

STATE RAIL ASSISTANCE

ALLOCATION PER PUBLIC UTILITIES CODE 99312.3

GUIDELINES

OCTOBER 13, 2017

APPLICABLE FOR 2017-18 THROUGH 2019-20 FUNDING



SRA Discussion Guidelines 2017-18 through 2019-20

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Executive Summary

Senate Bill 1 (The Road Repair and Accountability Act of 2017) is a historic transportation measure that will provide over \$50 billion in the next decade to maintain and improve California's transportation system. Over the next ten years, SB 1 sets-aside approximately \$7.6 billion for rail and transit investments, and within that amount, approximately \$440 million is directed specifically to commuter rail and intercity rail. The scope of these guidelines is limited to the funding directed to commuter rail and intercity rail in section 99312.3 of the Public Utility Code, as added by SB 1. Similar to the State Transit Assistance program, these funds may be used for both operations and capital improvements. For the purpose of these guidelines, these commuter rail and intercity rail funds are referred to as State Rail Assistance (SRA).

State Rail Assistance will benefit the public by providing the state's commuter and intercity rail agencies with dependable supplemental revenue that is flexible to invest in the most cost-effective manner to improve rail service including, but not limited to the following:

1. Operations funding for expanded service, outreach, increased customer amenities, and discounted tickets, with a purpose of increasing ridership
2. Capital investments such as new and cleaner-emissions rolling stock (to increase capacity and reduce emissions), as well as track and station investments (which will reduce travel times, delays, improve accessibility and enhance the customer experience).

Public Utility Code section 99312.3 continuously appropriates the revenue received from a 0.5 percent sales tax on diesel fuel to State Rail Assistance. This revenue is estimated to be approximately \$25 million in 2017-18, \$39 million in 2018-19, and \$41 million in 2019-20. These revenue numbers are provided for planning purposes only. The estimates are based on the Department of Finance's May Revision Budget Forecast from May 2017 and future budgets forecasts will include new revenue estimates.

Public Utility Code section 99312.3 directs 50 percent of State Rail Assistance to intercity rail agencies, 50 percent to commuter rail agencies, and allows loans among agencies within each category. For commuter rail, statute directs an equal split of the funding from 2018-19 and 2019-20 to the state's five commuter rail providers. Future guidelines will define the distribution formula for 2020-21 and thereafter. For intercity rail, statute directs a minimum of 25 percent of funding to each of the state's three intercity rail corridors with regularly scheduled service. CalSTA will determine the allocation of the remaining 25 percent.

Based on statutory requirements and the May 2017 revenue forecast, allocations are expected as follows:

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Commuter Rail Agency	Estimated Distribution		
	2017-18	2018-19	2019-20
Altamont Corridor Express Authority (ACE)	\$2.5M	\$3.9M	\$4.1M
North County Transit Development Board (Coaster)	\$2.5M	\$3.9M	\$4.1M
Peninsula Corridor Joint Powers Board (Caltrain)	\$2.5M	\$3.9M	\$4.1M
Sonoma-Marín Area Rail Transit District (SMART)	\$2.5M	\$3.9M	\$4.1M
Southern California Regional Rail Authority (Metrolink)	\$2.5M	\$3.9M	\$4.1M
	Estimated Distribution		
	2017-18	2018-19	2019-20
Capitol Corridor Joint Powers Authority	\$3.1M	\$4.9M	\$5.1M
LOSSAN Rail Corridor Agency (Pacific Surfliner)	\$3.1M	\$4.9M	\$5.1M
San Joaquin Joint Powers Authority	\$3.1M	\$4.9M	\$5.1M
Flexible for intercity rail agencies, public agencies authorized to plan and/or manage intercity rail operations for aspiring corridors, and Caltrans	\$3.1M	\$4.9M	\$5.1M

For the formula funds, each of the five commuter rail agencies and the three intercity rail agencies may request allocations up to the amounts listed above. For the intercity rail funds that are flexible for award to existing corridors, aspiring corridors, and Caltrans; CalSTA will award these funds after dialogue with eligible recipients and stakeholders. Prior to award of any flexible funds, CalSTA will provide public notice, invite public comment, and invite eligible recipients to meet with CalSTA to discuss project ideas.

Recipient agencies will report on the planned operations and capital improvements funded with these revenues, so the state can include the benefit of this program in Road Repair and Accountability Act of 2017 reporting. These guidelines describe the processes for project reporting and anticipated timeline for allocation.

Introduction

Senate Bill 1 and State Rail Assistance

Senate Bill 1 (The Road Repair and Accountability Act of 2017) is a historic transportation measure that will provide over \$50 billion in the next decade to maintain and improve California's transportation system. Over the next ten years, SB 1 sets-aside approximately \$440 million specifically to commuter rail and intercity rail. The scope of these guidelines is limited to the funding directed to commuter rail and intercity rail in section 99312.3 of the Public Utility Code, as added by SB 1. Similar to the State Transit Assistance program, these funds may be used for both operations and capital improvements. For the purpose of these guidelines, the commuter rail and intercity rail funds are referred to as State Rail Assistance (SRA).

Senate Bill 1 and other rail and transit funding programs

In addition to State Rail Assistance, SB 1 funds other transit and rail programs through multimodal funding programs, and creates other opportunities to fund rail and transit improvements. Other SB 1 rail and transit funding programs include: an augmentation for State Transit Assistance (about \$4.3 billion over ten years) and an augmentation for Transit and Intercity Rail Capital Program (about \$3.0 billion over ten years). SB 1 multimodal programs that may be used for transit and rail include: the Solutions for Congested Corridors Program (\$2.5 billion over ten years), the Local Partnership Program (\$2 billion over ten years), and an augmentation to the State Transportation Improvement Program (\$1.1 billion over ten years). In addition to SB 1 funding, rail also continues to benefit from California Climate Investment Program funds from Cap and Trade auctions, which fund the Transit and Intercity Rail Capital Program and Low Carbon Transit Operations Program. Finally, intercity rail benefits from ongoing state funding for existing operations and rolling stock through the Caltrans Intercity Rail Program budget. Rail agencies are encouraged to consider the range of funding available from local, state, and federal sources, and accordingly decide how they can utilize the State Rail Assistance program to maximize the quality of the rail service for riders.

State Rail Plan, California Transportation Plan 2040, and Regional Transportation Plans

The draft State Rail Plan will be under review in 2017, and the final plan adopted in 2018. This plan, with the broader California Transportation Plan 2040 and Regional Transportation Plans that include SB 375 Sustainable Community Strategies, will guide rail investments in ways that integrate the services of multiple rail and transit operators to maximize public benefits. The State Rail Assistance funds are primarily formulaic, but they present the opportunity for recipient agencies to use these SB 1 funds in collaboration with partners to further the benefits of coordinated service and planning. This will strengthen the future projects in competitive SB 1 funding programs.

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Public Benefit from Rail Investments

As part of the development of the State Rail Plan, Caltrans recently released a summary report from the University of California, Berkeley called *Rail and the California Economy*. Passenger rail benefits riders and non-riders in many ways, including: providing a peak travel-time option that is often faster than congested highways, providing a comfortable travel option for passengers to relax or work on the train, improving the environment by generally reducing pollution relative to individual car trips and encouraging high density and compact land development to increase environmental and natural land preservation benefits.

State Rail Assistance Funding Process

As added by SB 1, Public Utility Code section 99312.3 continuously appropriates the revenue received from a 0.5 percent sales tax on diesel fuel to State Rail Assistance. This revenue is estimated to be approximately \$25 million in 2017-18, \$39 million in 2018-19, and \$41 million in 2019-20. These revenue numbers are provided for planning purposes only. The estimates are based on the Department of Finance’s May Revision Budget Forecast from May 2017, and future budgets forecasts will include new revenue estimates.

Public Utility Code section 99312.3 directs 50 percent of State Rail Assistance to intercity rail agencies, 50 percent of revenue to commuter agencies, and allows loans among agencies within each category. For commuter rail, statute directs an equal split of the funding from 2018-19 and 2019-20 to the state’s five commuter rail providers. Future guidelines will define the distribution formula for 2020-21 and thereafter. For intercity rail, statute directs a minimum of 25 percent of funding to each of the state’s three intercity rail corridors with regularly scheduled service, these guidelines direct the process for allocation of the remaining 25 percent.

Based on statutory requirements and the May 2017 revenue forecast, allocations are estimated as follows; however, these numbers will fluctuate somewhat due to future changes in the price of diesel fuel and consumption:

Commuter Rail Agency	Estimated Distribution		
	2017-18	2018-19	2019-20
Altamont Corridor Express Authority (ACE)	\$2.5M	\$3.9M	\$4.1M
North County Transit Development Board (Coaster)	\$2.5M	\$3.9M	\$4.1M
Peninsula Corridor Joint Powers Board (Caltrain)	\$2.5M	\$3.9M	\$4.1M
Sonoma-Marin Area Rail Transit District (SMART)	\$2.5M	\$3.9M	\$4.1M
Southern California Regional Rail Authority (Metrolink)	\$2.5M	\$3.9M	\$4.1M
	Estimated Distribution		
	2017-18	2018-19	2019-20
Capitol Corridor Joint Powers Authority	\$3.1M	\$4.9M	\$5.1M
LOSSAN Rail Corridor Agency (Pacific Surfliner)	\$3.1M	\$4.9M	\$5.1M
San Joaquin Joint Powers Authority	\$3.1M	\$4.9M	\$5.1M

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Flexible for intercity rail agencies, public agencies authorized to plan and/or manage intercity rail operations for aspiring corridors, and Caltrans	\$3.1M	\$4.9M	\$5.1M
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For the formula funds, each of the five commuter rail agencies and the three intercity rail agencies may request allocation up to the amounts listed above, unless otherwise directed by CalSTA. New forecast numbers will be available from the California Department of Finance when the Governor’s Budget is released each January and with the May Revision of the Governor’s Budget each May. Since funding levels will fluctuate with the price of diesel fuel, and given the continuous appropriation of funds to this program, programming requests that utilize all or most of the three fiscal years of funding indicated in the table above may be permitted with CalSTA approval to utilize FY 2020-21 funding should actual revenues fall short of the estimates. In the case of Commuter Rail Agencies, which are subject to a revised formula starting in FY2020-21, the adjustment required to handle any shortfalls would be off-the-top of FY2020-21 funding, and only remaining funds would be subject to the new formula in FY2020-21.

For the intercity rail funds that are flexible for award to existing corridors, aspiring corridors, and Caltrans; CalSTA will award these funds after dialogue with eligible recipients and stakeholders. Prior to award of any flexible funds, CalSTA will provide public notice, invite public comment, and invite eligible recipients to meet with CalSTA to discuss project ideas. Eligible recipients will be invited to submit a letter formally requesting flexible funds and describing their proposed project. CalSTA will favor projects that will promote connectivity, integration of intercity rail service, and projects that have the greatest potential to grow rail ridership. CalSTA will consider geographic balance over multiple award cycles, but retains flexibility in any given funding round to select the best project or projects.

Implementation – Approval of Projects and/or Spending Plans

CalSTA will work with rail agencies and other stakeholders through draft guideline development, to project completion, including guideline adoption and project selection. After State Rail Assistance guidelines are adopted, CalSTA will invite eligible agencies to submit an Allocation Request for purposes of validating project eligibility, documenting expected benefits of the spending, and especially, for purposes of transparency and accountability for SB 1 expenditures. The guidelines describe the process that each agency must follow to receive their allocation. The agency will receive their allocation of funds once they have submitted an Allocation Request, and CalSTA has determined the project meets all requirements of the program. Disbursements may occur as frequently as each quarter, if requested by the recipient agency.

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Stakeholder Consultation to Maximize Public Benefits

Since the majority of these funds are distributed by formula, the State's role is largely confined to certifying project eligibility and ensuring reporting and accountability of program expenditures. Primary responsibility is assigned to each recipient rail agency and their respective public boards to ensure funds are spent in a cost-effective manner to *maximize* public benefit. Recipient rail agencies are strongly encouraged to engage with stakeholders in crafting State Rail Assistance expenditure plans. Stakeholders should include, but should not necessarily be limited to the following groups:

- Individuals and groups representing the general public, including those representing disadvantaged and low income communities
- Elected representatives at the local, state and federal levels, and plans and policies developed at all levels of government
- State, Regional, and Local transportation planning entities and their respective transportation plans
- The California Air Resources Board and regional air boards, who may provide expertise and be funding partners in clean technology and investment

To ensure public transparency and opportunities for public engagement, recipient rail agencies must adopt their State Rail Assistance expenditure plan at a public meeting of their boards.

Updates to the Guidelines

These guidelines cover the funding period 2017-18 through 2019-20. CalSTA reserves the right to reopen and revise these guidelines at any time, at its discretion. CalSTA will issue a new set of guidelines prior to 2020-21 to cover funding in from that year and subsequent years.

Roles and Responsibilities

Department of Tax and Fee Administration

The Department of Tax and Fee Administration collects the sales tax on diesel fuel, of which 0.5 of the rate is directed to State Rail Assistance. The Department of Tax and Fee Administration already reports estimated diesel sales tax revenue quarterly, for purposes of State Transit Assistance, and reports this information to the Department of Finance.

Department of Finance

Upon receipt of quarterly diesel sales tax reports from the Department of Tax and Fee Administration, the Department of Finance will forward this information to CalSTA.

California State Transportation Agency

CalSTA is responsible for developing and updating the program guidelines, including administrative and reporting requirements and disbursement of funds. CalSTA will utilize the expertise of the Caltrans Division of Rail and Mass Transportation in administering this program, and may delegate certain duties or responsibilities of the program to the Department.

Recipient Rail Agencies

Recipient rail agencies are responsible for adhering to the requirement of statute and guidelines as a condition of receiving State Rail Assistance funds.

Eligible Recipients & Loan Authority

Eligible recipients are those that meet the definition in Public Utilities Code 99312.3, which are (1) public agencies, including joint powers agencies, responsible for state-supported intercity rail services, and (2) public agencies, including joint powers agencies, responsible for commuter rail services. For the purpose of these guidelines, public agencies responsible for state-supported intercity rail services include Regional Transportation Planning Agencies located on the routes under study for new intercity rail service, or “aspiring rail corridor”.

Commuter Rail Agency
Altamont Corridor Express Authority (ACE)
North County Transit Development Board (Coaster)
Peninsula Corridor Joint Powers Board (Caltrain)
Sonoma-Marín Area Rail Transit District (SMART)
Southern California Regional Rail Authority (Metrolink)
Capitol Corridor Joint Powers Authority
LOSSAN Rail Corridor Agency (Pacific Surfliner)
San Joaquin Joint Powers Authority
Caltrans & public agencies authorized to plan and/or manage intercity rail operations for aspiring rail corridors

Statute directs that guidelines include provisions providing authority for loans among agencies within each category of Commuter Rail and Intercity Rail. Eligible Recipients are defined below as either a Lead Agency or a Contributing Sponsor to facilitate loans or transfers between agencies.

Lead Agency

The Lead Agency is an eligible recipient of State Rail Assistance funds that is responsible for requesting funds and the implementation of the project or expenditure plan. The Lead Agency is also responsible for submitting a complete Allocation Request, and ensuring funds are only applied to approved expenditures, in accordance with these guidelines. Lead Agencies may receive funds from contributing sponsors that support the approved project, where the Lead Agency will also ensure that the appropriate signatures are included with final Allocation Requests from the contributing sponsor. Once an Allocation Request is approved and authorized for funding, the CalSTA will send State Rail Assistance funds directly to that Lead Agency. The Lead Agency is also responsible for:

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1. Oversight and/or performance of all work from receipt of funding through completion of the project.
2. Establishing a bank account for SRA funds. If a separate account is not possible, the agency may show documents of a line item or subaccount dedicated to SRA funds.
3. All project documentation including but not limited to: Allocation Request, Corrective Action Plans, Reports, Project Audits, and any additional information needed in the event of an audit. Please review the Reporting section for greater detail.
4. Comply with all applicable California Environmental Quality Act (CEQA), civil rights and environmental justice obligations under state and federal law.
5. Maintaining copies of project records for three years after the Final Project report or Final Phase report is submitted.

Contributing Sponsor

The contributing sponsor is an Eligible Recipient that passes some or all of their SRA funds to the Lead Agency to support a project. CalSTA is not responsible for tracking funding agreements (borrowing, loaning, delegating, relinquishing funds, etc.) between Eligible Recipients, including the lead agencies and contributing sponsor. CalSTA will track allocation amounts to ensure funding is accurate per the formula distribution and track contributing sponsors signature of agreement in order to pass their fund to the Lead Agency who will carry out the project requirements.

Project Eligibility

State Rail Assistance was created to provide operating and capital assistance for commuter and intercity rail agencies. Public Utilities Code 99312.3 does not provide any additional direction beyond subdivision (c) of that section that specifies: *The funds made available by this section may be used for operations and capital improvements.* These guidelines permit projects that cover a full range of transportation planning and mass transportation purposes, with the direction that rail agencies spend these funds in a cost-effective manner to provide operations and capital improvements for the benefit of the public. Transportation planning efforts includes, but is not limited to, service development plans, environmental reporting, feasibility studies, alternative analysis, strategic plans, ridership modeling, multi-agency integration efforts, schedule optimization, and long-and short-range transit planning. The Allocation Request section of these guidelines, requires reporting of expenditures by category for purpose of SB 1 reporting and accountability; however, primary responsibility is assigned to the recipient rail agencies to *maximize* public benefit with these funds. The State role is to confirm operations and capital improvement are likely to be achieved with the proposed projects or expenditure plans submitted, and that proposed expenditures are consistent with the broad definition of mass transportation purposes.

A companion measure to SB 1 is Assembly Constitutional Amendment 5 (ACA 5), which if approved by voters at the November 2018 general election would amend Article XIXA of the California Constitution to restrict expenditure of these funds to only transportation planning and mass transportation purposes. Given that mass transportation service is the core service provided by all of the agencies eligible to receive these funds, the adoption of ACA 5 is not expected to impact the projects approved for State Rail Assistance. However, agencies spending SRA funding will be expected to comply with all statutory and constitutional requirements whether specifically addressed in the SRA guidelines or not.

Allocation Request and Award Requirements

This section will highlight how an agency should request their allocation and the requirements for the awarded projects that the Lead Agency and Contributing Sponsor must comply with and or submit. Allocation Request materials are available in an Excel format at:

<http://calsta.ca.gov/state-rail-assistance-program/>

Allocation Request Form

The Lead Agency must submit to CalSTA a description of the proposed rail expenditure or expenditures it intends to fund with the State Rail Assistance allocation. A guide for this form is available as Attachment A. The State Rail Assistance Allocation Request form is the basis for CalSTA's verification that the project is consistent with State Rail Assistance requirements and is provided as Attachment B. This document, provided as an excel document with multiple worksheets, will include all project information, project sponsors, authorized signature page, detailed description of projects major benefits, project schedule, etc. Please note that a complete Allocation Request must be submitted for each project in order to receive an agency's apportionment. This will allow the state to release funds annually or quarterly to the Lead Agency's bank account where funds could potentially accrue interest.

Any Contributing Sponsor(s) must also sign the Allocation Request form indicating the dollar amounts to be contributed, or provide a signed letter detailing this information. If there are multiple contributing sponsors, each sponsor must sign the Allocation Request indicating their respective portion of funds being contributed or submit a signed letter with the required information as described above.

Authorized Agent Form

The executive authority of an eligible recipient of State Rail Assistance funds must submit to CalSTA a signed and dated Authorized Agent form that is Board approved, identifying the agent(s) who is (are) given authority to act for the executive authority to submit the Allocation Request form and all reporting documents. If there is a change in the Authorized Agent(s), the eligible recipient must submit a new form. This form is required even when the Authorized Agent is the executive authority. The form is provided as Attachment C.

Certifications and Assurances Form

Before submitting an Allocation Request, the eligible recipient must submit a self-certification that he/she will meet all requirements of the State Rail Assistance Guidelines, including all reporting deadlines. Only Allocation Requests from agencies with a signed Certifications and Assurances document on file will be accepted. Agencies who do not have this form on file must submit a signed Certification and Assurances with their Allocation Request. This form must be Board approved and is provided as Attachment D.

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Total Project Cost and Funding Plan

Attachment E provides an itemized list of all fund sources for full project costs. This will detail a break-out of each fiscal year of State Rail Assistance contributions. The Lead Agency must provide a Total Project Cost and Funding Plan for the project that shows **all** fund sources (not just the SRA portion) needed to complete the project. If future year State Rail Assistance funding is to be dedicated to the project, include those funds on the Total Project Cost and Funding Plan sheet and list the estimated amount in the appropriate fiscal year. **The Authorized Agent must sign the statement on the Funding Plan to assume all fiscal responsibilities.**

To ensure that State Rail Assistance expenditures are *not supplanting* existing transit funding sources, a recipient agency receiving SRA funds shall certify that the funds will not be used to supplant revenue that would otherwise be available for rail operations and capital improvements. CalSTA may authorize a recipient agency to shift funds across projects or across project phases, if the recipient agency certifies the shifts do not reduce available funding for rail operations and capital improvements. CalSTA may audit recipient agencies' to determine whether SRA funds are being used to supplant funding. If it is determined by the State, that an agency is in fact supplanting SRA funds, that agency may be subject to adverse action.

Board Resolutions

The Authorized Agent, Certifications and Assurances Board Resolution, and Project Board Resolution may be combined into one Board Resolution. A sample is provided as Attachment F and G in the Appendix.

The Project Resolution must include a description of the project, the amount of State Rail Assistance funds requested. This resolution is crucial and demonstrates the project was publicly reviewed. It is recommended that agencies utilize the sample project board resolution for use when submitting the Allocation Request to ensure all language is captured. A Lead Agency may combine multiple SRA Projects on one resolution, but each project must be listed separately or bulleted. Board Resolutions are also available at: (website pending).

Bank Account

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

Fund Roll-Over

If the agency is not prepared to initiate a project in the current fiscal year, they may roll funds over into a subsequent fiscal year, accruing a maximum of **4** years of SRA funds for a more

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substantial project. All funds must be applied to the project within four years. Approved projects must also be completed and funds expended within the subsequent 4 years.

If the Lead Agency intends to roll over funds or hold funds for a more substantial project, a **full Allocation Request must be submitted for each year**. For the period covered by these guidelines (2017-18 through 2019-20), a Lead Agency may submit all years up front or submit annual requests each year. Unrequested funds **will** be held by the state during the 2017-18 through 2019-20 period. Future guidelines may include provision for loans or reallocation of any 2017-18 through 2019-20 funds that do not have an allocation request. After the project has been fully reviewed and approved, CalSTA will release the requested funds to the Lead Agency as often as quarterly as funds are received to be deposited in the dedicated SRA bank account. Funding received in the first year will remain in the account while the subsequent year(s) funds are accrued and added to the account. Upon receipt of the *final* year's funding, whether it's for four years or less, the agency will have six months to begin the project.

Reassigning Funds to a New or Existing Eligible State Rail Assistance Project

Lead Agencies may find that they have surplus funds at the completion of an approved SRA project or they may determine the funded SRA project is no longer a high priority or feasible. As a result, the Lead Agency may apply to reassign funds to a different approved SRA project. If the project is complete and there are surplus funds, an agency should include the proposed use for the surplus funds as part of the required Final Report. If use of surplus funds has not yet been determined, CalSTA staff shall treat the project as on-going (incomplete) until the agency identifies an eligible SRA project to receive the surplus funds. If the agency elects to reprioritize eligible projects and redirect approved SRA funds to an alternate project, a Corrective Action Plan (CAP) for the original project must be submitted. The alternate project must be approved by CalSTA. If the alternate project is not a previously approved SRA project, the project lead must submit a completed Allocation Request and comply with all requirements of the application process.

Reassigning Funds to a NEW Eligible State Rail Assistance Project:

- The Allocation Request for the reassigned funds should be treated the same as an Allocation Request submitted for new funding, and all required documents must be submitted in the same manner.
- The new project must expend the funds within the time limits of the original allocation of funds.
- CalSTA will review and approve or deny the reassignment within 30 days. The new Allocation Request must have all the authorized signatures of the same agencies as the original project, indicating all contributing sponsors are aware of the new use of their contributed funds.

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- **The Lead Agency may not expend surplus funds from the new project before receiving written approval from CalSTA authorizing the Lead Agency to do so.**

Reassigning Funds to an *EXISTING* State Rail Assistance Project:

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

Agencies who fail to submit revisions made to the CAP as requested by CalSTA and/or are delinquent in other required reports and submittals, may have additional allocations of SRA funds suspended until all delinquent items have been submitted and approved, as determined by CalSTA.

Interest Earned

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

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State Rail Assistance 2017-18 Calendar

Allocation Request Schedule:	
CalSTA posts Final State Rail Assistance Guidelines	October 13, 2017*
CalSTA notifies agencies of available funding	October 13, 2017*
Transit agencies submit Allocation Requests to CalSTA	December 15 2017*
CalSTA approves project lists	January 31 2018*
CalSTA commences quarterly allocations	February 2018*
Reporting Schedule:	
Semi-Annual Report due to CalSTA (on data January 1 – June 30)	August 15 th Starting 2018
Semi-Annual Report due to CalSTA (on data July 1 - December 31) <small>*Subject to Change</small>	February 15 th Starting 2019

State Rail Assistance Allocation Request Submittal

The following required documents must be mailed hard-copy to CalSTA. This includes:

- Signed original Allocation Request
- Authorized Agent form
- Certifications and Assurances
- Funding Plan
- Board Resolutions

Mailed to:
State Rail Assistance Program
California State Transportation Agency
915 Capitol Mall
Sacramento, CA 95814

In addition, a scanned copy of the completed request **and excel documents** of the Allocation Request, Total Project Cost, Funding Plan are required to be **e-mailed** to SRA@CalSTA.ca.gov. **One Allocation Request per email** to be sent by the Lead Agency.

Please note: An agency must submit revisions to any documents requested by CalSTA and should not be delinquent in required reports. Agencies may not receive additional allocations of SRA funds until all delinquent items have been submitted and approved.

Reporting Obligations

State Rail Assistance requires reporting so the State can itself report on the use of the funds and status of projects, and in order to reflect project progress in other funding, planning and approval processes of the state. This section will highlight all of the reporting requirements that rail agencies must complete.

Project Profile

The following project information is required from each Project Lead and is provided in the Allocation Request:

1. ID Number (file number assigned by CalSTA after all allocations are received)
2. Project Type (i.e., expand transit service, enhancement projects)
3. Project Description
4. Location (address, county, Lat/Long, etc.)
5. Total amount of SRA dollars to be allocated
6. Total Project Cost and leveraged funds
7. Project Schedule
8. Estimated Co-benefits (i.e., connectivity and integration with other rail operators, benefits to disadvantaged or low income communities, benefits for station-area development, or other benefits Project Leads may wish to cite)

Semi-Annual Progress Report

The project's Lead Agency is required to report semi-annually to CalSTA on the activities and progress of each approved and allocated project to ensure activities are performed timely, within approved scope and cost, and are achieving the intended purpose for which they are to be utilized. The Lead Agency must notify CalSTA when allocated SRA funds have been liquidated and must provide completed and signed progress reports every six months until an approved project is completed, and the final project report has been filed.

Reports will cover information accrued from July 1st to December 31st and January 1st to June 30th. The reports will be due by February 15th and August 15th, respectively.

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

All projects are expected to begin work within six months of becoming fully funded. Should a project experience any delays, the cause of such delay must be reported as an amendment, under "Justification for Change". This amendment section should only be used for minor changes to the project and to discuss delays in the start date. Should there be a major change, a full

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Corrective Action Plan (CAP) is required. Any justification deemed inadequate by CalSTA will be questioned and the agency will be asked to provide further information. If projects have not begun within six months of the project becoming fully funded, the report must include a clear description of the circumstances delaying the project which leaves no question that the circumstances were unforeseen, uncommon, and beyond the control of the agency. The description must include information indicating specific steps the agency plans to take to keep the project on task. Agencies with a project that is repeatedly delayed will be encouraged to reassign the funds and complete a CAP.

If the agency is accruing SRA funds over a period of two years or more, a full Semi-Annual report will not be required until the project is fully funded and ready to go. However, a bank statement will still be required to verify the receipt of each year of SRA funds and the establishment of the dedicated bank account. A copy of the bank statement will continue to be required, due concurrently with Semi-Annual report requirements, until the project has started, at which time the Semi-Annual reports will begin. Funding received in the first year may remain in the account until the second, third and/or fourth year funds are accrued and added to the account. At that time, assuming the project is fully funded, the agency will have six months to begin the project.

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

Upon receiving a written request that includes a justification for reduced reporting, CalSTA may allow reporting on an annual basis for projects receiving State Rail Assistance funding, and will indicate its approval in writing. However, should supplemental reporting be needed in order to support state decision-making, Lead Agencies will be expected to be responsive in a timely fashion in providing up-to-date project reporting.

Agencies, with delinquent reports will not receive further State Rail Assistance allocations until reports have been received by CalSTA.

Corrective Action Plan

To change an approved Allocation Request, including any changes to the originally approved scope, schedule, or cost, the Lead Agency must first obtain approval from CalSTA by submitting a Corrective Action Plan (CAP). This must be done before funds can be applied to any use other than the current project's approved scope of work. Funds may not be used on an alternate project until the CAP has been submitted and approved. If the funds are being applied to an alternate project, it must have an approved SRA Allocation Request on file. The CAP must indicate any potential changes in the scope, approved funding amounts, and schedule. If the scope of work

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changes the type or level of benefits, the changes must also be reflected in the benefit description, with revised estimates of benefits listed.

If the project schedule is being revised to reflect any delays or obstacles, an adequate justification must be given in the CAP. All CAPs must have the justification for change completed. If a justification is not deemed adequate by CalSTA, the agency will be asked to provide a revised justification before the CAP is approved. The project change may not move forward until CalSTA has approved the CAP.

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

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

Final Project Report

Once a project has been completed, the Lead Agency must notify CalSTA by email or letter and submit a final project report within six months of completion. Please note, once an agency has received all SRA funding for a particular project, the project must be fully expended within four years. The final project report includes:

1. Final Project Report Form: Includes the comparison of actual project performance of the final project to project performance when the allocation was requested. It will also include summarized information regarding co-benefits for the project.
2. Final Project Itemized Expenditure Table: Complete this table and attach the latest bank statement from the SRA dedicated bank account.
3. Verification: Project completion as scoped must be verified. The Lead Agency will provide evidence of project completion, including photograph(s) of the completed project. Evidence of project completion can be satisfied by submitting the required photographs and one or more of the following: A copy of the final invoicing; and a copy of the punch list from the facility's final walk through; and a copy of the Title, if the project is to procure a vehicle. This list includes a samples of what can be used to show evidence regarding completion of a project. Please contact SRA staff to discuss alternatives that may exist for your circumstances. In the case of a planning project, the completed plan shall be submitted to satisfy verification requirements.
4. Savings: If the project has been completed with a savings, the report should indicate the amount of savings and how those funds will be applied towards an approved SRA project. Any project cost savings not reassigned to current project should be applied to the next Allocation Request submitted, and used prior to, or along with, the allocation of

SRA Discussion Guidelines 2017-18 through 2019-20

additional funds. CalSTA, will inquire about the status of any outstanding cost savings every six months until said savings are exhausted.

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

Project Audit

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

Spot Audit and On-site Monitoring

Spot audits and on-site monitoring can take place at any time at the discretion of CalSTA without prior warning given to the agency. Either a spot audit or monitoring may be conducted concerning specific issue or function. Any evidence or information that supports the need for compliance audit action or monitoring will be pursued by Caltrans at the direction of CalSTA. High risk lead agencies are likely to become the subject of a spot audit or on-site monitoring. Agencies or projects will be placed on the high risk list for the following:

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

Caltrans under the direction of CalSTA, will select agencies periodically and perform an extensive review of all SRA related information from the agency. If selected, an agency may be asked to provide additional documents pertinent to the State Rail Assistance program and projects that have been funded. If inconsistencies are found, agencies will be provided an opportunity to correct those errors. If discrepancies are not corrected, the agency will not be eligible to receive future funding.

The following is to be used as a guide to completing the CalSTA State Rail Assistance (SRA) Allocation Request form.

To help make the fiscal year 2017-2018 through 2019-20 Allocation Requests user friendly, the request spreadsheet includes a large number of features including drop down lists, auto fill cells and cells that perform calculations. Light Yellow Cells are cells with drop down lists, Light Blue Cells auto populate, Light Green Cells include a calculation. A Lead Agency must complete an Allocation Request form and a Funding Plan form for each project proposed for SRA funds. Pursuant to the current estimate of funding available to the SRA Program for 2017-18 through 2019-20, each Commuter Rail Agency should request no more \$10.5 million and each Intercity Rail Joint Powers Agency should request no more than \$13.1 million.

Allocation (page 1)

The Allocation section must be submitted by the Lead Agency along with a signed copy and PDF version of the document. The Allocation section should be signed by an Authorized Agent of the Lead Agency and if there is a Contributing Sponsor(s) by an Authorized Agent from each of the Contributing Sponsors. An official signed letter can be submitted by Contributing Sponsor(s) in lieu of signing the Allocation Page. The SAR funding amount should populate from the amounts listed in the funding section on page 4.

Lead Agency Information (page 1-2)

The Lead Agency must complete all questions on the Lead Agency page including Name, Address, Regional Entity, Agency Website, Contact information, and Authorized Agent information. Some of this information will population from the first page (Light Yellow).

Project Information (page 2-3)

The Lead Agency must complete all questions in the Project Information section. The Lead Agency also needs to include information on project life, project type, start and end date. The Lead Agency must also describe how the SRA funds will not supplant other funds.

The Lead Agency must provide clear and concise descriptions of their proposed project in the Project Information section. Describe what the project is and what it entails. If the proposed project is a capital project, the description of the project should include the number of items being purchased with SRA funding, the type, and any appropriate descriptions of the project to provide a clear understanding of the intent of the project. If the proposed project is an operational project, the description of the project should include the type of service, the number of trips, the number of additional revenue service hours, the number of additional revenue service miles and the purpose of the additional service. Attach any additional pages if necessary.

The Lead Agency must also provide information regarding their project area, transit service, fare structure and any information on the planning process for the proposed project.

Funding Information (page 4 and TAB)

The Lead Agency completes this section and provides information about the amount and the number of years of SRA funding needed to complete the project. If there is a Contributing Sponsors to the proposed project contact information for that entity needs to be provided. Please include SRA funds in the 99312 section and other funding in the Other section. The green cells will calculate the total amount entered. Please complete the Funding Plan Tab as well. Please input the funding in the appropriate row. Use the first grouping will be total funding and calculated. The second grouping will be for SRA funds. There other sections please write in the type of funding that will be associated with this project. This page will need a signature by the authorize agent as well.

Co-Benefits (page 5) The Lead Agency must explain how the proposed project might have additional/co-benefits besides reducing Greenhouse Gas and increasing transit mode share.

AA, C&A, Sample Board Resolutions (Tabs) Please fill out the Authorized Agent form and the Certs and Assurances forms. The last two tabs are two sample board resolutions please revise as necessary.

Lead Agency:		
Project Name:		
DOCUMENTS	COMPLETE	NOTES
Allocation Request		
Project Allocation (page 1)		
Lead Agency's Allocation (including signature)		
Contributing Sponsor(s) Allocations (including signature)		
Lead Agency Information (page 2)		
Project Information (page 2-3)		
Project Information		
Transit Service Information		
Funding Information (page 4)		
Lead Agency Funds		
Contributing Sponsor Funds		
Local Funding		
SRA Funds		
Co-Benefits (page 5)		
Project Maps		
Authorized Agent Form		
Certifications and Assurances		
Total Project Cost and Funding Plan		
Board Resolution approving above forms		
Board Resolution approving Project		

Allocation Request (Attachment B)

Lead Agency:

Project Title:

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

Authorized Agent:

Title:

Lead Agency:

Signature:

Date:

SAR Funding Amount: \$

-

Contributing Sponsor(s): *If this project includes funding from more than one project sponsor, the project lead above becomes the "recipient agency" and the additional contributing project sponsor(s) must also sign and state the amount of SAR funds. Sign below or **attach a separate officially signed letter providing that information.** **If there is more than one contributing sponsor, please submit additional page, or a letter from the additional contributors.**

Authorized Agent:

Title:

Agency:

Signature:

Date:

SAR Funding Amount:

Lead Agency Information

Name:	
Address:	
City, State, Zip Code:	
County:	
Agency Website:	

Allocation Request Prepared by

Name:	
Title:	
Phone #:	
E-mail:	

Contact (if different then "Prepared by")

Name:	
Title:	
Phone #:	
E-mail:	

Authorized Agent

Name:	
Title:	
Phone #:	
E-mail:	

Legislative District Numbers

Assembly*:				
Senate*:				
Congressional*:				

*if you have more Districts please provide an attachment

Project Information

Name:			
General Area (City/County):			
Specific Area (Lat-Long or Address) use separate sheet if needed:			
Description (Short): <i>Should not be more than 3 lines.</i>			
Type:		Start date (anticipated):	
		End date (anticipated):	
Project Life - For capital projects, state the "Useful Life" of the project. For operation projects state the number of months service will be funded.			
Capital:		Operations:	
Description - Describe the project using comprehensive overall project description regarding improvements to be made, increased level of service and project goals (include for operations projects number of trips, span, frequency improvements and number of days of operation; for capital projects include product specifications).			

Project Information (continued)

Area - Describe the project area including the city, town, community (rural, suburban, urban & demographics)

Service - Describe the service you provide and how the project plays into your overall operations plan.

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

Costs - Describe the assumptions and process for how the projects costs were developed.

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

Supplanting Funds - Describe how the SRA funds will not supplant other funding sources.

Funding Information

Project Name:	
Lead Agency:	

<i>SRA Allocation Year</i>		FY 17-18	FY 18-19	FY 19-20	Total
PUC 99312.3 Amount:					\$ -
Other Funds:					\$ -
Total Project Cost:		\$ -	\$ -	\$ -	\$ -

Is the Lead Agency rolling over SRA funds:	No	How many years will the funds be rolled over:	
---	----	--	--

Lead Agency:		Amount:	
Contact Person:			
Contact Phone #:			
Contact E-mail:			

Contributing Sponsor:		Amount:	
Contact Person:			
Contact Phone #:			
Contact E-mails:			

Contributing Sponsor:		Amount:	
Contact Person:			
Contact Phone #:			
Contact E-mails:			

Contributing Sponsor:		Amount:	
Contact Person:			
Contact Phone #:			
Contact E-mails:			

Contributing Sponsor:		Amount:	
Contact Person:			
Contact Phone #:			
Contact E-mails:			

Contributing Sponsor:		Amount:	
Contact Person:			
Contact Phone #:			
Contact E-mails:			

Contributing Sponsor Amount:	
Total FY 2017-18 through 2019-20 SRA Funding:	\$ -

FY 2016-2017 SRA Allocation Request

Co-Benefits

Co-Benefits - Check all additional Benefits/Outcomes.

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

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



Authorized Agent (Attachment C)

2017-18 through 2019-20

AS THE _____
(Chief Executive Officer/Director/President/Secretary)

OF THE _____
(Name of County/City Organization)

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

(Name and Title of Authorized Agent) OR

(Name and Title of Authorized Agent) OR

(Print Name) (Title)

(Signature)

Approved this _____ day of _____, 20 _____

Only needed if there is a change in the Authorized Agent(s).

Lead Agency: _____

Project Name: _____

Prepared by: _____

The California State Transportation Agency (CalSTA) has adopted the following Certifications and Assurances for State Rail Assistance (SRA). As a condition of the receipt of SRA funds, project lead must comply with these terms and conditions.

A. General

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

B. Project Administration

1. **The project lead certifies that required environmental documentation is complete before requesting an allocation of SRA funds. The project lead assures that projects approved for SRA funding comply with Public Resources Code § 21100 and § 21150.**
2. The project lead certifies that a dedicated bank account for SRA funds only will be established within 30 days of receipt of SRA funds.
3. The project lead certifies that when SRA funds are used for a transit capital project, that the project will be completed and remain in operation for its useful life.
4. The project lead certifies that it has the legal, financial, and technical capacity to carry out the project, including the safety and security aspects of that project.
5. The project lead certifies that they will notify CalSTA of pending litigation, dispute, or negative audit findings related to the project, before receiving an allocation of funds.
6. The project lead must maintain satisfactory continuing control over the use of project equipment and facilities and will adequately maintain project equipment and facilities for the useful life of the
7. Any interest the project lead earns on SRA funds must be used only on approved SRA projects.
8. The project lead must notify CalSTA of any changes to the approved project with a Corrective Action Plan (CAP).
9. Under extraordinary circumstances, a project lead may terminate a project prior to completion. In the event the project lead terminates a project prior to completion, the project lead must (1) contact CalSTA in writing and follow-up with a phone call verifying receipt of such notice; (2) pursuant to verification, submit a final report indicating the reason for the termination and demonstrating the expended funds were used on the intended purpose; (3) submit a request to reassign the funds to a new project within 180 days of termination.
10. Funds must be encumbered and liquidated within the time allowed

C. Reporting

1. The project lead must submit the following SRA reports:
 - a. Semi-Annual Progress Reports by August 15th (starting 2018) and February 15th (starting 2019)
 - b. A Final Report within six months of project completion.

D. Cost Principles

1. The project lead agrees to comply with Title 2 of the Code of Federal Regulations 225 (2 CFR 225), Cost Principles for State and Local Government, and 2 CFR, Part 200, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.
2. The project lead agrees, and will assure that its contractors and subcontractors will be obligated to agree, that:
 - a. Contract Cost Principles and Procedures, 48 CFR, Federal Acquisition Regulations System, Chapter 1, Part 31, et seq., shall be used to determine the allow ability of individual project cost items and
 - b. Those parties shall comply with Federal administrative procedures in accordance with 2 CFR, Part 200, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments. Every sub-recipient receiving SRA funds as a contractor or sub-contractor shall comply with Federal administrative procedures in accordance with 2 CFR, Part 200, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.
3. Any project cost for which the project lead has received funds that are determined by subsequent audit to be unallowable under 2 CFR 225, 48 CFR, Chapter 1, Part 31 or 2 CFR, Part 200, are subject to repayment by the project lead to the State of California (State). All projects must reduce greenhouse gas emissions, as required under Public Resources Code section 75230, and any project that fails to reduce greenhouse gases shall also have its project costs submit to repayment by the project lead to the State. Should the project lead fail to reimburse moneys due to the State within thirty (30) days of demand, or within such other period as may be agreed in writing between the Parties hereto, the State is authorized to intercept and withhold future payments due the project lead from the State or any third-party source, including but not limited to, the State Treasurer and the State Controller.

A. Record Retention

1. The project lead agrees, and will assure that its contractors and subcontractors shall establish and maintain an accounting system and records that properly accumulate and segregate incurred project costs and matching funds by line item for the project. The accounting system of the project lead, its contractors and all subcontractors shall conform to Generally Accepted Accounting Principles (GAAP), and enable the determination of incurred costs at interim points of completion. All accounting records and other supporting papers of the project lead, its contractors and subcontractors connected with SRA funding shall be maintained for a minimum of three (3) years after the “Project Closeout” report, and shall be held open to inspection, copying, and audit by representatives of the State and the California State Auditor. Copies thereof will be furnished by the project lead, its contractors, and subcontractors upon receipt of any request made by the State or its agents. In conducting an audit of the costs claimed, the State will rely to the maximum extent possible on any prior audit of the project lead pursuant to the provisions of federal and State law. In the absence of such an audit, any acceptable audit work performed by the project lead’s external and internal auditors may be relied upon and used by the State when planning and conducting additional audits.

2. For the purpose of determining compliance with Title 21, California Code of Regulations, Section 2500 et seq., when applicable, and other matters connected with the performance of the project lead’s contracts with third parties pursuant to Government Code § 8546.7, the project sponsor, its contractors and subcontractors and the State shall each maintain and make available for inspection all books, documents, papers, accounting records, and other evidence pertaining to the performance of such contracts, including, but not limited to, the costs of administering those various contracts. All of the above referenced parties shall make such materials available at their respective offices at all reasonable times during the entire project period and for three (3) years from the date of final payment. The State, the California State Auditor, or any duly authorized representative of the State, shall each have access to any books, records, and documents that are pertinent to a project for audits, examinations, excerpts, and transactions, and the project lead shall furnish copies thereof if requested.

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

F. Special Situations

CalSTA may perform an audit and/or request detailed project information of the project sponsor’s SRA funded projects at CalSTA’ discretion at any time prior to the **completion of the SRA funded project.**

I certify all of these conditions will be met.

(Print Authorized Agent)

(Title)

(Signature)

(Date)

Funding Plan (Attachment E)

2017-18 through 2019-20

The following Funding Plan has been reviewed and approved by the undersigned. It includes a complete list of funds for this project and is the total cost of the project, including SRA funds. The Lead Agency certifies that the requested SRA funds for the proposed project will not be used to supplant other funding sources.

Lead Agency:		Project Name:	
Authorized Agent Name:		Prepared by:	
Phone:		Phone:	
E-mail:		E-mail:	
Signature:		Date:	

Green shaded fields are automatically calculated. Please do not fill these fields.

Proposed Total Project Cost								Project
Component	Prior	FY 17-18	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23	Total
PA&ED								
PS&E								
R/W								
CON								
Veh/Equip Purchase								
Operations/Other								
TOTAL								

State Rail Assistance								
Component	Prior	FY 17-18	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23	Total
PA&ED								
PS&E								
R/W								
CON								
Veh/Equip Purchase								
Operations/Other								
TOTAL								

Funding Source:								
Component	Prior	FY 17-18	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23	Total
PA&ED								
PS&E								
R/W								
CON								
Veh/Equip Purchase								
Operations/Other								
TOTAL								

Funding Source:								
Component	Prior	FY 17-18	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23	Total
PA&ED								
PS&E								
R/W								
CON								
Veh/Equip Purchase								
Operations/Other								
TOTAL								



Funding Plan (Attachment E)

2017-18 through 2019-20

Funding Source:								
Component	Prior	FY 17-18	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23	Total
PA&ED								
PS&E								
R/W								
CON								
Veh/Equip Purchase								
Operations/Other								
TOTAL								

Funding Source:								
Component	Prior	FY 17-18	FY 18-19	FY 18-19	FY 18-19	FY 18-19	FY 18-19	Total
PA&ED								
PS&E								
R/W								
CON								
Veh/Equip Purchase								
Operations/Other								
TOTAL								

Funding Source:								
Component	Prior	FY 17-18	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23	Total
PA&ED								
PS&E								
R/W								
CON								
Veh/Equip Purchase								
Operations/Other								
TOTAL								

Funding Source:								
Component	Prior	FY 17-18	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23	Total
PA&ED								
PS&E								
R/W								
CON								
Veh/Equip Purchase								
Operations/Other								
TOTAL								

Funding Source:								
Component	Prior	FY 17-18	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23	Total
PA&ED								
PS&E								
R/W								
CON								
Veh/Equip Purchase								
Operations/Other								
TOTAL								

**Sample Board Resolution #1
(Attachment F)**

SAMPLE

RESOLUTION # _____

**AUTHORIZATION FOR THE EXECUTION OF THE
CERTIFICATIONS AND ASSURANCES AND AUTHORIZED AGENT FORMS
FOR THE STATE RAIL ASSISTANCE (SRA)**

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

WHEREAS, the (Agency) is an eligible project sponsor and may receive state funding from State Rail Assistance (SRA) for transit projects; and

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

WHEREAS, Senate Bill 1 (2017) named the California State Transportation Agency (CalSTA) as the administrative agency for the SRA; and

WHEREAS, CalSTA has developed guidelines for the purpose of administering and distributing SRA funds to eligible project sponsors (Agencies identified as eligible recipients of these funds) and

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

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

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

AGENCY BOARD DESIGNEE:

BY: _____

**Sample Board Resolution #2
(Attachment G)**

SAMPLE

RESOLUTION # _____

**AUTHORIZATION FOR THE EXECUTION OF THE
STATE RAIL ASSISTANCE (SRA) PROJECT:
(NAME OF PROJECT(S) AND DOLLAR AMOUNT)**

(The following is sample language for the Board Resolution for SRA Project, necessary for approval of Allocation Request for SRA funds)

WHEREAS, the (Agency) is an eligible project sponsor and may receive state funding from State Rail Assistance (SRA) now or sometime in the future for transit projects; and

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

WHEREAS, Senate Bill 1 (2017) named the California State Transportation Agency (CalSTA) as the administrative agency for SRA; and

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

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

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

NOW, THEREFORE, BE IT RESOLVED by the Board of Directors of the (Agency) that it hereby authorizes the submittal of the following project nomination(s) and allocation request(s) to CalSTA in FY 2017-18 SRA funds:

List project(s), including the following information:

Project Name:

Amount of SRA funds requested:

Short description of project:

Contributing Sponsors (if applicable):

Agency Board Designee:

BY: _____