

Application

Federal Award Identification Number (FAIN)	CA-2020-025-00
Temporary Application Number	1622-2019-1
Application Name	5311 CMAQ Operating - (Calif ID #0019000160)
Application Status	Final Concurrence / Reservation
Application Budget Number	0

Part 1: Recipient Information

Name: Transportation, California Department Of

Recipient ID	Recipient OST Type	Recipient Alias	Recipient DUNS
1622	State Agency	CALIFORNIA STATE DOT (CALTRANS) DIVISION OF MASS TRANSPORTATION	135253776

Location Type	Address	City	State	Zip
Headquarters	1120 N ST	SACRAMENTO	CA	95814
Physical Address	1120 N STREET RM 3300	SACRAMENTO	CA	95814
Mailing Address	1120 N STREET, ROOM 3300 - MS39	SACRAMENTO	CA	94274

Union Information

There are no union contacts for this application

Part 2: Application Information

Title: 5311 CMAQ |Operating - (Calif ID #0019000160)

FAIN	Application Status	Application Type	Date Created	Last Updated Date	From TEAM?
CA-2020-025-00	Final Concurrence / Reservation	Grant	11/5/2018	11/5/2018	No

Application Start Date

The start date will be set to the date of the award

Application End Date

1/30/2021

Application Executive Summary

The California Department of Transportation (Caltrans) is a Designated Recipient. This application is for federal assistance from Congestion Mitigation and Air Quality (CMAQ) funds (Federal Fiscal Year 2019 appropriation), which have been transferred from the Federal Highway Administration (FHWA) to the Federal Transit Administration (FTA) for administration under Section 5311. The grant application requests \$320,000 for one (1) project.

The project to be funded from the award is transit operating assistance for Caltrans subrecipient Kern Regional Transit. A Program of Projects (POP), Project Description per programming documents, and Project Details are entered as part of Activity Line Items (ALIs) and/or uploaded documents associated to this application in the TrAMS system.

The project meets the following CMAQ eligibility requirements.

- 1) All projects are transportation projects.
- 2) All projects generate an emissions reductions.
- 3) All projects are located in or benefit a non-attainment or maintenance area.

Grant funding is \$280,000 from Federal Share and \$40,000 from Local Share. Total Project Costs equal \$320,000. Because California has a signed agreement with FHWA for sliding scale rates pursuant to 23 USC 120(b)(2), CMAQ funds flexed to 5311 have a minimum required Local Share of 11.47% and a maximum Federal Share of 88.53%. A copy of the signed FHWA agreement is saved in the Recipient Documents. Though eligible to request the highest sliding scale federal share rate allowable under 23 USC 120(b)(2), Caltrans has elected in this application to request 87.5%.

Frequency of Milestone Progress Reports (MPR)

Annual

Frequency of Federal Financial Reports (FFR)

Annual

Does this application include funds for research and/or development activities?

This award does not include research and development activities.

Pre-Award Authority

This award is not using Pre-Award Authority.

Does this application include suballocation funds?

Recipient organization is the Designated Recipient and can apply for and receive these apportioned funds.

Will this Grant be using Lapsing Funds?

No, this Grant does not use Lapsing Funds.

Will indirect costs be applied to this application?

This award does not include an indirect cost rate.

Indirect Rate Details: N/A

Requires E.O. 12372 Review

No, this application does not require E.O. 12372 Review.

Delinquent Federal Debt

No, my organization does not have delinquent federal debt.

Application Point of Contact Information

First Name	Last Name	Title	E-mail Address	Phone
Janice	Abaray	General Engineer	janice.abaray@dot.gov	415-734-9451
Darin	Allan	Community Planner	Darin.Allan@dot.gov	(415) 734-9470
Tracy	Harrison	Chief, Grants Management Branch	tracy_harrison@dot.ca.gov	916-654-5289

Application Budget Control Totals

Funding Source	Section of Statute	CFDA Number	Amount
FHWA Transfer to 5311Rural Area Formula	5311-2	20509	\$280,000
Local			\$40,000
Local/In-Kind			\$0
State			\$0
State/In-Kind			\$0
Other Federal			\$0
Transportation Development Credit			\$0
Adjustment			\$0
Total Eligible Cost			\$320,000

Application Budget

Project Number	Budget Item	FTA Amount	Non-FTA Amount	Total Eligible Amount	Quantity
CA-2020-025-01-00	300-00 (300-A1) OPERATING ASSISTANCE	\$280,000.00	\$40,000.00	\$320,000.00	1
CA-2020-025-01-00	30.09.02 (5311 OR 5310 PILOT ONLY) SLIDING SCALE	\$280,000.00	\$40,000.00	\$320,000.00	1

Earmark and Discretionary Allocations

This application does not contain earmarks or discretionary allocations.

Part 3: Project Information

Project Title: Operating Assistance - Sliding Scale (Kern)

Project Number	Temporary Project Number	Date Created	Start Date	End Date
CA-2020-025-01-00	1622-2019-1-P1	4/3/2019	4/30/2019	10/30/2020

Project Description

Kern Regional Transit will create a connection to rail and bus service into Los Angeles by the expanding its existing route 130. Currently, this route travel from Bakersfield to Frazier Park. The expansion project will extend route 130 to the Santa Clarita Metrolink Station and McBean Transit Center. There will be 7 round trips each weekday from Bakersfield to Santa Clarita. Kern Regional Transit seeks operating assistance for the incremental costs of expanding the service area.

Project Benefits

New commuter bus service serving Bakersfield and Santa Clarita communities, via Frazier Park

Additional Information

Annual Auto Trips Reduced: 6,474

Annual Auto VMT Reduced: 2,861,508

Annual Emission Reductions (pounds per year): ROG: 1,211; NOx: 1,241; PM10: 809

Location Description

Between Bakersfield and Santa Clarita, via Frazier Park

Project Location (Urbanized Areas)

UZA Code	Area Name
060000	California

Congressional District Information

State	District	Representative
California	22	Devin Nunes
California	20	Jimmy Panetta

Program Plan Information

STIP/TIP

Date: 3/1/2018

Description: Kern Council of Governments: Amendment No. 14 to the 2017 FTIP

UPWP

Date: N/A
 Description: N/A

Long Range Plan

Date: N/A
 Description: N/A

Project Control Totals

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FHWA Transfer to 5311Rural Area Formula	5311-2	20509	\$280,000
Local			\$40,000
Local/In-Kind			\$0
State			\$0
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Total Eligible Cost			\$320,000

Project Budget

Project Number	Budget Item	FTA Amount	Non-FTA Amount	Total Eligible Amount	Quantity
CA-2020-025-01-00	300-00 (300-A1) OPERATING ASSISTANCE	\$280,000.00	\$40,000.00	\$320,000.00	1
CA-2020-025-01-00	30.09.02 SLIDING SCALE (5311 OR 5310 PILOT ONLY)	\$280,000.00	\$40,000.00	\$320,000.00	1

Project Budget Activity Line Items

Budget Activity Line Item: 30.09.02 - SLIDING SCALE (5311 OR 5310 PILOT ONLY)

Scope Name / Code	Line Item #	Line Item Name	Activity	Quantity
OPERATING ASSISTANCE (300-00)	30.09.02	SLIDING SCALE (5311 OR 5310 PILOT ONLY)	OPERATING ASSISTANCE	1

Extended Budget Description

Operating Assistance (Commuter Bus between Bakersfield and Santa Clarita). Project is reimbursable at 88.53% federal share per FHWA.

Will 3rd Party contractors be used to fulfill this activity line item?

Yes, 3rd Party Contractors will be used for this line item.

Funding Source	Section of Statute	CFDA Number	Amount
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State/In-Kind			\$0
Other Federal			\$0
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Total Eligible Cost			\$320,000

Milestone Name	Est. Completion Date	Description
Start Date	5/1/2019	
End Date	10/31/2020	

Project Environmental Findings**Finding: Class II(c) - Categorical Exclusions (C-List)****Class Level Description**

Class II(c) consists of projects called categorical exclusions (CEs) which are known not to have, either individually or cumulatively, a significant environmental impact on the human or natural environment and are therefore categorically excluded from the requirement to prepare an environmental assessment or an environmental impact statement. Class II(c) does not require documentation.

Categorical Exclusion Description

Type 04: Planning and administrative activities which do not involve or lead directly to construction, such as: training, technical assistance and research; promulgation of rules, regulations, directives, or program guidance; approval of project concepts; engineering; and operating assistance to transit authorities to continue existing service or increase service to meet routine demand.

Date Description	Date
Class IIc CE Approved	

Part 4: Fleet Details

No fleet data exists for this application.

Part 5: FTA Review Comments

Application Review Comments

Comment By Michael Lange

Comment Type Application Details

Date 4/8/2019

Comment The attached document, FHWA / CMAQ Federal Share Documentation, details the allowable Federal Share for transfers of funding between FHWA and FTA. Applicable sections are highlighted with the attachment.
23 U.S.C. 104(f) - Transferred funds remain subject to the Federal Share that applied to the category from which the funding was derived. See chart on page 2.
23 U.S.C. 120(a)-(b) - Sliding Scale - of 90-95% for a project on the Interstate System and 80-95% for any other project or activity. California is a Sliding Scale State.

Application Review Comments

Comment By Darin Allan

Comment Type FTA Post Review Comments for Grantee

Date 4/4/2019

Comment This application is well-written; however, there are two issues, one minor, one major:
1) Minor - I changed the NEPA CE finding to C4 which applies to operations.
2) Major - The maximum Sliding Scale Rate for Transit Operating Grants available to California is 55.33% (see p. III-18 of FTA C 9040.1G). With a FHWA transfer of \$280,000, this means the Total Project Cost could be \$506,054. Conversely, if the Total Project Cost is \$320,000 as the KernCOG FTIP appears to indicate, Caltrans can only apply for \$177,056 of the \$280,000 transferred.

Comment By Darin Allan

Comment Type FTA Post Review Comments for Grantee

Date 5/8/2019

Comment Per my emails on 4/16 and 5/2, FTA Region 9 has determined that Caltrans Recipient Documents do not contain authority to apply for and receive FTA 5311 grant funds. For a new authorization signed by the Governor, it would be helpful to generically indicate that the California Department of Transportation (Caltrans) is authorized to apply for and receive funding made available under 49 U.S.C. Chapter 53 (FTA programs), which may also include funds transferred from Title 23 U.S.C. (FHWA programs), on behalf of

the State of California as the Designated Recipient for the applicable federal transit programs.

Part 6: Agreement

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

**GRANT AGREEMENT
(FTA G-25, October 1, 2018)**

On the date the authorized U.S. Department of Transportation, Federal Transit Administration (FTA) official signs this Grant Agreement, FTA has obligated and awarded federal assistance as provided below. Upon execution of this Grant Agreement by the Recipient named below, the Recipient affirms this FTA Award, enters into this Grant Agreement with FTA, and binds its compliance with the terms of this Grant Agreement.

The following documents are incorporated by reference and made part of this Grant Agreement:

- (1) "Federal Transit Administration Master Agreement," FTA MA(25), October 1, 2018, <http://www.transit.dot.gov>,
- (2) The Certifications and Assurances applicable to the FTA Award that the Recipient has selected and provided to FTA, and
- (3) Any Award notification containing special conditions or requirements, if issued.

WHEN THE TERM "FTA AWARD" OR "AWARD" IS USED, EITHER IN THIS GRANT AGREEMENT OR THE APPLICABLE MASTER AGREEMENT, "AWARD" ALSO INCLUDES ALL TERMS AND CONDITIONS SET FORTH IN THIS GRANT AGREEMENT.

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

FTA AWARD

Federal Transit Administration (FTA) hereby awards a Federal Grant as follows:

Recipient Information

Recipient Name: Transportation, California Department Of

Recipient ID: 1622

DUNS No: 135253776

Application Information

Federal Award Identification Number: CA-2020-025-00

Application Name: 5311 CMAQ |Operating - (Calif ID #0019000160)

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Application End Date: 1/30/2021

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Research and Development: This award does not include research and development activities.

Indirect Costs: This award does not include an indirect cost rate.

Suballocation Funds: Recipient organization is the Designated Recipient and can apply for and receive these apportioned funds.

Pre-Award Authority: This award is not using Pre-Award Authority.

Application Budget

Total Application Budget: \$320,000.00

Amount of Federal Assistance Obligated for This FTA Action (in U.S. Dollars): \$280,000.00

Amount of Non-Federal Funds Committed to This FTA Action (in U.S. Dollars): \$40,000.00

Total FTA Amount Awarded and Obligated (in U.S. Dollars): \$280,000.00

Total Non-Federal Funds Committed to the Overall Award (in U.S. Dollars): \$40,000.00

Application Budget Control Totals

(The Budget includes the individual Project Budgets (Scopes and Activity Line Items) or as attached)

Funding Source	Section of Statute	CFDA Number	Amount
FHWA Transfer to 5311Rural Area Formula	5311-2	20509	\$280,000
Local			\$40,000
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State/In-Kind			\$0
Other Federal			\$0
Transportation Development Credit			\$0
Adjustment			\$0
Total Eligible Cost			\$320,000

(The Transportation Development Credits are not added to the amount of the Total Award Budget.)

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

Original Certification Date:

Special Conditions

There are no special conditions.

FINDINGS AND DETERMINATIONS

By signing this Award on behalf of FTA, I am making all the determinations and findings required by federal law and regulations before this Award may be made.

FTA AWARD OF THE GRANT AGREEMENT

Awarded By:

FEDERAL TRANSIT ADMINISTRATION
U.S. DEPARTMENT OF TRANSPORTATION
Contact Info:
Award Date:

EXECUTION OF THE GRANT AGREEMENT

Upon full execution of this Grant Agreement by the Recipient, the Effective Date will be the date FTA or the Federal Government awarded Federal assistance for this Grant Agreement.

By executing this Grant Agreement, the Recipient intends to enter into a legally binding agreement in which the Recipient:

- (1) Affirms this FTA Award,
- (2) Adopts and ratifies all of the following information it has submitted to FTA:
 - (a) Statements,

- (b) Representations,
 - (c) Warranties,
 - (d) Covenants, and
 - (e) Materials,
- (3) Consents to comply with the requirements of this FTA Award, and
- (4) Agrees to all terms and conditions set forth in this Grant Agreement.

Executed By:

Transportation, California Department Of