revenue and expenditure budgets are increased by \$10,440,000 to reflect the STIP PTA funds (Fund 3704) upon allocation by California Transportation Commission (T15029000).
- Section 4. Exhibit A is incorporated into and made part of this Resolution.

Table of Contents:

Exhibit A – Allocation to City of Sacramento for Section 5309 Regional Surface Transportation Program Funds



**ALLOCATION TO CITY OF SACRAMENTO
FOR FEDERAL FISCAL YEAR 2006
SECTION 5309 REGIONAL SURFACE TRANSPORTATION
PROGRAM AND URBANIZED AREA FORMULA FUNDS**

Pursuant to Article 2 of the Agreement to Provide Section 5309 FTA Grant Funds to the City of Sacramento (CITY) dated July 30, 2008, whereby CITY is eligible to receive funding made available under 49 U.S.C. Section 5309 ("Section 5309") from the U.S. Department of Transportation, Federal Transit Administration ("FTA"), as amended, the parties agree as follows:

- A. RT will allocate to CITY Section 5309 funds for FY2006 in the amount of \$1,521,520. The term "FY" refers to the Federal fiscal year ending September 30.
- B. CITY must comply with all of the terms and conditions set out in FTA Grant No. CA-04-0013-03, a copy of which is attached as Exhibit 1, along with the referenced Certifications and Assurances applicable to this Project, which are attached as Appendix A and incorporated herein by this reference.
- C. RT's allocation of Section 5309 funds in future fiscal years is subject to the approval of the RT Board of Directors and FTA.

CITY OF SACRAMENTO

**SACRAMENTO REGIONAL
TRANSIT DISTRICT**

By: _____
GUS VINA
Interim City Manager

By: Michael R. Wiley
MICHAEL R. WILEY
General Manager/CEO

Date: _____

Date: December 15, 2010

Approved as to Legal Form:

Approved as to Legal Form:

By: [Signature]
City Attorney

By: [Signature]
RT Attorney

DOT



FTA

U.S. Department of Transportation

Federal Transit Administration

Part 9: Agreement

UNITED STATES OF AMERICA
DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION

GRANT AGREEMENT
(FTA G-17, October 1, 2010)

On the date the authorized U.S. Department of Transportation, Federal Transit Administration (FTA) official's electronic signature is entered for this Grant Agreement, FTA has Awarded Federal assistance in support of the Project described below. Upon Execution of this Grant Agreement by the Grantee named below, the Grantee affirms this FTA Award, and enters into this Grant Agreement with FTA. The following documents are incorporated by reference and made part of this Grant Agreement:

- (1) "Federal Transit Administration Master Agreement," FTA MA(17), October 1, 2010, <http://www.fta.dot.gov/documents/17-Master.pdf>
- (2) The Certifications and Assurances applicable to the Project that the Grantee has selected and provided to FTA, and
- (3) Any Award notification containing special conditions or requirements, if issued.

FTA OR THE FEDERAL GOVERNMENT MAY WITHDRAW ITS OBLIGATION TO PROVIDE FEDERAL ASSISTANCE IF THE GRANTEE DOES NOT EXECUTE THIS GRANT AGREEMENT WITHIN 90 DAYS FOLLOWING THE DATE OF THIS FTA AWARD SET FORTH HEREIN.

FTA AWARD

FTA hereby awards a Federal grant as follows:

Project No: CA-04-0013-03

Grantee: SACRAMENTO REGIONAL TRANSIT DISTRICT

Citation of Statute(s) Authorizing Project: 49 USC 5309 - Bus and Bus Facilities (FY2006 forward)

Estimated Total Eligible Cost (in U.S. Dollars): \$9,395,893

Maximum FTA Amount Awarded [Including All Amendments] (in U.S. Dollars): \$7,455,214

Amount of This FTA Award (in U.S. Dollars): \$1,956,240

Maximum Percentage(s) of FTA Participation:

Percentages of Federal participation are based on amounts included in the Approved Project Budget, modified as set forth in the text following the Project Description.

U.S. Department of Labor Certification of Public Transportation Employee Protective Arrangements:

Original Project Certification Date: 9/10/2007

Amendment 1 Certification Date: 8/18/2008

Amendment 2 Certification Date: 8/6/2009

Amendment 3 Certification Date: 9/10/2010

Project Description:

FY06 Sec 5309 Bus Discret Grant Amend 3

The Project Description includes information describing the Project within the Project Application submitted to FTA, and the Approved Project Budget, modified by any additional statements displayed in this Grant Agreement, and, to the extent FTA concurs, statements in other documents including Attachments entered into TEAM-Web.

Awarded By:

Leslie Rogers

Regional Administrator

FEDERAL TRANSIT ADMINISTRATION

U.S. DEPARTMENT OF TRANSPORTATION

09/23/2010

EXECUTION OF GRANT AGREEMENT

The Grantee, by executing this Grant Agreement, affirms this FTA Award; adopts and ratifies all statements, representations, warranties, covenants, and materials it has submitted to FTA; consents to this FTA Award; and agrees to all terms and conditions set forth in this Grant Agreement.

By executing this Grant Agreement, I am simultaneously executing any Supplemental Agreement that may be required to effectuate this Grant Agreement.

Executed by:

Michael R Wiley

Interim General Manager/CEO
SACRAMENTO REGIONAL TRANSIT DISTRICT
11/08/2010

DOT



FTA

U.S. Department of Transportation

Federal Transit Administration

Application

Recipient ID:	1659
Recipient Name:	SACRAMENTO REGIONAL TRANSIT DISTRICT
Project ID:	CA-04-0013-03
Budget Number:	5 - Budget Approved
Project Information:	FY06 Sec 5309 Bus Discret Grant Amend 3

Part 1: Recipient Information

Project Number:	CA-04-0013-03
Recipient ID:	1659
Recipient Name:	SACRAMENTO REGIONAL TRANSIT DISTRICT
Address:	P.O. BOX 2110 , SACRAMENTO, CA 95812 2110
Telephone:	(916) 321-2989
Facsimile:	(916) 444-2156

Part 2: Project Information

Project Type:	Grant	Gross Project Cost:	\$2,445,300
Project Number:	CA-04-0013-03	Adjustment Amt:	\$0
Project Description:	FY06 Sec 5309 Bus Discret Grant Amend 3	Total Eligible Cost:	\$2,445,300
Recipient Type:	Transit Authority	Total FTA Amt:	\$1,956,240
FTA Project Mgr:	Susan Chu	Total State Amt:	\$0
Recipient Contact:	Joe Paglieroni, Financial Analyst	Total Local Amt:	\$489,060
New/Amendment:	Amendment	Other Federal Amt:	\$0
Amend Reason:	Increase Award	Special Cond Amt:	\$0
Fed Dom Asst. #:	20500	Special Condition:	None Specified
		S.C. Tgt. Date:	None Specified

Sec. of Statute:	5309-2	S.C. Eff. Date:	None Specified
State Appl. ID:	None Specified	Est. Oblig Date:	None Specified
Start/End Date:	-	Pre-Award Authority?:	Yes
Recvd. By State:	Jul. 07, 2010	Fed. Debt Authority?:	No
EO 12372 Rev:	Not Applicable	Final Budget?:	No
Review Date:	None Specified		
Planning Grant?:	NO		
Program Date (STIP/ UPWP/FTA Prm Plan) :	May. 27, 2010		
Program Page:	various		
Application Type:	Electronic		
Supp. Agreement?:	No		
Debt. Delinq. Details:			

Urbanized Areas

UZA ID	UZA Name
60390	SACRAMENTO, CA

Congressional Districts

State ID	District Code	District Official
6	5	Doris O Matsui

Project Details

Amendment 3

a) RT requests additional funding for the Bus Maintenance Facility #2 project.

Change scope 117-00

ALI 11.76.97 BMF2 Maintenance Facility Rehabilitation: Add \$434,720 Sec. 5309 Bus Discretionary funds and match.

b) RT requests adding funding for the Sacramento Intermodal Facility Improvement project.

Change scope 123-00

ALI 12.31.12 City of Sacramento- Intermodal Station: Add \$ 1,521,520 Sec. 5309 Bus Discretionary funds and match for final design.

Amendment 2

a) RT requests additional funding for the Sacramento Intermodal Facility Improvement project.

Change scope 123-00

ALI 12.31.12 City of Sacramento- Intermodal Station: Add \$ 325,040 Sec. 5309 Bus Discretionary funds and match.

ALI 12.34.12 City of Sacramento- Intermodal Station: Add \$1,079,440 Sect 5309 Bus Discretionary funds and match.

b) RT also requests additional funding for the Bus Maintenance Facility #2 (BMF2) project.

Change scope 117-00

ALI 11.76.97 BMF2 Maintenance Facility Rehabilitation: Add \$401,280 Sec. 5309 Bus Discretionary funds and match.

Union Information:

Sacramento Regional Transit District:

Amalgamated Transit Union, Local 256

Victor Guerra, President

2776 21st Street

Sacramento, CA 95818

(916) 739-1627

E-Mail: transitunion256@sbcglobal.net

International Brotherhood of Electrical Workers, Local 1245

Sheila Lawton, Business Representative

P.O. Box 2547

Vacaville, CA 95696

(707) 452-2754

E-Mail: sl13@ibew1245.com

American Federation of State, County and Municipal Employees

District Council 57

Nancy Swindell, Business Agent

555 Capitol Mall, Suite 1225

Sacramento, CA 95814

(916) 798-2381

E-Mail: nancy_swindell@msn.com

Administrative Employees Association

Michael Smith, Chair

1400 29th Street

Sacramento, CA 95816

(916) 556-0330

E-Mail: msmith@sacrt.com

CITY OF SACRAMENTO

Stationary Engineers, Local 39

Joan Bryant, Director of Public Employees

Steve Crouch, Business Representative

Marcia Mooney, Business Representative

Scherita Adams, Business Representative

1620 North Market Blvd.

Sacramento, CA 95834

(916) 928-0399

(916) 928-1216 (FAX)

International Association of Machinists, & Aerospace Workers (IAMAW)
H.D. Skipö Hatch, Business Representative
967 Venture Court
Sacramento, CA 95825
(916) 929-1040, ext. 13
(916) 929-3794 (FAX)

Western Council of Engineers
Nancy E. Watson, Executive Director
700 College Avenue
Santa Rosa, CA 95404
(707) 575-6000
(707) 575-6014 (FAX)

Auto, Marine & Specialty Painters, Local 1176
Jose Santana, Business Representative
8400 Enterprise Way, Room 124
Oakland, CA 94621
(510) 632-7456
(510) 632-7459 (FAX)

Sacramento ù Sierra Building and Construction Trades Council
Mark Martin, Unit Bargaining Representative
c/o IAMAW
967 Venture Court
Sacramento, CA 95825
(916) 929-1040, ext. 11
(916) 929-3794 (FAX)

Plumbers & Pipefitters, Local 447
Harry Rotz, Business Manager
5841 Newman Court
Sacramento, CA 95819
(916) 457-6595
(916) 454-6151 (FAX)

Amendment 1

a) RT requests additional funding for the Sacramento Intermodal Facility Improvement project.

Add scope 123-00

ALI 12.31.12 City of Sacramento- Intermodal Station: Add \$ 1,442,500 Sec. 5309 Bus Discretionary funds and match.

b) RT also requests additional funding for the Placerville Park and Bus Facility Phase II project.

Change scope 113-00

ALI 11.33.04 Placerville Park and Bus Facility Phase II: Add \$987,500 Sec. 5309 Bus Discretionary funds and match.

Original

Bus Maintenance Facility II
City of Galt ù Bus Acquisition
Paratransit Vehicle Acquisition

City of Sacramento - Intermodal Depot Retrofit
Placerville Station Phase II

Earmarks

Earmark Details

Earmark ID	Earmark Name	Orig. Balance	Amount Applied
E2008-BUSP-0108	Sacramento, CA Bus enhance	\$434,720	\$434,720
E2008-BUSP-0109	Sacramento, Improvements to	\$1,521,520	\$1,521,520

Number of Earmarks: 2

Total Amount Applied: \$1,956,240

Date Sent for Release: 9/21/2010 5:19:35 PM

Date Released: 9/23/2010

Security

No information found.

Part 3: Budget

Project Budget

	Quantity	FTA Amount	Tot. Elig. Cost
<u>SCOPE</u>			
111-00 BUS - ROLLING STOCK	14	\$990,000.00	\$1,237,500.00
<u>ACTIVITY</u>			
11.12.04 CITY OF GALT - PURCHASE REPLACEMENT BUSES	2	\$120,000.00	\$150,000.00
11.12.04 PARATRANSIT VEHICLE ACQUISITION #771	12	\$870,000.00	\$1,087,500.00
<u>SCOPE</u>			
127-00 OTHER CAPITAL ITEMS (RAIL)	0	\$160,440.00	\$200,550.00
<u>ACTIVITY</u>			
12.72.01 CITY OF SAC - INTERMODAL STATION - FORCE ACCT PREL ENG	0	\$40,440.00	\$50,550.00
12.71.01 CITY OF SAC - INTERMODAL STATION - PREL ENG - 3RD PARTY	0	\$120,000.00	\$150,000.00

<u>SCOPE</u>			
117-00 OTHER CAPITAL ITEMS (BUS)	0	\$1,216,714.00	\$1,520,893.00
<u>ACTIVITY</u>			
11.76.97 BMF2 - MAINTENANCE FACILITY REHABILITATION #715	0	\$1,216,714.00	\$1,520,893.00
<u>SCOPE</u>			
113-00 BUS - STATION/STOPS/ TERMINALS	0	\$990,000.00	\$1,237,500.00
<u>ACTIVITY</u>			
11.33.04 PLACERVILLE PARK AND BUS FACILITY PHASE II	0	\$990,000.00	\$1,237,500.00
<u>SCOPE</u>			
123-00 RAIL - STATION/STOPS/ TERMINALS	0	\$4,098,060.00	\$5,199,450.00
<u>ACTIVITY</u>			
12.31.12 CITY OF SAC - INTERMODAL STATION IMPROV- STRUCT DESIGN	0	\$1,386,860.00	\$1,810,450.00
12.31.12 CITY OF SAC - INTERMODAL PHASE 2 FINAL DESIGN	0	\$1,521,520.00	\$1,901,900.00
12.34.12 CITY OF SACTO- INTERMODAL FACILITY- ELECTRICAL REPLACEMENT	0	\$0.00	\$0.00
12.34.12 CITY OF SACTO- INTERMODAL FIRE SPRINKLERS	0	\$640,000.00	\$800,000.00
12.31.12 SACTO INTERMODAL FACILITY- ELECTRICAL DESIGN	0	\$0.00	\$0.00
12.31.12 SACTO INTERMODAL FACILITY-STRUCTURAL DESIGN	0	\$549,680.00	\$687,100.00
Estimated Total Eligible Cost:			\$9,395,893.00
Federal Share:			\$7,455,214.00
Local Share:			\$1,940,679.00

OTHER (Scopes and Activities not included in Project Budget Totals)

None

SOURCES OF FEDERAL FINANCIAL ASSISTANCE

<u>UZA ID</u>	<u>Accounting Classification</u>	<u>FPC</u>	<u>FY</u>	<u>SEC</u>	<u>Previously Approved</u>	<u>Amendment Amount</u>	<u>Total</u>
60390	2006.25.04.31.2	00	2010	04	\$3,693,214.00	\$0.00	\$3,693,214.00
60390	2007.25.04.31.2	00	2010	04	\$1,805,760.00	\$0.00	\$1,805,760.00
60390	2008.25.04.31.2	00	2010	04	\$0.00	\$1,956,240.00	\$1,956,240.00
Total Previously Approved:							\$5,498,974.00
Total Amendment Amount:							\$1,956,240.00
Total from all Funding Sources:							\$7,455,214.00

Alternative Fuel Codes

11.12.04	CITY OF GALT - PURCHASE REPLACEMENT BUSES	Gasoline
11.12.04	PARATRANSIT VEHICLE ACQUISITION #771	Gasoline

Extended Budget Descriptions

11.12.04	CITY OF GALT - PURCHASE REPLACEMENT BUSES	2	\$120,000.00	\$150,000.00
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SACOG MTIP ID# SAC24141 Administrative Amendment 07-04

State Approval: 03/5/07

Federal Approval: 03/15/07

3c) Project Description: Purchase of 2 replacement buses.

Project Justification: Of the current remaining SCT Link fleet of 12 buses, eight (#4,6,7,9,12,13,14, and 15) have exceeded either the customary service life of five year service or customary mileage limit of 250,000 miles. In addition, three more buses (#1, 2 and 8) have already been retired and returned to the County without replacement. (See attached bus inventory for specific age and mileage.) Subject buses will replace bus numbers 1 and 2. Funds are being sought for replacement of the remaining nine buses needing replacement.

The Short Range Transit Plan adopted in 2000 calls for the replacement of two buses each year. SCT Link and the County have fallen somewhat behind on bus replacement, having purchased only seven busses since the SRTP was adopted. The last buses were replaced in 2004. These replacements are part of an overall plan using federal, state and local funds to bring the fleet up to date and to regularize the fleet replacement schedule. The fleet replacement schedule will be updated in the SRTP currently being prepared by SACOG and is anticipated to be adopted in the 2007/08 fiscal year.

Vehicles anticipated to be replaced:

Vehicle # 1; 1996 PH Chevy; mileage 4-30-07= 208,854.8

Vehicle # 2; 1996 PH Chevy; mileage 4-30-07= 207,988.0

4) Project Budget: \$150,000

Federal Participation: \$120,000 (80% Section 5309 Bus Discretionary Funds)

Local Match: \$30,000 (20% Transportation Development Act Funds)

11.12.04	PARATRANSIT VEHICLE ACQUISITION #771	12	\$870,000.00	\$1,087,500.00
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SACOG MTIP ID#REG 17781, Amendment 07-00

State approval: 5/31/06

Federal approval: 10/2/06

Project Description: Purchase 12 Paratransit vehicles and communication equipment at approximately \$85,000 per vehicle.

Project Justification: Paratransit Inc. provides mandatory complementary ADA paratransit services on behalf of RT. As part of our agreement with Paratransit, Inc. RT is required to purchase paratransit vehicles for Paratransit, The average service life of a demand response paratransit vehicle has been estimated to be 4 years or 100,000 miles. Vehicles in the paratransit fleet that are beyond their useful life are continually replaced. The current average fleet age is 3.83 years. These vehicles are needed to replace vehicles that have reached the end of their useful life.

Of the 31 vehicles requiring replacement, we will be replacing 12 buses with mileage over 150,000 miles.

Project Budget: \$ 1,087,500

Federal Participation: \$ 870,000 (80% FY06 5309 Bus Funds)

Local Participation: \$ 217,500 (20% State PTA funds)

12.72.01	CITY OF SAC - INTERMODAL STATION - FORCE ACCT PREL ENG	0	\$40,440.00	\$50,550.00
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Budget Revision: transfer \$79,560 balance to 12.31.12 Structural Design Phase

SACOG MTIP ID# SAC24378

Amendment 07-07

State Approval: 6/25/07

Federal Approval:6/29/07

3c)Project Description: The project scope consists of providing structural, facade and building improvements at existing the Depot site located northwest of 5th and I Streets in Sacramento, CA, The Depot building, completed in 1926 is listed on the National Historic Register.

The project would involve design and engineering and specifications and support for these phases and tasks.

The final product would be a Depot building that is structurally and seismically strengthened, has upgraded utilities and building systems and refurbished building components and historic features.

During 2007-2008, the proposed scope of seismic, structural, and other work will be programmed into a project description that will form the basis for the determination of the appropriate environmental document and process for the project. The City of Sacramento City Council will take action on the environmental document at the conclusion of the review process and will also approve with proceeding with the project. Similarly upon completion of the environmental process, approval to proceed into design would be obtained from Caltrans.

Project Justification: Currently the Depot is used as a transportation center but has structural and seismic deficiencies

and deteriorated building conditions. The proposed project would provide upgrades and repairs needed to correct the deficiencies, maintain functionality and preserve historic intergrity.

4) Project Budget: \$150,000

Federal Participation: \$120,000 (80% Section 5309 Bus Discretionary Funds)

Local Match: \$30,000 (20% STIP Funds)

12.71.01	CITY OF SAC - INTERMODAL STATION - PREL ENG - 3RD PARTY	0	\$120,000.00	\$150,000.00
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SACOG MTIP ID# SAC24378

Amendment 07-07

State Approval: 6/25/07

Federal Approval: 6/29/07

3c) Project Description: The project scope consists of providing structural, facade and building improvements at existing the Depot site located northwest of 5th and I Streets in Sacramento, CA, The Depot building, completed in 1926 is listed on the National Historic Register.

The project would involve design and engineering and specifications and support for these phases and tasks.

The final product would be a Depot building that is structurally and seismically strengthened, has upgraded utilities and building systems and refurbished building components and historic features.

During 2007-2008, the proposed scope of seismic, structural, and other work will be programmed into a project description that will form the basis for the determination of the appropriate environmental document and process for the project. The City of Sacramento City Council will take action on the environmental document at the conclusion of the review process and will also approve with proceeding with the project. Similarly upon completion of the environmental process, approval to proceed into design would be obtained from Caltrans.

Project Justification: Currently the Depot is used as a transportation center but has structural and seismic deficiencies and deteriorated building conditions. The proposed project would provide upgrades and repairs needed to correct the deficiencies, maintain functionality and preserve historic intergrity.

4) Project Budget: \$150,000

Federal Participation: \$120,000 (80% Section 5309 Bus Discretionary Funds)

Local Match: \$30,000 (20% STIP Funds)

11.76.97	BMF2 - MAINTENANCE FACILITY REHABILITATION #715	0	\$1,216,714.00	\$1,520,893.00
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Amendment 2

Section 5309 Bus Discretionary Grant Funding

This grant applies 2008 Section 5309 Bus Discretionary Grant funding of \$ 434,720 to rehabilitate/construct a second bus maintenance facility at the McClellan Park site located in Sacramento County. Tasks include renovating and demolishing existing buildings to accommodate bus maintenance, constructing bus fueling (CNG) and bus wash facilities, grading and paving, providing separate ingress and egress pathways and one emergency access point, and improving parking space area.

A second facility eliminates overcrowding and the risk of single point failure for fueling. The facility provides a fueling station for other public operators with CNG fleets. The McClellan site offers desirable amenities in terms of location, cost, and the ability to reuse existing buildings as a bus maintenance facility. A second facility also would reduce deadhead and non revenue miles. In addition, a second BMF allows RT to arrange/centralize facility uses at the 29th and N St. facility for more efficient and flexible operations.

Additional funding is in grants CA-90-Y356, CA-90-Y078, CA-03-0630, and CA-95-X029.

A federal ratio of 80/20 will apply.

A documented categorical exclusion was issued on 9/17/2004. A re-evaluation was issued 2/5/10, affirming the categorical exclusion finding for subsequent proposed changes.

11.33.04 PLACERVILLE PARK AND BUS FACILITY PHASE II	0	\$990,000.00	\$1,237,500.00
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SACOG MTIP ID# ELD16070

Amendment 07-15

State Approval: 6/23/08

Federal Approval: 7/14/08

3c) Project Description:

The Placerville Station (Phase 1) was completed in 2001. The Phase 1 facility includes approximately 55 parking spaces, restrooms, a covered shelter, electric vehicle charging stations, and other amenities.

Permanent, additional parking is needed immediately to support new transit service that began August 15, 2006. The additional parking is urgently needed to compensate for a loss of downtown parking associated with current street improvements. Local funds were used to construct a temporary parking facility for use by transit riders while the Federally-funded project is designed and constructed in accordance with Federal requirements.

The Placerville Station Phase 2 expansion is occurring on the adjacent parcel immediately to the south, adding approximately 75 additional parking spaces, for a total of approximately 130 spaces. The City intends to donate this parcel to the project as an in-kind match to the Federal Transit Administration grant as allowed under 49 CFR 18.24, and FTA Circular 5010.1C, Chapter II, Section (2)(a)(5).

The Phase 2 expansion will require minor re-alignment of, and improvements to, Mosquito Road, and includes street frontage improvements, including sidewalks for safe pedestrian access, utility relocations, lighting, and landscaping. The project also includes connecting to the El Dorado Trail, which currently terminates both immediately north and south of the Placerville Station, providing for safe bicycle and pedestrian access on a Class 1 facility.

Environmental clearances were completed in 2006 (CEQA Categorical Exemption and NEPA Categorical Exclusion).

4) Project Budget: \$250,000

Federal Participation: \$ 200,000 (80% Section 5309 Bus Discretionary Funds)

Local Match: \$ 50,000 (20% In-Kind Funds)

SACOGÆs administrative amendment 7-08 adopted this project into the MTIP.

Amendment #1:

The project description remains basically unchanged except the number of parking spaces in Phase 2 is reduced from 75 to 50.

3c) Project Description:

The Placerville Station (Phase 1) was completed in 2001. The Phase 1 facility includes approximately 55 parking spaces, restrooms, a covered shelter, electric vehicle charging stations, and other amenities.

The Placerville Station Phase 2 expansion is occurring on the adjacent parcel immediately to the south, adding approximately 50 additional parking spaces, for a total of approximately 105 spaces. The City has received approval from the Federal Transit Administration to use the value of the City-owned parcel as an in-kind right-of-way donation under 49 CFR 18.24, and FTA Circular 5010.1C, Chapter II, Section (2)(a)(5).

The Phase 2 expansion will require minor re-alignment of, and improvements to, Mosquito Road, and includes street frontage improvements, including sidewalks for safe pedestrian access, utility relocations, lighting, and landscaping. The project also includes connecting to the El Dorado Trail, which currently terminates both immediately north and south of the Placerville Station, providing for safe bicycle and pedestrian access on a Class 1 facility.

Environmental clearances were completed in 2006 (CEQA Categorical Exemption and NEPA Categorical Exclusion).

Budget added to the project: \$987,500

Federal Participation: \$790,000

Local Participation: \$197,500

Revised budget total: \$ 1,237,500

Federal Participation: \$990,000 (80% Section 5309 Bus Discretionary Funds)

Local Participation:

\$ 247,500 (20% In-Kind Funds)

12.31.12	CITY OF SAC - INTERMODAL STATION IMPROV- STRUCT DESIGN	0	\$1,386,860.00	\$1,810,450.00
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Budget Revision: Transfer \$79,560 from 12.72.01 Force Account Preliminary Engineering

Amendment 1

Section 5309 Bus Discretionary Grant Funding

This grant applies 2007 Section 5309 Bus Discretionary Grant funding of \$ 214,800 to environmental and preliminary design work for the structural retrofit of the Depot building. The project would involve environmental review, design and engineering, preparation of specifications and support for these phases and tasks.

Any funding remaining in the event PE/environmental costs are less than budgeted would be used for final design including completion of contract documents, including plans, specifications, and estimates, and bid documents and tasks for the project.

Project Justification: Currently the Depot is used as a transportation center but has structural and seismic deficiencies and deteriorated building conditions. The proposed project would provide upgrades and repairs needed to correct the deficiencies, maintain functionality and preserve historic integrity.

Additional funding for environmental/preliminary design work includes 2005 and 2006 Section 5309 Bus Discretionary funds previously approved on this grant.

A federal ratio of 80/20 will apply.

12.31.12 CITY OF SAC - INTERMODAL PHASE 2 FINAL DESIGN	0	\$1,521,520.00	\$1,901,900.00
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Section 5309 Bus Discretionary Grant Funding

This grant applies 2008 Section 5309 Bus Discretionary Grant funding of \$ 1,521,520 to final design for Phase 2 of the Intermodal Project. Phase 2 consists of improvements to upgrade intermodal and relocate transportation facilities for more efficient operations, including relocating/reconfiguring bus berths, vehicle and bike parking, and the light rail transit (LRT) station; refurbishing/rehabilitating the depot building; and providing passenger connection enhancements.

Project Justification: LRT station relocation closer to rail platforms will create better internal site circulation for passengers, and make transfers and connections more convenient. Parking relocation and reconfiguration will better accommodate parking demand and make passenger drop off more efficient. Rehabilitating the depot building will make it more functional and less prone to deterioration. Passenger transit enhancements will facilitate circulation and provide separation from congested streets.

A Finding of No Significant Impact (FONSI) was issued for the project in August 2009.

Additional funding for environmental/preliminary engineering for the structural retrofit of the Depot building, and design and upgrade of the electrical system for the Depot building is provided by 2005 to 2007 Section 5309 bus discretionary funds previously approved on this grant.

A federal ratio of 80/20 will apply.

12.34.12 CITY OF SACTO- INTERMODAL FACILITY- ELECTRICAL REPLACEMENT	0	\$0.00	\$0.00
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Budget Revision: revise this budget from electrical improvement project of \$1,079,440 to Fire Sprinklers project \$640,000

Section 5309 Bus Discretionary Grant Funding

This grant applies 2007 Section 5309 Bus Discretionary Grant funding of \$ \$1,079,440 to upgrade the electrical system for the Depot building including a new electrical room and utility vault, the installation of additional meter sections, and the disconnecting of all electrical loads from the existing electrical service. The project also includes a new SMUD pad mounted transformer, primary and secondary feeders, and installation of part of the main switchboard.

The current system experiences outages, has inadequate capacity, and is deteriorated to the point where it would not meet code and cannot be added to nor fixed in its current state. In addition, the Depot is still supplied through a single service that handles the entire Railyards- it needs to be on its own separate service and meter(s).

Construction will be preceded by final design and that phase is also included in this grant amendment.

A federal ratio of 80/20 will apply.

12.34.12	CITY OF SACTO-INTERMODAL FIRE SPRINKLERS	0	\$640,000.00	\$800,000.00
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City of Sacramento requested budget revision that the funds programmed for the electrical improvement will reassign to upgrade the fire sprinklers system in the Depot as part of retrofit project. The original electrical improvement was completed as part of the Track Relocation project.

Section 5309 Bus Discretionary Grant Funding

This grant applies 2007 Section 5309 Bus Discretionary Grant funding of \$ \$1,079,440 to upgrade the electrical system for the Depot building including a new electrical room and utility vault, the installation of additional meter sections, and the disconnecting of all electrical loads from the existing electrical service. The project also includes a new SMUD pad mounted transformer, primary and secondary feeders, and installation of part of the main switchboard.

The current system experiences outages, has inadequate capacity, and is deteriorated to the point where it would not meet code and cannot be added to nor fixed in its current state. In addition, the Depot is still supplied through a single service that handles the entire Railyards- it needs to be on its own separate service and meter(s).

Construction will be preceded by final design and that phase is also included in this grant amendment.

12.31.12	SACTO INTERMODAL FACILITY- ELECTRICAL DESIGN	0	\$0.00	\$0.00
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Budget Revision: revise this budget from electrical Design \$110,240 to structure Design \$549,680

Section 5309 Bus Discretionary Grant Funding

This grant applies 2007 Section 5309 Bus Discretionary Grant funding of \$ 110,240 to design necessary electrical system upgrades for the Depot building including design of a new utility vault and the building electrical distribution system, including the installation of additional meter sections.

The current system experiences outages, has inadequate capacity, and is deteriorated to the point where it would not meet code and cannot be added to nor fixed in its current state. In addition, the Depot is still supplied through a single service that handles the entire Railyards- it needs to be on its own separate service and meter(s).

Electrical upgrades will follow final design and this phase is also included in this grant amendment.

A federal ratio of 80/20 will apply.

12.31.12	SACTO INTERMODAL FACILITY-STRUCTURAL DESIGN	0	\$549,680.00	\$687,100.00
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City of Sacramento requested budget revision that the funds programmed for the electrical improvement will reassign to the Sacramento Station Improvements. This phase focuses on improvements to make the station more functional and easier to use for passengers.

Part 5. Environmental Findings

111204	CITY OF GALT - PURCHASE REPLACEMENT BUSES	2	\$120,000	\$150,000
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Finding No. 1 - Class II(c)

C17 - Purchase of vehicles

The purchase of vehicles by the applicant where the use of these vehicles can be accommodated by existing facilities or by new facilities which themselves are within a CE.

127201	CITY OF SAC - INTERMODAL STATION - FORCE ACCT PREL ENG	0	\$40,440	\$50,550
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Finding No. 1 - Class II(c)

C01 - Engineering/Design/Planning/Tech.Studies

Activities which do not involve or lead directly to construction, such as planning and technical studies; projects for training and research programs; planning activities eligible for assistance listed in 23 U.S.C. 134, 135, and 307(c); planning activities related to approval of a unified work program and any findings required in the planning process pursuant to 23 C.F.R. Part 450, activities for state planning and research programs pursuant to 23 C.F.R. Part 420; engineering to define the elements of a proposed action or alternatives so that social, economic, and environmental effects can be assessed.\n\n

Finding Details: CE 771.117(c1)

127101 CITY OF SAC - INTERMODAL STATION - PREL ENG - 3RD PARTY	0	\$120,000	\$150,000
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Finding No. 1 - Class II(c)**C01 - Engineering/Design/Planning/Tech.Studies**

Activities which do not involve or lead directly to construction, such as planning and technical studies; projects for training and research programs; planning activities eligible for assistance listed in 23 U.S.C. 134, 135, and 307(c); planning activities related to approval of a unified work program and any findings required in the planning process pursuant to 23 C.F.R. Part 450, activities for state planning and research programs pursuant to 23 C.F.R. Part 420; engineering to define the elements of a proposed action or alternatives so that social, economic, and environmental effects can be assessed.\n\n

Finding Details: CE 771.117(C1)

111204 PARATRANSIT VEHICLE ACQUISITION #771	12	\$870,000	\$1,087,500
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Finding No. 1 - Class II(c)**C17 - Purchase of vehicles**

The purchase of vehicles by the applicant where the use of these vehicles can be accommodated by existing facilities or by new facilities which themselves are within a CE.

117697 BMF2 - MAINTENANCE FACILITY REHABILITATION #715	0	\$1,216,714	\$1,520,893
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Finding No. 1 - Class II(d)**D08 - Construction of new bus storage**

Construction of new bus storage and maintenance facilities in areas used predominantly for industrial or transportation purposes where such construction is not inconsistent with existing zoning and located on or near a street with adequate capacity to handle anticipated bus and support vehicle traffic.

113304 PLACERVILLE PARK AND BUS FACILITY PHASE II	0	\$990,000	\$1,237,500
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Finding No. 1 - Class II(d)

D04 - Transportation parking facilities

Transportation corridor fringe parking facilities.

D10 - Construction of bus transfer facilities

Construction of bus transfer facilities (an open area consisting of passenger shelters, boarding areas, kiosks and related street improvements) when located in a commercial area or other high activity center in which there is adequate street capacity for projected bus traffic.

123112 CITY OF SAC - INTERMODAL STATION IMPROV- STRUCT DESIGN	0	\$1,386,860	\$1,810,450
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Finding No. 1 - Class III

PNA to EA Date: None Specified

EA to FTA Date: None Specified

FTA Action Date: None Specified

Finding Details: FONSI issued 8/31/09

123412 CITY OF SACTO- INTERMODAL FACILITY- ELECTRICAL REPLACEMENT	0	\$0	\$0
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Finding No. 1 - Class III

PNA to EA Date: None Specified

EA to FTA Date: None Specified

FTA Action Date: None Specified

Finding Details: FONSI issued 8/31/09

123112 SACTO INTERMODAL FACILITY- ELECTRICAL DESIGN	0	\$0	\$0
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Finding No. 1 - Class III

PNA to EA Date: None Specified

EA to FTA Date: None Specified

FTA Action Date: None Specified

Finding Details: FONSI issued 8/31/09

123112 CITY OF SAC - INTERMODAL PHASE
2 FINAL DESIGN

0 \$1,521,520 \$1,901,900

Finding No. 1 - Class III

PNA to EA Date: None Specified
 EA to FTA Date: None Specified
 FTA Action Date None Specified

Finding Details: FONSI issued 8/31/09

Part 6: Fleet Status

Fixed Route

	<u>Before</u>	<u>Change</u>	<u>After</u>
I. Active Fleet			
A. Peak Requirement	186	0	186
B. Spares	47	0	47
C. Total (A+B)	233	0	233
D. Spare Ratio (B/A)	25.27%	0.00%	25.27%
II. Inactive Fleet			
A. Other	0	0	0
B. Pending Disposal	0	0	0
C. Total (A+B)	0	0	0
III. Total (I.C and II.C)	233	0	233

Light Rail

	<u>Before</u>	<u>Change</u>	<u>After</u>
I. Active Fleet			
A. Peak Requirement	56	0	56
B. Spares	41	0	41
C. Total (A+B)	97	0	97
D. Spare Ratio (B/A)	73.21%	0.00%	73.21%
II. Inactive Fleet			
A. Other	0	0	0
B. Pending Disposal	0	0	0
C. Total (A+B)	0	0	0

III.	Total (I.C and II.C)	97	0	97
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Paratransit

		<u>Before</u>	<u>Change</u>	<u>After</u>
I.	Active Fleet			
	A. Peak Requirement	31	0	31
	B. Spares	0	0	0
	C. Total (A+B)	31	0	31
	D. Spare Ratio (B/A)	0.00%	0.00%	0.00%
II.	Inactive Fleet			
	A. Other	0	0	0
	B. Pending Disposal	0	0	0
	C. Total (A+B)	0	0	0
III.	Total (I.C and II.C)	31	0	31

Part 7. FTA Comments

Part 8: Results of Reviews

The reviewer did not find any errors

Part 9: Agreement

**UNITED STATES OF AMERICA
DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION**

**GRANT AGREEMENT
(FTA G-17, October 1, 2010)**

On the date the authorized U.S. Department of Transportation, Federal Transit Administration (FTA) official's electronic signature is entered for this Grant Agreement, FTA has Awarded Federal assistance in support of the Project described below. Upon Execution of this Grant Agreement by the Grantee named below, the Grantee affirms this FTA Award, and enters into this Grant Agreement with FTA. The following documents are incorporated by reference and made part of this Grant Agreement:

- (1) "Federal Transit Administration Master Agreement," FTA MA(17), October 1, 2010,
<http://www.fta.dot.gov/documents/17-Master.pdf>
- (2) The Certifications and Assurances applicable to the Project that the Grantee has selected and provided to FTA, and
- (3) Any Award notification containing special conditions or requirements, if issued.

FTA OR THE FEDERAL GOVERNMENT MAY WITHDRAW ITS OBLIGATION TO PROVIDE FEDERAL ASSISTANCE IF THE GRANTEE DOES NOT EXECUTE THIS GRANT AGREEMENT WITHIN 90 DAYS FOLLOWING THE DATE OF THIS FTA AWARD SET FORTH HEREIN.

FTA AWARD

FTA hereby awards a Federal grant as follows:

Project No: CA-04-0013-03

Grantee: SACRAMENTO REGIONAL TRANSIT DISTRICT

Citation of Statute(s) Authorizing Project: 49 USC 5309 - Bus and Bus Facilities (FY2006 forward)

Estimated Total Eligible Cost (in U.S. Dollars): \$9,395,893

Maximum FTA Amount Awarded [Including All Amendments] (in U.S. Dollars): \$7,455,214

Amount of This FTA Award (in U.S. Dollars): \$1,956,240

Maximum Percentage(s) of FTA Participation:

Percentages of Federal participation are based on amounts included in the Approved Project Budget, modified as set forth in the text following the Project Description.

U.S. Department of Labor Certification of Public Transportation Employee Protective Arrangements:

Original Project Certification Date: 9/10/2007

Amendment 1 Certification Date: 8/18/2008

Amendment 2 Certification Date: 8/6/2009

Amendment 3 Certification Date: 9/10/2010

Project Description:

FY06 Sec 5309 Bus Discret Grant Amend 3

The Project Description includes information describing the Project within the Project Application submitted to FTA, and the Approved Project Budget, modified by any additional statements displayed in this Grant Agreement, and, to the extent FTA concurs, statements in other documents including Attachments entered into TEAM-Web.

Awarded By:

Leslie Rogers

Regional Administrator

FEDERAL TRANSIT ADMINISTRATION

U.S. DEPARTMENT OF TRANSPORTATION

09/23/2010

EXECUTION OF GRANT AGREEMENT

The Grantee, by executing this Grant Agreement, affirms this FTA Award; adopts and ratifies all statements, representations, warranties, covenants, and materials it has submitted to FTA; consents to this FTA Award; and agrees to all terms and conditions set forth in this Grant Agreement.

By executing this Grant Agreement, I am simultaneously executing any Supplemental Agreement that may be required to effectuate this Grant Agreement.

Executed by:
Michael R Wiley
Interim General Manager/CEO
SACRAMENTO REGIONAL TRANSIT DISTRICT
11/08/2010

APPENDIX A

FEDERAL FISCAL YEAR 2010 CERTIFICATIONS AND ASSURANCES FOR FEDERAL TRANSIT ADMINISTRATION ASSISTANCE PROGRAMS

PREFACE

In accordance with 49 U.S.C. 5323(n), the following certifications and assurances have been compiled for Federal Transit Administration (FTA) assistance programs. FTA requests each Applicant to provide as many certifications and assurances as needed for all programs for which the Applicant intends to seek FTA assistance during Federal Fiscal Year 2010. Category 01 applies to all Applicants. Category 02 applies to all applications for Federal assistance in excess of \$100,000. Categories 03 through 24 will apply to and be required for some, but not all, Applicants and projects. An Applicant may select a single certification that will cover all the programs for which it anticipates submitting an application. FTA requests each Applicant to read each certification and assurance carefully and select all certifications and assurances that may apply to the programs for which it expects to seek Federal assistance.

FTA and the Applicant understand and agree that not every provision of these certifications and assurances will apply to every Applicant or every project for which FTA provides Federal financial assistance through a Grant Agreement or Cooperative Agreement. The type of project and the section of the statute authorizing Federal financial assistance for the project will determine which provisions apply. The terms of these certifications and assurances reflect applicable requirements of FTA's enabling legislation currently in effect.

The Applicant also understands and agrees that these certifications and assurances are special pre-award requirements specifically prescribed by Federal law or regulation and do not encompass all Federal laws, regulations, and directives that may apply to the Applicant or its project. A comprehensive list of those Federal laws, regulations, and directives is contained in the current FTA Master Agreement MA(16) for Federal Fiscal Year 2010 at the FTA Web site <http://www.fta.dot.gov/documents/16-Master.pdf>. The certifications and assurances in this document have been streamlined to remove most provisions not covered by statutory or regulatory certification or assurance requirements.

Because many requirements of these certifications and assurances will require the compliance of the subrecipient of an Applicant, we strongly recommend that each Applicant, including a State, that will be implementing projects through one or more subrecipients, secure sufficient documentation from each subrecipient to assure compliance, not only with these certifications and assurances, but also with the terms of the Grant Agreement or Cooperative Agreement for the project, and the applicable Master Agreement for its project, if applicable, incorporated therein by reference. Each Applicant is ultimately responsible for compliance with the provisions of the certifications and assurances applicable to itself or its project irrespective of participation in the project by any subrecipient. The Applicant understands and agrees that when it applies for FTA assistance on behalf of a consortium, joint venture, partnership, or team, each member of that consortium, joint venture, partnership, or team is responsible for compliance with the certifications and assurances the Applicant selects.

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FTA strongly encourages each Applicant to submit its certifications and assurances through TEAM-Web, FTA's electronic award and management system, at <http://flateamweb.fta.dot.gov>. Twenty-four (24) Categories of certifications and assurances are listed by numbers 01 through 24 in the TEAM-Web "Recipients" option at the "Cert's & Assurances" tab of "View/Modify Recipients." Should the Applicant choose not to submit its certifications and assurances through TEAM-Web, the Applicant may submit its certifications and assurances on paper by submitting the Signature Page(s) at the end of this document, indicating the certifications and assurances it is making on one side of the document or on one page, and signing its affirmation and that of its attorney on the other side or other page.

01. ASSURANCES REQUIRED FOR EACH APPLICANT

Each Applicant for FTA assistance must provide all assurances in this Category "01." Except to the extent that FTA expressly determines otherwise in writing, FTA may not award any Federal assistance until the Applicant provides the following assurances by selecting Category "01."

A. Assurance of Authority of the Applicant and Its Representative

The authorized representative of the Applicant and the attorney who sign these certifications, assurances, and agreements affirm that both the Applicant and its authorized representative have adequate authority under applicable State, local, or Indian tribal law and regulations, and the Applicant's by-laws or internal rules to:

- (1) Execute and file the application for Federal assistance on behalf of the Applicant;
- (2) Execute and file the required certifications, assurances, and agreements on behalf of the Applicant binding the Applicant; and
- (3) Execute grant agreements and cooperative agreements with FTA on behalf of the Applicant.

B. Standard Assurances

The Applicant assures that it will comply with all applicable Federal statutes and regulations in carrying out any project supported by an FTA grant or cooperative agreement. The Applicant agrees that it is under a continuing obligation to comply with the terms and conditions of the grant agreement or cooperative agreement with FTA issued for its project. The Applicant recognizes that Federal laws and regulations may be modified from time to time and those modifications may affect project implementation. The Applicant understands that Presidential executive orders and Federal directives, including Federal policies and program guidance may be issued concerning matters affecting the Applicant or its project. The Applicant agrees that the most recent Federal laws, regulations, and directives will apply to the project, unless FTA issues a written determination otherwise.

C. Intergovernmental Review Assurance

Except if the Applicant is an Indian tribal government seeking assistance authorized by 49 U.S.C. 5311(c)(1), the Applicant assures that each application for Federal assistance it submits to FTA has been submitted or will be submitted for intergovernmental review to the

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appropriate State and local agencies as determined by the State. Specifically, the Applicant assures that it has fulfilled or will fulfill the obligations imposed on FTA by U.S. Department of Transportation (U.S. DOT) regulations, "Intergovernmental Review of Department of Transportation Programs and Activities," 49 CFR part 17. This assurance does not apply to Applicants for Federal assistance under FTA's Tribal Transit Program, 49 U.S.C. 5311(c)(1).

D. Nondiscrimination Assurance

As required by 49 U.S.C. 5332 (which prohibits discrimination on the basis of race, color, creed, national origin, sex, or age, and prohibits discrimination in employment or business opportunity), by Title VI of the Civil Rights Act of 1964, as amended, 42 U.S.C. 2000d, and by U.S. DOT regulations, "Nondiscrimination in Federally-Assisted Programs of the Department of Transportation-Effectuation of Title VI of the Civil Rights Act," 49 CFR part 21 at 21.7, the Applicant assures that it will comply with all requirements imposed by or issued pursuant to 49 U.S.C. 5332, 42 U.S.C. 2000d, and 49 CFR part 21, so that no person in the United States, on the basis of race, color, national origin, creed, sex, or age will be excluded from participation in, be denied the benefits of, or otherwise be subjected to discrimination in any program or activity (particularly in the level and quality of transportation services and transportation-related benefits) for which the Applicant receives Federal assistance awarded by the U.S. DOT or FTA.

Specifically, during the period in which Federal assistance is extended to the project, or project property is used for a purpose for which the Federal assistance is extended or for another purpose involving the provision of similar services or benefits, or as long as the Applicant retains ownership or possession of the project property, whichever is longer, the Applicant assures that:

- (1) Each project will be conducted, property acquisitions will be undertaken, and project facilities will be operated in accordance with all applicable requirements of 49 U.S.C. 5332, 42 U.S.C. 2000d, and 49 CFR part 21, and understands that this assurance extends to its entire facility and to facilities operated in connection with the project;
- (2) It will promptly take the necessary actions to effectuate this assurance, including notifying the public that complaints of discrimination in the provision of transportation-related services or benefits may be filed with U.S. DOT or FTA. Upon request by U.S. DOT or FTA, the Applicant assures that it will submit the required information pertaining to its compliance with these provisions;
- (3) It will include in each subagreement, property transfer agreement, third party contract, third party subcontract, or participation agreement adequate provisions to extend the requirements imposed by or issued pursuant to 49 U.S.C. 5332, 42 U.S.C. 2000d and 49 CFR part 21 to other parties involved therein including any subrecipient, transferee, third party contractor, third party subcontractor at any level, successor in interest, or any other participant in the project;
- (4) Should it transfer real property, structures, or improvements financed with Federal assistance provided by FTA to another party, any deeds and instruments recording the transfer of that property shall contain a covenant running with the land assuring nondiscrimination for the period during which the property is used for a purpose for which the Federal assistance is extended or for another purpose involving the provision of similar services or benefits;

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- (5) The United States has a right to seek judicial enforcement with regard to any matter arising under Title VI of the Civil Rights Act, U.S. DOT implementing regulations, and this assurance; and
- (6) It will make any changes in its Title VI implementing procedures as U.S. DOT or FTA may request to achieve compliance with the requirements imposed by or issued pursuant to 49 U.S.C. 5332, 42 U.S.C. 2000d, and 49 CFR part 21.

E. Assurance of Nondiscrimination on the Basis of Disability

As required by U.S. DOT regulations, "Nondiscrimination on the Basis of Handicap in Programs and Activities Receiving or Benefiting from Federal Financial Assistance," at 49 CFR 27.9, the Applicant assures that, as a condition to the approval or extension of any Federal assistance awarded by FTA to construct any facility, obtain any rolling stock or other equipment, undertake studies, conduct research, or to participate in or obtain any benefit from any program administered by FTA, no otherwise qualified person with a disability shall be, solely by reason of that disability, excluded from participation in, denied the benefits of, or otherwise subjected to discrimination in any program or activity receiving or benefiting from Federal assistance administered by the FTA or any entity within U.S. DOT. The Applicant assures that project implementation and operations so assisted will comply with all applicable requirements of U.S. DOT regulations implementing the Rehabilitation Act of 1973, as amended, 29 U.S.C. 794, *et seq.*, and the Americans with Disabilities Act of 1990, as amended, 42 U.S.C. 12101 *et seq.*, and implementing U.S. DOT regulations at 49 CFR parts 27, 37, and 38, and any other applicable Federal laws that may be enacted or Federal regulations that may be promulgated.

F. U.S. Office of Management and Budget (OMB) Assurances

Consistent with OMB assurances set forth in SF-424B and SF-424D, the Applicant assures that, with respect to itself or its project, the Applicant:

- (1) Has the legal authority to apply for Federal assistance and the institutional, managerial, and financial capability (including funds sufficient to pay the non-Federal share of project cost) to assure proper planning, management, and completion of the project described in its application;
- (2) Will give FTA, the Comptroller General of the United States, and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives;
- (3) Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest or personal gain;
- (4) Will initiate and complete the work within the applicable project time periods following receipt of FTA approval;
- (5) Will comply with all applicable Federal statutes relating to nondiscrimination including, but not limited to:
 - (a) Title VI of the Civil Rights Act, 42 U.S.C. 2000d, which prohibits discrimination on the basis of race, color, or national origin;

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- (b) Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. 1681 through 1683, and 1685 through 1687, and U.S. DOT regulations, "Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance," 49 CFR part 25, which prohibit discrimination on the basis of sex;
 - (c) Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 794, which prohibits discrimination on the basis of disability;
 - (d) The Age Discrimination Act of 1975, as amended, 42 U.S.C. 6101 through 6107, which prohibits discrimination on the basis of age;
 - (e) The Drug Abuse Office and Treatment Act of 1972, as amended, 21 U.S.C. 1101 *et seq.*, relating to nondiscrimination on the basis of drug abuse;
 - (f) The Comprehensive Alcohol Abuse and Alcoholism Prevention Act of 1970, as amended, 42 U.S.C. 4541 *et seq.* relating to nondiscrimination on the basis of alcohol abuse or alcoholism;
 - (g) The Public Health Service Act of 1912, as amended, 42 U.S.C. 290dd through 290dd-2., relating to confidentiality of alcohol and drug abuse patient records;
 - (h) Title VIII of the Civil Rights Act, 42 U.S.C. 3601 *et seq.*, relating to nondiscrimination in the sale, rental, or financing of housing; and
 - (i) Any other nondiscrimination statute(s) that may apply to the project;
- (6) To the extent applicable, will comply with, or has complied with, the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, (Uniform Relocation Act) 42 U.S.C. 4601 *et seq.*, which, among other things, provide for fair and equitable treatment of persons displaced or persons whose property is acquired as a result of federally assisted programs. These requirements apply to all interests in real property acquired for project purposes and displacement caused by the project regardless of Federal participation in any purchase. As required by sections 210 and 305 of the Uniform Relocation Act, 42 U.S.C. 4630 and 4655, and by U.S. DOT regulations, "Uniform Relocation Assistance and Real Property Acquisition for Federal and Federally Assisted Programs," 49 CFR 24.4, the Applicant assures that it has the requisite authority under applicable State and local law to comply with the requirements of the Uniform Relocation Act, 42 U.S.C. 4601 *et seq.*, and U.S. DOT regulations, "Uniform Relocation Assistance and Real Property Acquisition for Federal and Federally Assisted Programs," 49 CFR part 24, and will comply with that Act or has complied with that Act and those implementing regulations, including but not limited to the following:
- (a) The Applicant will adequately inform each affected person of the benefits, policies, and procedures provided for in 49 CFR part 24;
 - (b) The Applicant will provide fair and reasonable relocation payments and assistance as required by 42 U.S.C. 4622, 4623, and 4624; 49 CFR part 24; and any applicable FTA procedures, to or for families, individuals, partnerships, corporations, or associations displaced as a result of any project financed with FTA assistance;
 - (c) The Applicant will provide relocation assistance programs offering the services described in 42 U.S.C. 4625 to such displaced families, individuals, partnerships, corporations, or associations in the manner provided in 49 CFR part 24;
 - (d) Within a reasonable time before displacement, the Applicant will make available comparable replacement dwellings to displaced families and individuals as required by 42 U.S.C. 4625(c)(3);

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- (e) The Applicant will carry out the relocation process in such manner as to provide displaced persons with uniform and consistent services, and will make available replacement housing in the same range of choices with respect to such housing to all displaced persons regardless of race, color, religion, or national origin;
 - (f) In acquiring real property, the Applicant will be guided to the greatest extent practicable under State law, by the real property acquisition policies of 42 U.S.C. 4651 and 4652;
 - (g) The Applicant will pay or reimburse property owners for their necessary expenses as specified in 42 U.S.C. 4653 and 4654, with the understanding that FTA will provide Federal financial assistance for the Applicant's eligible costs of providing payments for those expenses, as required by 42 U.S.C. 4631;
 - (h) The Applicant will execute such amendments to third party contracts and subagreements financed with FTA assistance and execute, furnish, and be bound by such additional documents as FTA may determine necessary to effectuate or implement the assurances provided herein; and
 - (i) The Applicant agrees to make these assurances part of or incorporate them by reference into any third party contract or subagreement, or any amendments thereto, relating to any project financed by FTA involving relocation or land acquisition and provide in any affected document that these relocation and land acquisition provisions shall supersede any conflicting provisions;
- (7) To the extent applicable, will comply with the Davis-Bacon Act, as amended, 40 U.S.C. 3141 *et seq.*, the Copeland "Anti-Kickback" Act, as amended, at 18 U.S.C. 874, and at 40 U.S.C. 3145, and the Contract Work Hours and Safety Standards Act, as amended, 40 U.S.C. 3701 *et seq.*, regarding labor standards for federally assisted projects;
 - (8) To the extent applicable, will comply with the flood insurance purchase requirements of section 102(a) of the Flood Disaster Protection Act of 1973, as amended, 42 U.S.C. 4012a(a), requiring the Applicant and its subrecipients in a special flood hazard area to participate in the program and purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more;
 - (9) To the extent applicable, will comply with the Lead-Based Paint Poisoning Prevention Act, 42 U.S.C. 4831(b), which prohibits the use of lead-based paint in the construction or rehabilitation of residence structures;
 - (10) To the extent applicable, will not dispose of, modify the use of, or change the terms of the real property title or other interest in the site and facilities on which a construction project supported with FTA assistance takes place without permission and instructions from FTA;
 - (11) To the extent required by FTA, will record the Federal interest in the title of real property, and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure nondiscrimination during the useful life of the project;
 - (12) To the extent applicable, will comply with FTA provisions concerning the drafting, review, and approval of construction plans and specifications of any construction project supported with FTA assistance. As required by U.S. DOT regulations, "Seismic Safety," 49 CFR 41.117(d), before accepting delivery of any building financed with FTA assistance, it will obtain a certificate of compliance with the seismic design and construction requirements of 49 CFR part 41;
 - (13) To the extent applicable, will provide and maintain competent and adequate engineering supervision at the construction site of any project supported with FTA assistance to assure

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- that the complete work conforms with the approved plans and specifications, and will furnish progress reports and such other information as may be required by FTA or the State;
- (14) To the extent applicable, will comply with any applicable environmental standards that may be prescribed to implement the following Federal laws and executive orders:
- (a) Institution of environmental quality control measures under the National Environmental Policy Act of 1969, as amended, 42 U.S.C. 4321 through 4335 and Executive Order No. 11514, as amended, 42 U.S.C. 4321 note;
 - (b) Notification of violating facilities pursuant to Executive Order No. 11738, 42 U.S.C. 7606 note;
 - (c) Protection of wetlands pursuant to Executive Order No. 11990, 42 U.S.C. 4321 note;
 - (d) Evaluation of flood hazards in floodplains in accordance with Executive Order No. 11988, 42 U.S.C. 4321 note;
 - (e) Assurance of project consistency with the approved State management program developed pursuant to the requirements of the Coastal Zone Management Act of 1972, as amended, 16 U.S.C. 1451 through 1465;
 - (f) Conformity of Federal actions to State (Clean Air) Implementation Plans under section 176(c) of the Clean Air Act of 1955, as amended, 42 U.S.C. 7401 through 7671q;
 - (g) Protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, 42 U.S.C. 300f through 300j-6;
 - (h) Protection of endangered species under the Endangered Species Act of 1973, as amended, 16 U.S.C. 1531 through 1544; and
 - (i) Environmental protections for Federal transportation programs, including, but not limited to, protections for parks, recreation areas, or wildlife or waterfowl refuges of national, State, or local significance or any land from a historic site of national, State, or local significance to be used in a transportation project as required by 49 U.S.C. 303(b) and 303(c);
 - (j) Protection of the components of the national wild and scenic rivers systems, as required under the Wild and Scenic Rivers Act of 1968, as amended, 16 U.S.C. 1271 through 1287; and
 - (k) Provision of assistance to FTA in complying with section 106 of the National Historic Preservation Act of 1966, as amended, 16 U.S.C. 470f; with the Archaeological and Historic Preservation Act of 1974, as amended, 16 U.S.C. 469 through 469c ; and with Executive Order No. 11593 (identification and protection of historic properties), 16 U.S.C. 470 note;
- (15) To the extent applicable, will comply with the requirements of the Hatch Act, 5 U.S.C. 1501 through 1508 and 7324 through 7326, which limit the political activities of State and local agencies and their officers and employees whose primary employment activities are financed in whole or part with Federal funds including a Federal loan, grant agreement, or cooperative agreement except, in accordance with 49 U.S.C. 5307(k)(2) and 23 U.S.C. 142(g), the Hatch Act does not apply to a nonsupervisory employee of a public transportation system (or of any other agency or entity performing related functions) receiving FTA assistance to whom that Act does not otherwise apply;
- (16) To the extent applicable, will comply with the National Research Act, Pub. L. 93-348, July 12, 1974, as amended, 42 U.S.C. 289 *et seq.*, and U.S. DOT regulations, "Protection of

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- Human Subjects,” 49 CFR part 11, regarding the protection of human subjects involved in research, development, and related activities supported by Federal assistance;
- (17) To the extent applicable, will comply with the Animal Welfare Act, as amended, 7 U.S.C. 2131 *et seq.*, and U.S. Department of Agriculture regulations, “Animal Welfare,” 9 CFR subchapter A, parts 1, 2, 3, and 4, regarding the care, handling, and treatment of warm blooded animals held or used for research, teaching, or other activities supported by Federal assistance;
 - (18) Will have performed the financial and compliance audits as required by the Single Audit Act Amendments of 1996, 31 U.S.C. 7501 *et seq.*, OMB Circular A-133, “Audits of States, Local Governments, and Non-Profit Organizations,” Revised, and the most recent applicable OMB A-133 Compliance Supplement provisions for the U.S. DOT; and
 - (19) To the extent applicable, will comply with all applicable provisions of all other Federal laws or regulations, and follow Federal directives governing the project, except to the extent that FTA has expressly approved otherwise in writing.

02. LOBBYING CERTIFICATION

An Applicant that submits or intends to submit an application to FTA for any Federal grant, loan (including a line of credit), cooperative agreement, loan guarantee, or loan insurance exceeding \$100,000 is required to provide the following certification. FTA may not award Federal grant, loan (including a line of credit), cooperative agreement, loan guarantee, or loan insurance exceeding \$100,000 until the Applicant provides this certification by selecting Category “02.”

- A. As required by 31 U.S.C. 1352 and U.S. DOT regulations, “New Restrictions on Lobbying,” at 49 CFR 20.110, the Applicant’s authorized representative certifies to the best of his or her knowledge and belief that for each application to U.S. DOT or FTA for a Federal grant, loan (including a line of credit), cooperative agreement, or a commitment that the Federal Government to guarantee or insure a loan exceeding \$100,000:
 - (1) No Federal appropriated funds have been or will be paid by or on behalf of the Applicant to any person to influence or attempt to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress regarding the award of a Federal grant, loan (including a line of credit), cooperative agreement, loan guarantee, or loan insurance, or the extension, continuation, renewal, amendment, or modification of any Federal grant, loan (including a line of credit), cooperative agreement, loan guarantee, or loan insurance;
 - (2) If any funds other than Federal appropriated funds have been or will be paid to any person to influence or attempt to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any application for a Federal grant, loan (including a line of credit), cooperative agreement, loan guarantee, or loan insurance, the Applicant assures that it will complete and submit Standard Form-LLL, “Disclosure of Lobbying Activities,” Rev. 7-97; and
 - (3) The language of this certification shall be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, subagreements, and contracts

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under grants, loans (including a line of credit), cooperative agreements, loan guarantees, and loan insurance).

- B. The Applicant understands that this certification is a material representation of fact upon which reliance is placed by the Federal government and that submission of this certification is a prerequisite for providing a Federal grant, loan (including a line of credit), cooperative agreement, loan guarantee, or loan insurance for a transaction covered by 31 U.S.C. 1352. The Applicant also understands that any person who fails to file a required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

03. PROCUREMENT COMPLIANCE

In accordance with 49 CFR 18.36(g)(3)(ii), each Applicant that is a State, local, or Indian tribal government that is seeking Federal assistance to acquire property or services in support of its project is requested to provide the following certification by selecting Category "03." FTA also requests other Applicants to provide the following certification. An Applicant for FTA assistance to acquire property or services in support of its project that fails to provide this certification may be determined ineligible for award of Federal assistance for the project, if FTA determines that its procurement practices and procurement system fail to comply with Federal laws or regulations in accordance with applicable Federal directives.

The Applicant certifies that its procurements and procurement system will comply with all applicable Federal laws and regulations in accordance with applicable Federal directives, except to the extent FTA has expressly approved otherwise in writing.

04. PROTECTIONS FOR PRIVATE TRANSPORTATION PROVIDERS

Each Applicant that is a State, local, or Indian tribal government that is seeking Federal assistance authorized under 49 U.S.C. chapter 53 to acquire any property or an interest in the property of a private provider of public transportation or to operate public transportation equipment or facilities in competition with, or in addition to, transportation service provided by an existing private provider of public transportation is required to provide the following certification. FTA may not award Federal assistance for such a project until the Applicant provides this certification by selecting Category "04."

As required by 49 U.S.C. 5323(a)(1), the Applicant certifies that before it acquires the property or an interest in the property of a private provider of public transportation or operates public transportation equipment or facilities in competition with, or in addition to, transportation service provided by an existing public transportation company, it has or will have:

- A. Determined that the assistance is essential to carrying out a program of projects as required by 49 U.S.C. 5303, 5304, and 5306;
- B. Provided for the participation of private companies engaged in public transportation to the maximum extent feasible; and
- C. Paid just compensation under State or local law to the company for any franchise or property acquired.

05. PUBLIC HEARING

An Applicant seeking Federal assistance authorized under 49 U.S.C. chapter 53 for a capital project that will substantially affect a community or a community's public transportation service is required to provide the following certification. FTA may not award Federal assistance for a capital project of that type until the Applicant provides this certification by selecting Category "05."

As required by 49 U.S.C. 5323(b), for a proposed capital project that will substantially affect a community, or the public transportation service of a community, the Applicant certifies that it has, or before submitting its application, it will have:

- A. Provided an adequate opportunity for public review and comment on the proposed project;
- B. After providing notice, including a concise description of the proposed project, published in a newspaper of general circulation in the geographic area to be served, held a public hearing on the project if the project affects significant economic, social, or environmental interests;
- C. Considered the economic, social, and environmental effects of the proposed project; and
- D. Determined that the proposed project is consistent with official plans for developing the community.

06. ACQUISITION OF ROLLING STOCK FOR USE IN REVENUE SERVICE

An Applicant seeking Federal assistance authorized under 49 U.S.C. chapter 53 to acquire any rolling stock for use in revenue service is required to provide the following certification. FTA may not award any Federal assistance to acquire such rolling stock until the Applicant provides this certification by selecting Category "06."

As required by 49 U.S.C. 5323(m) and implementing FTA regulations, "Pre-Award and Post-Delivery Audits of Rolling Stock Purchases," 49 CFR part 663, at 49 CFR 663.7, the Applicant certifies that it will comply with the requirements of 49 CFR part 663 as modified by amendments authorized by section 3023(k) of SAFETEA-LU when procuring revenue service rolling stock. Among other things, the Applicant agrees to conduct or cause to be conducted the requisite pre-award and post delivery reviews, and maintain on file the certifications required by 49 CFR part 663, subparts B, C, and D.

07. ACQUISITION OF CAPITAL ASSETS BY LEASE

An Applicant that intends to request the use of Federal assistance authorized under 49 U.S.C. chapter 53 to acquire capital assets by lease is required to provide the following certifications. FTA may not provide Federal assistance to support those costs until the Applicant provides this certification by selecting Category "07."

As required by FTA regulations, "Capital Leases," 49 CFR part 639, at 49 CFR 639.15(b)(1) and 49 CFR 639.21, if the Applicant acquires any capital asset by lease financed with Federal assistance authorized under 49 U.S.C. chapter 53, the Applicant certifies as follows:

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- (1) It will not use Federal assistance authorized under 49 U.S.C. chapter 53 to finance the cost of leasing any capital asset until it performs calculations demonstrating that leasing the capital asset would be more cost-effective than purchasing or constructing a similar asset; and it will complete these calculations before entering into the lease or before receiving a capital grant for the asset, whichever is later; and
- (2) It will not enter into a capital lease for which FTA can provide only incremental Federal assistance unless it has adequate financial resources to meet its future obligations under the lease if Federal assistance is not available for capital projects in the subsequent years.

08. BUS TESTING

An Applicant for Federal assistance appropriated or made available for 49 U.S.C. chapter 53 to acquire any new bus model or any bus model with a new major change in configuration or components is required to provide the following certification. FTA may not provide Federal assistance for the acquisition of any new bus model or bus model with a major change until the Applicant provides this certification by selecting Category "08."

As required by 49 U.S.C. 5318 and FTA regulations, "Bus Testing," at 49 CFR 665.7, the Applicant certifies that, before expending any Federal assistance to acquire the first bus of any new bus model or any bus model with a new major change in configuration or components, or before authorizing final acceptance of that bus (as described in 49 CFR part 665):

- A. The bus model will have been tested at FTA's bus testing facility; and
- B. The Applicant will have received a copy of the test report prepared on the bus model.

09. CHARTER SERVICE AGREEMENT

An Applicant seeking Federal assistance authorized under 49 U.S.C. chapter 53 (except as permitted by 49 CFR 604.2), or under 23 U.S.C. 133 or 142, to acquire or operate any public transportation equipment or facilities is required to enter into the following Charter Service Agreement. FTA may not provide Federal assistance authorized under 49 U.S.C. chapter 53 (except as permitted by 49 CFR 604.2), or under 23 U.S.C. 133 or 142, for such projects until the Applicant enters into this Charter Service Agreement by selecting Category "09."

- A. As required by 49 U.S.C. 5323(d) and (g) and FTA regulations at 49 CFR 604.4, the Applicant understands and agrees that it and each subrecipient, lessee, third party contractor, or other participant in the project at any tier may provide charter service for transportation projects that uses equipment or facilities acquired with Federal assistance authorized under the Federal transit laws (except as permitted by 49 CFR 604.2), or under 23 U.S.C. 133 or 142, only in compliance with those laws and FTA regulations, "Charter Service," 49 CFR part 604, the terms and conditions of which are incorporated herein by reference.
- B. The Applicant understands and agrees that:
 - (1) The requirements of FTA regulations, "Charter Service," 49 CFR part 604, will apply to any charter service it or its subrecipients, lessees, third party contractors, or other participants in the project provide;
 - (2) The definitions of FTA regulations, "Charter Service," 49 CFR part 604, will apply to

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- this Charter Service Agreement; and
- (3) A pattern of violations of this Charter Service Agreement may require corrective measures and imposition of remedies, including barring the Applicant, subrecipient, lessee, third party contractor, or other participant in the project that has engaged in that pattern of violations from receiving FTA financial assistance, or withholding an amount of Federal assistance as set forth in FTA regulations, "Charter Service," 49 CFR part 604, Appendix D.

10. SCHOOL TRANSPORTATION AGREEMENT

An Applicant that is seeking Federal assistance authorized under 49 U.S.C. chapter 53 or under 23 U.S.C. 133 or 142 to acquire or operate public transportation facilities and equipment is required to enter into the following School Transportation Agreement. FTA may not provide Federal assistance authorized under 49 U.S.C. chapter 53 or under 23 U.S.C. 133 or 142 for such projects until the Applicant enters into this School Transportation Agreement by selecting Category "10."

- A. As required by 49 U.S.C. 5323(f) and (g) and FTA regulations at 49 CFR 605.14, the Applicant understands and agrees that it and each subrecipient, lessee, third party contractor, or other participant in the project at any tier may engage in school transportation operations in competition with private school transportation operators that uses equipment or facilities acquired with Federal assistance authorized under the Federal transit laws or under 23 U.S.C. 133 or 142, only in compliance with those laws and FTA regulations, "School Bus Operations," 49 CFR part 605, to the extent consistent with 49 U.S.C. 5323(f) or (g), the terms and conditions of which are incorporated herein by reference.
- B. The Applicant understands and agrees that:
- (1) The requirements of FTA regulations, "School Bus Operations," 49 CFR part 605, to the extent consistent with 49 U.S.C. 5323(f) or (g), will apply to any school transportation service it or its subrecipients, lessees, third party contractors, or other participants in the project provide;
 - (2) The definitions of FTA regulations, "School Bus Operations," 49 CFR part 605 will apply to this School Transportation Agreement; and
 - (3) If there is a violation of this School Transportation Agreement, FTA will bar the Applicant, subrecipient, lessee, third party contractor, or other participant in the project that has violated this School Transportation Agreement from receiving Federal transit assistance in an amount FTA considers appropriate.

11. DEMAND RESPONSIVE SERVICE

An Applicant that operates demand responsive service and applies for direct Federal assistance authorized under 49 U.S.C. chapter 53 to acquire non-rail public transportation vehicles is required to provide the following certification. FTA may not award direct Federal assistance authorized under 49 U.S.C. chapter 53 to an Applicant that operates demand responsive service to acquire non-rail public transportation vehicles until the Applicant provides this certification by selecting Category "11."

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As required by U.S. DOT regulations, "Transportation Services for Individuals with Disabilities (ADA)," at 49 CFR 37.77(d), the Applicant certifies that its demand responsive service offered to individuals with disabilities, including individuals who use wheelchairs, is equivalent to the level and quality of service offered to individuals without disabilities. Viewed in its entirety, the Applicant's service for individuals with disabilities is provided in the most integrated setting feasible and is equivalent with respect to: (1) response time, (2) fares, (3) geographic service area, (4) hours and days of service, (5) restrictions on trip purpose, (6) availability of information and reservation capability, and (7) constraints on capacity or service availability.

12. ALCOHOL MISUSE AND PROHIBITED DRUG USE

If the Applicant is required by FTA regulations, "Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations," at 49 CFR part 655, to provide the following certification concerning its activities to prevent alcohol misuse and prohibited drug use in its public transportation operations, FTA may not provide Federal assistance to that Applicant until it provides this certification by selecting Category "12."

As required by FTA regulations, "Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations," at 49 CFR part 655, subpart I, the Applicant certifies that it has established and implemented an alcohol misuse and anti-drug program, and has complied with or will comply with all applicable requirements of FTA regulations, "Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations," 49 CFR part 655.

13. INTEREST AND OTHER FINANCING COSTS

An Applicant that intends to request the use of Federal assistance for reimbursement of interest or other financing costs incurred for its capital projects financed with Federal assistance under the Urbanized Area Formula Program, the Capital Investment Program, or the Paul S. Sarbanes Transit in Parks Program is required to provide the following certification. FTA may not provide Federal assistance to support interest or other financing costs until the Applicant provides this certification by selecting Category "13."

As required by 49 U.S.C. 5307(g)(3), 5309(g)(2)(B)(iii), 5309(g)(3)(B)(iii), 5309(i)(2)(C), and 5320(h)(2)(C), the Applicant certifies that it will not seek reimbursement for interest or other financing costs unless it is eligible to receive Federal assistance for those costs and its records demonstrate that it has used reasonable diligence in seeking the most favorable financing terms underlying those costs, to the extent FTA may require.

14. INTELLIGENT TRANSPORTATION SYSTEMS

An Applicant for FTA assistance for an Intelligent Transportation Systems (ITS) project, defined as any project that in whole or in part finances the acquisition of technologies or systems of technologies that provide or significantly contribute to the provision of one or more ITS user services as defined in the "National ITS Architecture," is requested to provide the following

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assurance. FTA strongly encourages any Applicant for FTA financial assistance to support an ITS project to provide this assurance by selecting Category "14." An Applicant for FTA assistance for an ITS project that fails to provide this assurance, without providing other documentation assuring its commitment to comply with applicable Federal ITS standards and protocols, may be determined ineligible for award of Federal assistance for the ITS project.

As used in this assurance, the term Intelligent Transportation Systems (ITS) project is defined to include any project that in whole or in part finances the acquisition of technologies or systems of technologies that provide or significantly contribute to the provision of one or more ITS user services as defined in the "National ITS Architecture."

- A. As provided in subsection 5307(c) of SAFETEA-LU, 23 U.S.C. 512 note, apart from certain exceptions, "intelligent transportation system projects carried out using funds made available from the Highway Trust Fund, including funds made available under this subtitle to deploy intelligent transportation system technologies, [shall] conform to the national architecture, applicable standards or provisional standards, and protocols developed under subsection (a) [of section 5307 of SAFETEA-LU]." To facilitate compliance with subsection 5307(c) of SAFETEA-LU, 23 U.S.C. 512 note, the Applicant assures it will comply with all applicable provisions of Section V (Regional ITS Architecture) and Section VI (Project Implementation) of FTA Notice, "FTA National ITS Architecture Policy on Transit Projects," at 66 FR 1455 *et seq.*, January 8, 2001, and other FTA policies that may be issued in connection with any ITS project it undertakes financed with funds authorized under Title 49 or Title 23, United States Code, except to the extent that FTA expressly determines otherwise in writing; and
- B. With respect to any ITS project financed with Federal assistance derived from a source other than Title 49 or Title 23, United States Code, the Applicant assures that it will use its best efforts to assure that any ITS project it undertakes will not preclude interface with other intelligent transportation systems in the Region.

15. URBANIZED AREA FORMULA PROGRAM

Each Applicant for Urbanized Area Formula Program assistance authorized under 49 U.S.C. 5307 is required to provide the following certifications on behalf of itself and any subrecipients participating in its projects. Unless FTA determines otherwise in writing, the Applicant is ultimately responsible for compliance with its certifications and assurances even though a subrecipient, lessee, third party contractor, or other participant may participate in that project. Consequently, in providing certifications and assurances that involve the compliance of its prospective subrecipients, the Applicant is strongly encouraged to take appropriate measures, including but not limited to obtaining sufficient documentation from each subrecipient, to assure the validity of all certifications and assurances the Applicant has made to FTA. If, however a "Designated Recipient" as defined at 49 U.S.C. 5307(a)(2)(A) enters into a Supplemental Agreement with FTA and a Prospective Grantee, that Grantee is recognized as the Applicant for Urbanized Area Formula Program assistance and must provide the following certifications and assurances.

Each Applicant is required by 49 U.S.C. 5307(d)(1)(J) to expend at least one (1) percent of its

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Urbanized Area Formula Program assistance for public transportation security projects, unless the Applicant has certified that such expenditures are not necessary. Information about the Applicant's intentions will be recorded in the "Security" tab page of the TEAM-Web "Project Information" window when the Applicant enters its Urbanized Area Formula Program application in TEAM-Web.

FTA may not award Urbanized Area Formula Program assistance to any Applicant that is required by 49 U.S.C. 5307(d)(1)(K) to expend one (1) percent of its Urbanized Area Formula Program assistance for eligible transit enhancements unless that Applicant's quarterly report for the fourth quarter of the preceding Federal fiscal year has been submitted to FTA and includes the requisite list or the Applicant attaches in TEAM-Web or includes in its quarterly report information sufficient to demonstrate that the Designated Recipients in its area together have expended one (1) percent of the amount of Urbanized Area Program assistance made available to them for transit enhancement projects.

FTA may not award Federal assistance for the Urbanized Area Formula Program to the Applicant until the Applicant provides these certifications and assurances by selecting Category "15."

As required by 49 U.S.C. 5307(d)(1), the Applicant certifies as follows:

- A. In compliance with 49 U.S.C. 5307(d)(1)(A), the Applicant has or will have the legal, financial, and technical capacity to carry out its proposed program of projects, including the safety and security aspects of that program;
- B. In compliance with 49 U.S.C. 5307(d)(1)(B), the Applicant has or will have satisfactory continuing control over the use of Project equipment and facilities;
- C. In compliance with 49 U.S.C. 5307(d)(1)(C), the Applicant will adequately maintain the Project equipment and facilities;
- D. In compliance with 49 U.S.C. 5307(d)(1)(D), the Applicant will assure that any elderly individual, any individual with disabilities, or any person presenting a Medicare card issued to himself or herself pursuant to title II or title XVIII of the Social Security Act (42 U.S.C. 401 *et seq.* or 42 U.S.C. 1395 *et seq.*), will be charged for transportation during non-peak hours using or involving a facility or equipment of a project financed with Federal assistance authorized for 49 U.S.C. 5307, not more than fifty (50) percent of the peak hour fare;
- E. In compliance with 49 U.S.C. 5307(d)(1)(E), the Applicant, in carrying out a procurement financed with Federal assistance authorized under 49 U.S.C. 5307: (1) will use competitive procurement (as defined or approved by FTA), (2) will not use exclusionary or discriminatory specifications in its procurements, (3) will comply with applicable Buy America laws, and (4) will comply with the general provisions for FTA assistance of 49 U.S.C. 5323 and the third party procurement requirements of 49 U.S.C. 5325;
- F. In compliance with 49 U.S.C. 5307(d)(1)(F), the Applicant has complied with or will comply with the requirements of 49 U.S.C. 5307(c). Specifically, the Applicant: (1) has made available, or will make available, to the public information on the amounts available for the Urbanized Area Formula Program, 49 U.S.C. 5307, and the program of projects it proposes to undertake; (2) has developed or will develop, in consultation with interested

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parties including private transportation providers, a proposed program of projects for activities to be financed; (3) has published or will publish a proposed program of projects in a way that affected citizens, private transportation providers, and local elected officials have the opportunity to examine the proposed program and submit comments on the proposed program and the performance of the Applicant; (4) has provided or will provide an opportunity for a public hearing to obtain the views of citizens on the proposed program of projects; (5) has assured or will assure that the proposed program of projects provides for the coordination of transportation services assisted under 49 U.S.C. 5336 with transportation services assisted by another Federal government source; (6) has considered or will consider the comments and views received, especially those of private transportation providers, in preparing its final program of projects; and (7) has made or will make the final program of projects available to the public;

- G. In compliance with 49 U.S.C. 5307(d)(1)(G), the Applicant has or will have available and will provide the amount of funds required by 49 U.S.C. 5307(e) for the local share, and that those funds will be provided from approved non-Federal sources except as permitted by Federal law;
- H. In compliance with 49 U.S.C. 5307(d)(1)(H), the Applicant will comply with: (1) 49 U.S.C. 5301(a) (requirements for public transportation systems that maximize the safe, secure, and efficient mobility of individuals, minimize environmental impacts, and minimize transportation-related fuel consumption and reliance on foreign oil); (2) 49 U.S.C. 5301(d) (special efforts to design and provide public transportation for elderly individuals and individuals with disabilities); and (3) 49 U.S.C. 5303 through 5306 (planning and private enterprise requirements);
- I. In compliance with 49 U.S.C. 5307(d)(1)(I), the Applicant has a locally developed process to solicit and consider public comment before raising a fare or implementing a major reduction of public transportation;
- J. In compliance with 49 U.S.C. 5307(d)(1)(J), each Federal fiscal year, the Applicant will spend at least one (1) percent of its funds authorized by 49 U.S.C. 5307 for public transportation security projects, unless the Applicant has certified to FTA that such expenditures are not necessary. Public transportation security projects include increased lighting in or adjacent to a public transportation system (including bus stops, subway stations, parking lots, and garages), increased camera surveillance of an area in or adjacent to that system, emergency telephone line or lines to contact law enforcement or security personnel in an area in or adjacent to that system, and any other project intended to increase the security and safety of existing or planned public transportation; and
- K. In compliance with 49 U.S.C. 5307(d)(1)(K), if the Applicant is a Designated Recipient serving an urbanized area with a population of at least 200,000, (1) the Applicant certifies either that it has expended or will expend for transit enhancements as defined at 49 U.S.C. 5302(a)(15) not less than one (1) percent of the amount of the Urbanized Area Formula Assistance it receives this Federal fiscal year, or that at least one Designated Recipient in its urbanized area has certified or will certify that the Designated Recipients within that urbanized area together have expended or will expend for transit enhancements as defined at 49 U.S.C. 5302(a)(15) not less than one (1) percent of the total amounts the Designated Recipients receive each Federal fiscal year under 49 U.S.C. 5307, and (2) either the Applicant has listed or will list the transit enhancement projects it has carried out with those

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funds, or at least one Designated Recipient in the Applicant's urbanized area has listed or will list the transit enhancement projects carried out with funds authorized under 49 U.S.C. 5307. If the Designated Recipient's quarterly report for the fourth quarter of the preceding Federal fiscal year includes a list of transit enhancement projects the Designated Recipients in its urbanized area have implemented during that preceding Federal fiscal year using those funds, the information in that quarterly report will fulfill the requirements of 49 U.S.C. 5307(d)(1)(K)(ii), and thus that quarterly report will be incorporated by reference and made part of the Designated Recipient's and Applicant's certifications and assurances.

16. CLEAN FUELS GRANT PROGRAM

Each Applicant for Clean Fuels Grant Program assistance authorized under 49 U.S.C. 5308 is required to provide the following certifications on behalf of itself and its subrecipients. Unless FTA determines otherwise in writing, the Applicant is ultimately responsible for compliance with its certifications and assurances even though a subrecipient, lessee, third party contractor, or other participant may participate in that project. Consequently, in providing certifications and assurances that involve the compliance of its prospective subrecipients, the Applicant is strongly encouraged to take the appropriate measures, including but not limited to obtaining sufficient documentation from each subrecipient, to assure the validity of all certifications and assurances the Applicant has made to FTA. FTA may not award Federal assistance for the Clean Fuels Grant Program until the Applicant provides these certifications by selecting Category "16."

As required by 49 U.S.C. 5308(d)(1), which makes the requirements of 49 U.S.C. 5307 applicable to Clean Fuels Grant Program assistance, and 49 U.S.C. 5307(d)(1), the designated recipient or the recipient serving as the Applicant on behalf of the designated recipient, or the State or State organization serving as the Applicant on behalf of the State, certifies as follows:

- A. In compliance with 49 U.S.C. 5307(d)(1)(A), the Applicant has or will have the legal, financial, and technical capacity to carry out its proposed program of projects, including the safety and security aspects of that program;
- B. In compliance with 49 U.S.C. 5307(d)(1)(B), the Applicant has or will have satisfactory continuing control over the use of project equipment and facilities;
- C. In compliance with 49 U.S.C. 5307(d)(1)(C), the Applicant will adequately maintain the project equipment and facilities;
- D. In compliance with 49 U.S.C. 5307(d)(1)(D), the Applicant will assure that any elderly individual, any individual with disabilities, or any person presenting a Medicare card issued to himself or herself pursuant to title II or title XVIII of the Social Security Act (42 U.S.C. 401 *et seq.* or 42 U.S.C. 1395 *et seq.*), will be charged for transportation during non-peak hours using or involving a facility or equipment of a project financed with Federal assistance authorized under 49 U.S.C. 5308, not more than fifty (50) percent of the peak hour fare;
- E. In compliance with 49 U.S.C. 5307(d)(1)(E), the Applicant, in carrying out a procurement financed with Federal assistance authorized under 49 U.S.C. 5308: (1) will use competitive procurement (as defined or approved by FTA), (2) will not use exclusionary or discriminatory specifications in its procurements, (3) will comply with applicable Buy America laws, and (4) will comply with the general provisions for FTA assistance of

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- 49 U.S.C. 5323 and the third party procurement requirements of 49 U.S.C. 5325;
- F. In compliance with 49 U.S.C. 5307(d)(1)(F), the Applicant has complied with or will comply with the requirements of 49 U.S.C. 5307(c). Specifically, the Applicant: (1) has made available, or will make available, to the public information on the amounts available for the Clean Fuels Grant Program, 49 U.S.C. 5308, and the projects it proposes to undertake; (2) has developed or will develop, in consultation with interested parties including private transportation providers, the proposed projects to be financed; (3) has published or will publish a list of the proposed projects in a way that affected citizens, private transportation providers, and local elected officials have the opportunity to examine the proposed projects and submit comments on the proposed projects and the performance of the Applicant; (4) has provided or will provide an opportunity for a public hearing to obtain the views of citizens on the proposed projects; (5) has assured or will assure that the proposed projects provide for the coordination of transportation services assisted under 49 U.S.C. 5336 with transportation services assisted by another Federal government source; (6) has considered or will consider the comments and views received, especially those of private transportation providers, in preparing its final list of projects; and (7) has made or will make the final list of projects available to the public;
 - G. In compliance with 49 U.S.C. 5307(d)(1)(G), the Applicant has or will have available and will provide the amount of funds required by 49 U.S.C. 5308(d)(2) for the local share, and that those funds will be provided from approved non-Federal sources except as permitted by Federal law;
 - H. In compliance with 49 U.S.C. 5307(d)(1)(H), the Applicant will comply with: (1) 49 U.S.C. 5301(a) (requirements for public transportation systems that maximize the safe, secure, and efficient mobility of individuals, minimize environmental impacts, and minimize transportation-related fuel consumption and reliance on foreign oil); (2) 49 U.S.C. 5301(d) (special efforts to design and provide public transportation for elderly individuals and individuals with disabilities); and (3) 49 U.S.C. 5303 through 5306 (planning and private enterprise requirements);
 - I. In compliance with 49 U.S.C. 5307(d)(1)(I), the Applicant has a locally developed process to solicit and consider public comment before raising a fare or implementing a major reduction of public transportation; and
 - J. The Applicant certifies it will operate vehicles purchased with Federal assistance provided under the Clean Fuels Grant Program, 49 U.S.C. 5308 only with clean fuels.

17. ELDERLY INDIVIDUALS AND INDIVIDUALS WITH DISABILITIES FORMULA GRANT PROGRAM AND PILOT PROGRAM

Before FTA may award Elderly Individuals and Individuals with Disabilities Formula Grant Program assistance and, if applicable, Elderly Individuals and Individuals with Disabilities Pilot Program assistance to a State, the U.S. Secretary of Transportation or his or her designee is required to make the pre-award determinations required by 49 U.S.C. 5310. Because certain information is needed before FTA can make those determinations, each State is requested to provide the following certifications assurances on behalf of itself and its subrecipients. Unless FTA determines otherwise in writing, the State itself is ultimately responsible for compliance with its certifications and assurances even though a subrecipient, lessee, third party contractor,

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or other participant may participate in that project. Consequently, in providing certifications and assurances that involve the compliance of its prospective subrecipients, the State is strongly encouraged to take the appropriate measures, including but not limited to obtaining sufficient documentation from each subrecipient, to assure the validity of all certifications and assurances the State has made to FTA. A State that fails to provide these certifications and assurances on behalf of itself and its subrecipients may be determined ineligible for a grant of Federal assistance under 49 U.S.C. 5310 if FTA lacks sufficient information from which to make those determinations required by Federal laws and regulations governing the Elderly Individuals and Individuals with Disabilities Formula Grant Program and, if applicable, the Elderly Individuals and Individuals with Disabilities Pilot Program authorized by 49 U.S.C. 5310 and section 3012 of SAFETEA-LU, respectively. The State is thus requested to select Category "17."

- A. As required by 49 U.S.C. 5310(d), which makes the requirements of 49 U.S.C. 5307 applicable to the Elderly Individuals and Individuals with Disabilities Formula Grant Program to the extent that the Federal Transit Administrator or his or her designee determines appropriate, and 49 U.S.C. 5307(d)(1), the State or State organization serving as the Applicant (State) and that administers, on behalf of the State, the Elderly Individuals and Individuals with Disabilities Program authorized by 49 U.S.C. 5310, and, if applicable, the Elderly Individuals and Individuals with Disabilities Pilot Program authorized by subsection 3012(b) of SAFETEA-LU, 49 U.S.C. 5310 note, certifies and assures on behalf of itself and its subrecipients as follows:
- (1) In compliance with 49 U.S.C. 5307(d)(1)(A), the Applicant has or will have the legal, financial, and technical capacity to carry out its proposed program of projects, including the safety and security aspects of that program;
 - (2) In compliance with 49 U.S.C. 5307(d)(1)(B), the Applicant has or will have satisfactory continuing control over the use of project equipment and facilities;
 - (3) In compliance with 49 U.S.C. 5307(d)(1)(C), the Applicant will adequately maintain the project equipment and facilities;
 - (4) In compliance with 49 U.S.C. 5307(d)(1)(E), the Applicant, in carrying out a procurement financed with Federal assistance authorized under 49 U.S.C. 5310 or subsection 3012(b) of SAFETEA-LU: (1) will use competitive procurement (as defined or approved by FTA), (2) will not use exclusionary or discriminatory specifications in its procurements, (3) will comply with applicable Buy America laws, and (4) will comply with the general provisions for FTA assistance of 49 U.S.C. 5323 and the third party procurement requirements of 49 U.S.C. 5325;
 - (5) The State has or will have available and will provide the amount of funds required by 49 U.S.C. 5310(c), and if applicable by subsections 3012(b)(3) and (4) of SAFETEA-LU, for the local share, and that those funds will be provided from approved non-Federal sources except as permitted by Federal law; and
 - (6) In compliance with 49 U.S.C. 5307(d)(1)(H), the Applicant will comply with:
 - (1) 49 U.S.C. 5301(a) (requirements for public transportation systems that maximize the safe, secure, and efficient mobility of individuals, minimize environmental impacts, and minimize transportation-related fuel consumption and reliance on foreign oil);
 - (2) 49 U.S.C. 5301(d) (special efforts to design and provide public transportation for elderly individuals and individuals with disabilities); and (3) 49 U.S.C. 5303 through

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- 5306 (planning and private enterprise requirements);
- B. The State assures that each subrecipient either is recognized under State law as a private nonprofit organization with the legal capability to contract with the State to carry out the proposed project, or is a public body that has met the statutory requirements to receive Federal assistance authorized for 49 U.S.C. 5310;
 - C. The private nonprofit subrecipient's application for 49 U.S.C. 5310 assistance contains information from which the State concludes that the transit service provided or offered to be provided by existing public or private transit operators is unavailable, insufficient, or inappropriate to meet the special needs of the elderly and persons with disabilities;
 - D. In compliance with 49 U.S.C. 5310(d)(2)(A) and subsection 3012(b)(2) of SAFETEA-LU, the State certifies that, before it transfers funds to a project funded under 49 U.S.C. 5336, that project has been or will have been coordinated with private nonprofit providers of services under 49 U.S.C. 5310;
 - E. In compliance with 49 U.S.C. 5310(d)(2)(C), the State certifies that allocations to subrecipients of financial assistance authorized under 49 U.S.C. 5310 or subsection 3012(b) of SAFETEA-LU will be distributed on a fair and equitable basis; and
 - F. In compliance with 49 U.S.C. 5310(d)(2)(B) and subsection 3012(b)(2) of SAFETEA-LU, the State certifies that: (1) projects it has selected or will select for assistance under that program were derived from a locally developed, coordinated public transit-human services transportation plan; and (2) the plan was developed through a process that included representatives of public, private, and nonprofit transportation and human services providers and participation by the public.

18. NONURBANIZED AREA FORMULA PROGRAM FOR STATES

The provisions of 49 U.S.C. 5311 establishing the Nonurbanized Area Formula Program for States do not impose, as a pre-condition of award, any explicit certification or assurance requirements established specifically for that program. Only a State or a State organization acting as the Recipient on behalf of a State (State) may be a direct recipient of this Nonurbanized Area Formula Program assistance. Separate certifications and assurances have been established in Category 22 for an Indian tribe that is an Applicant for Tribal Transit Program assistance authorized by 49 U.S.C. 5311(c)(1).

Before FTA may award Nonurbanized Area Formula Program assistance to a State, the U.S. Secretary of Transportation or his or her designee is required to make the pre-award determinations required by 49 U.S.C. 5311. Because certain information is needed before FTA can make those determinations, each State is requested to provide the following certifications and assurances on behalf of itself and its subrecipients. Unless FTA determines otherwise in writing, the State itself is ultimately responsible for compliance with its certifications and assurances even though a subrecipient, lessee, third party contractor, or other participant may participate in that project. Consequently, in providing certifications and assurances that involve the compliance of its prospective subrecipients, the State is strongly encouraged to take the appropriate measures, including but not limited to obtaining sufficient documentation from each subrecipient, to assure the validity of all certifications and assurances the State has made to FTA. A State that fails to provide these certifications and assurances on behalf of itself and its

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subrecipients may be determined ineligible for a grant of Federal assistance under 49 U.S.C. 5311 if FTA lacks sufficient information from which to make those determinations required by Federal laws and regulations governing the Nonurbanized Area Formula Program authorized by 49 U.S.C. 5311. The State is thus requested to select Category "18."

The State or State organization serving as the Applicant and that administers, on behalf of the State (State) the Nonurbanized Area Formula Program for States authorized by 49 U.S.C. 5311, assures on behalf of itself and its subrecipients as follows:

- A. The State has or will have the necessary legal, financial, and managerial capability to apply for, receive, and disburse Federal assistance authorized for 49 U.S.C. 5311; and to carry out each project, including the safety and security aspects of that project;
- B. The State has or will have satisfactory continuing control over the use of project equipment and facilities;
- C. The State assures that the project equipment and facilities will be adequately maintained;
- D. In compliance with 49 U.S.C. 5311(b)(2)(C)(i), the State's program has provided for a fair distribution of Federal assistance authorized for 49 U.S.C. 5311 within the State, including Indian reservations within the State;
- E. In compliance with 49 U.S.C. 5311(b)(2)(C)(ii), the State's program provides or will provide the maximum feasible coordination of public transportation service to receive assistance under 49 U.S.C. 5311 with transportation service assisted by other Federal sources;
- F. The projects in the State's Nonurbanized Area Formula Program are included in the Statewide Transportation Improvement Program and, to the extent applicable, the projects are included in a metropolitan Transportation Improvement Program;
- G. The State has or will have available and will provide the amount of funds required by 49 U.S.C. 5311(g) for the local share, and that those funds will be provided from approved non-Federal sources except as permitted by Federal law; and
- H. In compliance with 49 U.S.C. 5311(f), the State will expend not less than fifteen (15) percent of its Federal assistance authorized under 49 U.S.C. 5311 to develop and support intercity bus transportation within the State, unless the chief executive officer of the State, or his or her designee, after consultation with affected intercity bus service providers, certifies to the Federal Transit Administrator, apart from these certifications and assurances herein, that the intercity bus service needs of the State are being adequately met.

19. JOB ACCESS AND REVERSE COMMUTE FORMULA GRANT PROGRAM

Each Applicant for Job Access and Reverse Commute (JARC) Formula Grant Program assistance authorized under 49 U.S.C. 5316 is required to provide the following certifications on behalf of itself and any subrecipient that may be implementing its project. Unless FTA determines otherwise in writing, the Applicant itself is ultimately responsible for compliance with its certifications and assurances even though a subrecipient, lessee, third party contractor, or other participant may participate in that project. Consequently, in providing certifications and assurances that involve the compliance of its prospective subrecipients, the Applicant is strongly encouraged to take the appropriate measures, including but not limited to obtaining sufficient documentation from each subrecipient, to assure the validity of all certifications and

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assurances the Applicant has made to FTA. FTA may not award Federal assistance for the JARC Formula Grant Program until the Applicant provides these certifications by selecting Category "19."

- A. As required by 49 U.S.C. 5316(f)(1), which makes the requirements of 49 U.S.C. 5307 applicable to Job Access and Reverse Commute (JARC) formula grants, and 49 U.S.C. 5307(d)(1), the Applicant for JARC Formula Program assistance authorized under 49 U.S.C. 5316, certifies on behalf of itself and its subrecipients, if any, as follows:
- (1) In compliance with 49 U.S.C. 5307(d)(1)(A), the Applicant has or will have the legal, financial, and technical capacity to carry out its proposed program of projects, including the safety and security aspects of that program;
 - (2) In compliance with 49 U.S.C. 5307(d)(1)(B), the Applicant has or will have satisfactory continuing control over the use of project equipment and facilities;
 - (3) In compliance with 49 U.S.C. 5307(d)(1)(C), the Applicant will adequately maintain the project equipment and facilities;
 - (4) In compliance with 49 U.S.C. 5307(d)(1)(D), the Applicant will assure that any elderly individual, any individual with disabilities, or any person presenting a Medicare card issued to himself or herself pursuant to title II or title XVIII of the Social Security Act (42 U.S.C. 401 *et seq.* or 42 U.S.C. 1395 *et seq.*), will be charged for transportation during non-peak hours using or involving a facility or equipment of a project financed with Federal assistance authorized under 49 U.S.C. 5316 not more than fifty (50) percent of the peak hour fare;
 - (5) In compliance with 49 U.S.C. 5307(d)(1)(E), the Applicant, in carrying out a procurement financed with Federal assistance authorized under 49 U.S.C. 5316: (1) will use competitive procurement (as defined or approved by FTA), (2) will not use exclusionary or discriminatory specifications in its procurements, (3) will comply with applicable Buy America laws, and (4) will comply with the general provisions for FTA assistance of 49 U.S.C. 5323 and the third party procurement requirements of 49 U.S.C. 5325;
 - (6) In compliance with 49 U.S.C. 5316(f)(1) and 49 U.S.C. 5307(d)(1)(F), the Applicant certifies that (1) with respect to financial assistance authorized under 49 U.S.C. 5316, it will conduct in cooperation with the appropriate MPO an areawide solicitation for applications, and make awards on a competitive basis and (2) with respect to financial assistance authorized under 49 U.S.C. 5316, it will conduct a statewide solicitation for applications, and make awards on a competitive basis; and that these activities will be carried out in a manner that complies with or will comply with 49 U.S.C. 5307(c);
 - (7) The Applicant has or will have available and will provide the amount of funds required by 49 U.S.C. 5316(h) for the local share, and that those funds will be provided from approved non-Federal sources except as permitted by Federal law; and
 - (8) In compliance with 49 U.S.C. 5307(d)(1)(H), the Applicant will comply with:
 - (1) 49 U.S.C. 5301(a) (requirements for public transportation systems that maximize the safe, secure, and efficient mobility of individuals, minimize environmental impacts, and minimize transportation-related fuel consumption and reliance on foreign oil); and
 - (2) 49 U.S.C. 5301(d) (special efforts to design and provide public transportation for elderly individuals and individuals with disabilities); and (3) 49 U.S.C. 5303 through

APPENDIX A

- 5306 (planning and private enterprise requirements);
- B. In compliance with 49 U.S.C. 5316(d), the Applicant certifies that (1) with respect to financial assistance authorized under 49 U.S.C. 5316(c)(1)(A), it will conduct in cooperation with the appropriate MPO an areawide solicitation for applications, and make awards on a competitive basis and (2) with respect to financial assistance authorized under 49 U.S.C. 5316(c)(1)(B) or 49 U.S.C. 5316(c)(1)(C), it will conduct a statewide solicitation for applications, and make awards on a competitive basis;
 - C. In compliance with 49 U.S.C. 5316(f)(2), the Applicant certifies that any allocations to subrecipients of financial assistance authorized under 49 U.S.C. 5316 will be distributed on a fair and equitable basis;
 - D. In compliance with 49 U.S.C. 5316(g)(2), the Applicant certifies that, before it transfers funds to a project funded under 49 U.S.C. 5336, that project has been or will have been coordinated with private nonprofit providers of services;
 - E. In compliance with 49 U.S.C. 5316(g)(3), the Applicant certifies that: (1) the projects it has selected or will select for assistance under that program were derived from a locally developed, coordinated public transit-human services transportation plan; and (2) the plan was developed through a process that included representatives of public, private, and nonprofit transportation and human services providers and participation by the public; and
 - F. In compliance with 49 U.S.C. 5316(c)(3), before the Applicant uses funding apportioned under 49 U.S.C. 5316(c)(1)(B) or (C) for projects serving an area other than that specified in 49 U.S.C. 5316(2)(B) or (C), the Applicant certifies that the chief executive officer of the State, or his or her designee will have certified to the Federal Transit Administrator, apart from these certifications herein, that all of the objectives of 49 U.S.C. 5316 are being met in the area from which such funding would be derived.

20. NEW FREEDOM PROGRAM

Each Applicant for New Freedom Program assistance authorized under 49 U.S.C. 5317 must provide the following certifications on behalf of itself and any subrecipient that may be implementing its project. Unless FTA determines otherwise in writing, the Applicant itself is ultimately responsible for compliance with its certifications and assurances even though a subrecipient, lessee, third party contractor, or other participant may participate in that project. Consequently, in providing certifications and assurances that involve the compliance of its prospective subrecipients, the Applicant is strongly encouraged to take the appropriate measures, including but not limited to obtaining sufficient documentation from each subrecipient, to assure the validity of all certifications and assurances the Applicant has made to FTA. FTA may not award Federal assistance for the New Freedom Program until the Applicant provides these certifications by selecting Category "20."

- A. As required by 49 U.S.C. 5317(e)(1), which makes the requirements of 49 U.S.C. 5310 applicable to New Freedom grants to the extent the Federal Transit Administrator or his or her designee determines appropriate, by 49 U.S.C. 5310(d)(1), which makes the requirements of 49 U.S.C. 5307 applicable to Elderly Individuals and Individuals with Disabilities Formula grants to the extent the Federal Transit Administrator or his or her designee determines appropriate, and by 49 U.S.C. 5307(d)(1), the Applicant for New

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Freedom Program assistance authorized under 49 U.S.C. 5317 certifies and assures on behalf of itself and its subrecipients, if any, as follows:

- (1) In compliance with 49 U.S.C. 5307(d)(1)(A), the Applicant has or will have the legal, financial, and technical capacity to carry out its proposed program of projects, including the safety and security aspects of that program;
 - (2) In compliance with 49 U.S.C. 5307(d)(1)(B), the Applicant has or will have satisfactory continuing control over the use of project equipment and facilities;
 - (3) In compliance with 49 U.S.C. 5307(d)(1)(C), the Applicant will adequately maintain the project equipment and facilities;
 - (4) In compliance with 49 U.S.C. 5307(d)(1)(E), the Applicant, in carrying out a procurement financed with Federal assistance authorized under 49 U.S.C. 5317: (1) will use competitive procurement (as defined or approved by FTA), (2) will not use exclusionary or discriminatory specifications in its procurements, (3) will comply with applicable Buy America laws, and (4) will comply with the general provisions for FTA assistance of 49 U.S.C. 5323 and the third party procurement requirements of 49 U.S.C. 5325;
 - (5) The Applicant has or will have available and will provide the amount of funds required by 49 U.S.C. 5317(g) for the local share, and that those funds will be provided from approved non-Federal sources except as permitted by Federal law; and
 - (6) In compliance with 49 U.S.C. 5307(d)(1)(H), the Applicant will comply with:
 - (1) 49 U.S.C. 5301(a) (requirements for public transportation systems that maximize the safe, secure, and efficient mobility of individuals, minimize environmental impacts, and minimize transportation-related fuel consumption and reliance on foreign oil);
 - (2) 49 U.S.C. 5301(d) (special efforts to design and provide public transportation for elderly individuals and individuals with disabilities); and
 - (3) 49 U.S.C. 5303 through 5306 (planning and private enterprise requirements);
- B. In compliance with 49 U.S.C. 5317(d), the Applicant certifies that (1) with respect to financial assistance authorized under 49 U.S.C. 5317(c)(1)(A), it will conduct in cooperation with the appropriate MPO an areawide solicitation for applications, and make awards on a competitive basis and (2) with respect to financial assistance authorized under 49 U.S.C. 5317(c)(1)(B) or 49 U.S.C. 5317(c)(1)(C), it will conduct a statewide solicitation for applications, and make awards on a competitive basis;
- C. In compliance with 49 U.S.C. 5317(f)(2), the Applicant certifies that, before it transfers funds to a project funded under 49 U.S.C. 5336, that project has been or will have been coordinated with private nonprofit providers of services;
- D. In compliance with 49 U.S.C. 5317(e)(2), the Applicant certifies that any allocations to subrecipients of financial assistance authorized under 49 U.S.C. 5317 will be distributed on a fair and equitable basis; and
- E. In compliance with 49 U.S.C. 5317(f)(3), the Applicant certifies that: (1) the projects it has selected or will select for assistance under that program were derived from a locally developed, coordinated public transit-human services transportation plan; and (2) the plan was developed through a process that included representatives of public, private, and nonprofit transportation and human services providers and through participation by the public.

21. PAUL S. SARBANES TRANSIT IN PARKS PROGRAM

Each State, tribal area, or local government authority that is an Applicant for Paul S. Sarbanes Transit in Parks Program assistance (Applicant) authorized by 49 U.S.C. 5320, is required to provide the following certifications. FTA may not award assistance for the Paul S. Sarbanes Transit in Parks Program to the Applicant until the Applicant provides these certifications by selecting Category "21."

- A. As required by 49 U.S.C. 5320(i), which makes the requirements of 49 U.S.C. 5307 applicable to the Paul S. Sarbanes Transit in Parks Program to the extent the Federal Transit Administrator or his or her designee determines appropriate, and 49 U.S.C. 5307(d)(1), the Applicant certifies as follows:
- (1) In compliance with 49 U.S.C. 5307(d)(1)(A), the Applicant has or will have the legal, financial, and technical capacity to carry out its proposed project, including the safety and security aspects of that project;
 - (2) In compliance with 49 U.S.C. 5307(d)(1)(B), the Applicant has or will have satisfactory continuing control over the use of project equipment and facilities;
 - (3) In compliance with 49 U.S.C. 5307(d)(1)(C), the Applicant will adequately maintain the project equipment and facilities;
 - (4) In compliance with 49 U.S.C. 5307(d)(1)(E), in carrying out a procurement financed with Federal assistance authorized under 49 U.S.C. 5320, the Applicant: (1) will use competitive procurement (as defined or approved by FTA), (2) will not use exclusionary or discriminatory specifications in its procurements, (3) will comply with applicable Buy America laws, and (4) will comply with the general provisions for FTA assistance of 49 U.S.C. 5323 and the third party procurement requirements of 49 U.S.C. 5325;
 - (5) In compliance with 49 U.S.C. 5307(d)(1)(F) and with 49 U.S.C. 5320(e)(2)(C), the Applicant has complied with or will comply with the requirements of 49 U.S.C. 5307(c). Specifically, it: (1) has made available, or will make available, to the public information on the amounts available for the Paul S. Sarbanes Transit in Parks Program, 49 U.S.C. 5320, and the projects it proposes to undertake; (2) has developed or will develop, in consultation with interested parties including private transportation providers, projects to be financed; (3) has published or will publish a list of proposed projects in a way that affected citizens, private transportation providers, and local elected officials have the opportunity to examine the proposed projects and submit comments on the proposed projects and the performance of the Applicant; (4) has provided or will provide an opportunity for a public hearing to obtain the views of citizens on the proposed projects; (5) has assured or will assure that the proposed projects provide for the coordination of transportation services assisted under 49 U.S.C. 5336 with transportation services assisted by another Federal government source; (6) has considered or will consider the comments and views received, especially those of private transportation providers, in preparing its final list of projects; and (7) has made or will make the final list of projects available to the public;
 - (6) In compliance with 49 U.S.C. 5307(d)(1)(H), the Applicant will comply with:
 - (1) 49 U.S.C. 5301(a) (requirements for public transportation systems that maximize the safe, secure, and efficient mobility of individuals, minimize environmental impacts, and

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- minimize transportation-related fuel consumption and reliance on foreign oil);
- (2) 49 U.S.C. 5301(d) (special efforts to design and provide public transportation for elderly individuals and individuals with disabilities); and (3) 49 U.S.C. 5303 through 5306 (planning and private enterprise requirements); and
- (7) In compliance with 49 U.S.C. 5307(d)(1)(I), the Applicant has a locally developed process to solicit and consider public comment before raising a fare or implementing a major reduction of public transportation; and
- B. In compliance with 49 U.S.C. 5320(e)(2)(A), (B), and (D), the Applicant assures that it will:
 - (1) Comply with the metropolitan planning provisions of 49 U.S.C. 5303;
 - (2) Comply with the statewide planning provisions of 49 U.S.C. 5304; and
 - (3) Consult with the appropriate Federal land management agency during the planning process.

22. TRIBAL TRANSIT PROGRAM

Each Applicant for Tribal Transit Program assistance must provide all certifications and assurances set forth below. Except to the extent that FTA determines otherwise in writing, FTA may not award any Federal assistance under the Tribal Transit Program until the Applicant provides these certifications and assurances by selecting Category "22."

In accordance with 49 U.S.C. 5311(c)(1) that authorizes the Secretary of Transportation to establish terms and conditions for direct grants to Indian tribal governments, the Applicant certifies and assures as follows:

- A. The Applicant assures that:
 - (1) It has or will have the necessary legal, financial, and managerial capability to apply for, receive, and disburse Federal assistance authorized for 49 U.S.C. 5311; and to carry out each project, including the safety and security aspects of that project;
 - (2) It has or will have satisfactory continuing control over the use of project equipment and facilities;
 - (3) The project equipment and facilities will be adequately maintained; and
 - (4) Its project will achieve maximum feasible coordination with transportation service assisted by other Federal sources;
- B. In accordance with 49 CFR 18.36(g)(3)(ii), the Applicant certifies that its procurement system will comply with the requirements of 49 CFR 18.36, or will inform FTA promptly that its procurement system does not comply with 49 CFR 18.36;
- C. To the extent applicable to the Applicant or its Project, the Applicant certifies that it will comply with the certifications, assurances, and agreements in Category 08 (Bus Testing), Category 09 (Charter Bus Agreement), Category 10 (School Transportation Agreement), Category 11 (Demand Responsive Service), Category 12 (Alcohol Misuse and Prohibited Drug Use), and Category 14 (National Intelligent Transportation Systems Architecture and Standards) of this document; and
- D. If its application exceeds \$100,000, the Applicant agrees to comply with the certification in Category 02 (Lobbying) of this document.

23. TIFIA PROJECTS

Each Applicant for Transportation Infrastructure Finance and Innovation Act (TIFIA) credit assistance authorized under 23 U.S.C. chapter 6, is required to provide the following certifications. FTA may not award TIFIA credit assistance to the Applicant until the Applicant provides these certifications by selecting Category "23."

- A. As required by 49 U.S.C. 5323(o), which makes the requirements of 49 U.S.C. 5307 applicable to Applicants seeking TIFIA credit assistance authorized under 23 U.S.C. chapter 6, and by 49 U.S.C. 5307(d)(1), the Applicant certifies as follows:
- (1) In compliance with 49 U.S.C. 5307(d)(1)(A), the Applicant has or will have the legal, financial, and technical capacity to carry out its proposed program of projects, including the safety and security aspects of that program;
 - (2) In compliance with 49 U.S.C. 5307(d)(1)(B), the Applicant has or will have satisfactory continuing control over the use of project equipment and facilities;
 - (3) In compliance with 49 U.S.C. 5307(d)(1)(C), the Applicant will adequately maintain the project equipment and facilities;
 - (4) In compliance with 49 U.S.C. 5307(d)(1)(D), the Applicant will assure that any elderly individual, any individual with disabilities, or any person presenting a Medicare card issued to himself or herself pursuant to title II or title XVIII of the Social Security Act (42 U.S.C. 401 *et seq.* or 42 U.S.C. 1395 *et seq.*), will be charged for transportation during non-peak hours using or involving a facility or equipment of a project financed with Federal assistance authorized under 23 U.S.C. chapter 6, not more than fifty (50) percent of the peak hour fare;
 - (5) In compliance with 49 U.S.C. 5307(d)(1)(E), the Applicant, in carrying out a procurement financed with Federal assistance authorized under 23 U.S.C. chapter 6:
 - (1) will use competitive procurement (as defined or approved by FTA),
 - (2) will not use exclusionary or discriminatory specifications in its procurements,
 - (3) will comply with applicable Buy America laws, and
 - (4) will comply with the general provisions for FTA assistance of 49 U.S.C. 5323 and the third party procurement requirements of 49 U.S.C. 5325;
 - (6) In compliance with 49 U.S.C. 5307(d)(1)(F), the Applicant has complied with or will comply with the requirements of 49 U.S.C. 5307(c). Specifically, it:
 - (a) has made available, or will make available, to the public information on the amounts available for TIFIA credit assistance, 23 U.S.C. chapter 6, and the projects it proposes to undertake;
 - (b) has developed or will develop, in consultation with interested parties including private transportation providers, the proposed projects to be financed;
 - (c) has published or will publish a list of projects in a way that affected citizens, private transportation providers, and local elected officials have the opportunity to examine the proposed projects and submit comments on the proposed projects and the performance of the Applicant;
 - (d) has provided or will provide an opportunity for a public hearing to obtain the views of citizens on the proposed projects;
 - (e) has assured or will assure that the proposed projects provide for the coordination of transportation services assisted under 49 U.S.C. 5336 with transportation services assisted by another Federal government source;
 - (f) has considered or will consider the comments and views received, especially

APPENDIX A

- those of private transportation providers, in preparing its final list of projects; and
(g) has made or will make the final list of projects available to the public;
- (7) In compliance with 49 U.S.C. 5307(d)(1)(G), the Applicant has or will have available and will provide the amount of funds required for the local share, and that those funds will be provided from approved non-Federal sources except as permitted by Federal law;
 - (8) In compliance with 49 U.S.C. 5307(d)(1)(H), (1) the Applicant will comply with:
49 U.S.C. 5301(a) (requirements for public transportation systems that maximize the safe, secure, and efficient mobility of individuals, minimize environmental impacts, and minimize transportation-related fuel consumption and reliance on foreign oil);
(2) 49 U.S.C. 5301(d) (special efforts to design and provide public transportation for elderly individuals and individuals with disabilities); and (3) 49 U.S.C. 5303 through 5306 (planning and private enterprise requirements);
 - (9) In compliance with 49 U.S.C. 5307(d)(1)(I), the Applicant has a locally developed process to solicit and consider public comment before raising a fare or implementing a major reduction of public transportation;
 - (10) To the extent that the Applicant will be using funds authorized under 49 U.S.C. 5307 for the project, in compliance with 49 U.S.C. 5307(d)(1)(J), each Federal fiscal year, the Applicant will spend at least one (1) percent of those funds authorized under 49 U.S.C. 5307 for public transportation security projects (this includes only capital projects in the case of a Applicant serving an urbanized area with a population of 200,000 or more), unless the Applicant has certified to FTA that such expenditures are not necessary. Public transportation security projects include increased lighting in or adjacent to a public transportation system (including bus stops, subway stations, parking lots, and garages), increased camera surveillance of an area in or adjacent to that system, emergency telephone line or lines to contact law enforcement or security personnel in an area in or adjacent to that system, and any other project intended to increase the security and safety of an existing or planned public transportation; and
 - (11) To the extent that the Applicant will be using funds authorized under 49 U.S.C. 5307 for the project, in compliance with 49 U.S.C. 5309(d)(1)(K): (1) an Applicant that serves an urbanized area with a population of at least 200,000 will expend not less than one (1) percent of the amount it receives each Federal fiscal year under 49 U.S.C. 5307 for transit enhancements, as defined at 49 U.S.C. 5302(a), and (2) if it has received transit enhancement funds authorized by 49 U.S.C. 5307(k)(1), its quarterly report for the fourth quarter of the preceding Federal fiscal year includes a list of the projects it has implemented during that Federal fiscal year using those funds, and that report is incorporated by reference and made part of its certifications and assurances; and
- B. As required by 49 U.S.C. 5323(o), which makes the requirements of 49 U.S.C. 5309 applicable to Applicants seeking TIFIA credit assistance authorized under 23 U.S.C. chapter 6, and by 49 U.S.C. 5309(g)(2)(B)(iii), 5309(g)(3)(B)(iii), and 5309(i)(2)(C), the Applicant certifies that it will not seek reimbursement for interest and other financing costs incurred in connection with the Project unless the Applicant is eligible to receive Federal assistance for those expenses and the Applicant's records demonstrate that it has used reasonable diligence in seeking the most favorable financing terms underlying those costs, to the extent FTA may require.

24. DEPOSITS OF FEDERAL FINANCIAL ASSISTANCE TO STATE INFRASTRUCTURE BANKS

The State organization that administers the State Infrastructure Bank (SIB) Program on behalf of a State (State) and that is also an Applicant for Federal assistance authorized under 49 U.S.C. chapter 53 that it intends to deposit in its SIB is requested to provide the following assurances on behalf of itself, its SIB, and each subrecipient. Unless FTA determines otherwise in writing, the State itself is ultimately responsible for compliance with its certifications and assurances even though the SIB and a subrecipient may participate in that project. Consequently, in providing certifications and assurances that involve the compliance of its SIB and prospective subrecipients, the State is strongly encouraged to take the appropriate measures, including but not limited to obtaining sufficient documentation from the SIB and each subrecipient, to assure the validity of all certifications and assurances the State has made to FTA. FTA may not award Federal assistance for the SIB Program to the State until the State provides these assurances by selecting Category "24."

The State organization, serving as the Applicant (State) for Federal assistance for its State Infrastructure Bank (SIB) Program authorized by section 1602 of SAFETEA-LU, now codified at 23 U.S.C. 610, or by section 1511 of TEA-21, 23 U.S.C. 181 note, or by section 350 of the National Highway System Designation Act of 1995, as amended, 23 U.S.C. 181 note, agrees and assures the agreement of its SIB and the agreement of each recipient of Federal assistance derived from the SIB within the State (subrecipient) that each public transportation project financed with Federal assistance derived from SIB will be administered in accordance with:

- A. Applicable provisions of section 1602 of SAFETEA-LU, now codified at 23 U.S.C. 610, or by section 1511 of TEA-21, 23 U.S.C. 181 note, or by section 350 of the National Highway System Designation Act of 1995, as amended, 23 U.S.C. 181;
- B. The provisions of the FHWA, FRA, and FTA or the FHWA and FTA cooperative agreement with the State to establish the State's SIB Program;
- C. The provisions of the FTA grant agreement with the State that provides Federal assistance for the SIB, except that any provision of the Federal Transit Administration Master Agreement incorporated by reference into that grant agreement will not apply if it conflicts with any provision of section 1602 of SAFETEA-LU, now codified at 23 U.S.C. 610, or section 1511 of TEA-21, 23 U.S.C. 181 note, or section 350 of the National Highway System Designation Act of 1995, as amended, 23 U.S.C. 181 note, or Federal guidance pertaining to the SIB Program, the provisions of the cooperative agreement establishing the SIB Program within the State, or the provisions of the FTA grant agreement;
- D. The requirements applicable to projects of 49 U.S.C. 5307 and 5309, as required by 49 U.S.C. 5323(o); and
- E. The provisions of applicable Federal guidance that may be issued and amendments thereto, unless FTA has provided written approval of an alternative procedure or course of action.

##

Selection and Signature Page(s) follow.

APPENDIX A

**FEDERAL FISCAL YEAR 2010 CERTIFICATIONS AND ASSURANCES FOR
FEDERAL TRANSIT ADMINISTRATION ASSISTANCE PROGRAMS**

(Signature page alternative to providing Certifications and Assurances in TEAM-Web)

Name of Applicant: Sacramento Regional Transit District

The Applicant agrees to comply with applicable provisions of Categories 01 – 24.
OR

The Applicant agrees to comply with applicable provisions of the Categories it has selected:

<u>Category</u>	<u>Description</u>	
01.	Assurances Required For Each Applicant.	_____
02.	Lobbying.	_____
03.	Procurement Compliance.	_____
04.	Protections for Private Providers of Public Transportation.	_____
05.	Public Hearing.	_____
06.	Acquisition of Rolling Stock for Use in Revenue Service.	_____
07.	Acquisition of Capital Assets by Lease.	_____
08.	Bus Testing.	_____
09.	Charter Service Agreement.	_____
10.	School Transportation Agreement.	_____
11.	Demand Responsive Service.	_____
12.	Alcohol Misuse and Prohibited Drug Use.	_____
13.	Interest and Other Financing Costs.	_____
14.	Intelligent Transportation Systems.	_____
15.	Urbanized Area Formula Program.	_____
16.	Clean Fuels Grant Program.	_____
17.	Elderly Individuals and Individuals with Disabilities Formula Program and Pilot Program.	_____
18.	Nonurbanized Area Formula Program for States.	_____
19.	Job Access and Reverse Commute Program.	_____
20.	New Freedom Program.	_____
21.	Paul S. Sarbanes Transit in Parks Program.	_____
22.	Tribal Transit Program.	_____
23.	TIFIA Projects	_____
24.	Deposits of Federal Financial Assistance to a State Infrastructure Banks.	_____

FEDERAL FISCAL YEAR 2010 FTA CERTIFICATIONS AND ASSURANCES SIGNATURE PAGE
(Required of all Applicants for FTA assistance and all FTA Grantees with an active capital or formula project)

AFFIRMATION OF APPLICANT

Name of Applicant: Sacramento Regional Transit District

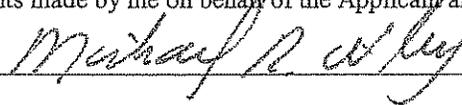
Name and Relationship of Authorized Representative: Michael R. Wiley, General Manager/CEO

BY SIGNING BELOW, on behalf of the Applicant, I declare that the Applicant has duly authorized me to make these certifications and assurances and bind the Applicant's compliance. Thus, the Applicant agrees to comply with all Federal statutes and regulations, and follow applicable Federal directives, and comply with the certifications and assurances as indicated on the foregoing page applicable to each application it makes to the Federal Transit Administration (FTA) in Federal Fiscal Year 2010.

FTA intends that the certifications and assurances the Applicant selects on the other side of this document, as representative of the certifications and assurances in this document, should apply, as provided, to each project for which the Applicant seeks now, or may later, seek FTA assistance during Federal Fiscal Year 2010.

The Applicant affirms the truthfulness and accuracy of the certifications and assurances it has made in the statements submitted herein with this document and any other submission made to FTA, and acknowledges that the Program Fraud Civil Remedies Act of 1986, 31 U.S.C. 3801 *et seq.*, and implementing U.S. DOT regulations, "Program Fraud Civil Remedies," 49 CFR part 31 apply to any certification, assurance or submission made to FTA. The criminal fraud provisions of 18 U.S.C. 1001 apply to any certification, assurance, or submission made in connection with a Federal public transportation program authorized in 49 U.S.C. chapter 53 or any other statute

In signing this document, I declare under penalties of perjury that the foregoing certifications and assurances, and any other statements made by me on behalf of the Applicant are true and correct.

Signature  Date: 1/25/10

Name Michael R. Wiley, General Manager/CEO
Authorized Representative of Applicant

AFFIRMATION OF APPLICANT'S ATTORNEY

For (Name of Applicant): Sacramento Regional Transit District

As the undersigned Attorney for the above named Applicant, I hereby affirm to the Applicant that it has authority under State, local, or tribal government law, as applicable, to make and comply with the certifications and assurances as indicated on the foregoing pages. I further affirm that, in my opinion, the certifications and assurances have been legally made and constitute legal and binding obligations on the Applicant.

I further affirm to the Applicant that, to the best of my knowledge, there is no legislation or litigation pending or imminent that might adversely affect the validity of these certifications and assurances, or of the performance of the project.

Signature  Date: 1/23/10

Name Bruce Behrens, Chief Legal Counsel
Attorney for Applicant

Each Applicant for FTA financial assistance (except 49 U.S.C. 5312(b) assistance) and each FTA Grantee with an active capital or formula project must provide an Affirmation of Applicant's Attorney pertaining to the Applicant's legal capacity. The Applicant may enter its signature in lieu of the Attorney's signature, provided the Applicant has on file this Affirmation, signed by the attorney and dated this Federal fiscal year.