

# California Governor's Office of Emergency Services



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**Fiscal Year (FY) 2013 – 14 California Transit Security Grant Program  
California Transit Assistance Fund  
(CTSGP-CTAF)**

*Program Guidelines and Application Kit*

**OCTOBER 4, 2013**

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## SECTION 1 – OVERVIEW

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### **The Highway Safety, Traffic Reduction, Air Quality and Port Security Bond Act of 2006 (Proposition 1B)**

The Highway Safety, Traffic Reduction, Air Quality and Port Security Bond Act of 2006, approved by the voters as Proposition 1B at the November 7, 2006 general election, authorizes the issuance of \$19,925,000,000 in general obligation bonds for specified purposes, including grants for transit system safety, security and disaster response projects.

#### **Transit System Safety, Security and Disaster Response Account**

Section 8879.23 of the California Government Code creates the Highway Safety, Traffic Reduction, Air Quality and Port Security Fund of 2006 in the State Treasury. Section 8879.23(h) directs that \$1,000,000,000 be deposited in the Transit System Safety, Security and Disaster Response Account.

#### **Senate Bill 88**

Senate Bill 88 (SB 88) was signed by the Governor and chaptered into law on August 24, 2007. SB 88 implements the provisions of the Highway Safety, Traffic Reduction, Air Quality and Port Security Bond Act of 2006.

[http://www.caloes.ca.gov/EMS-HS-HazMat/Documents/Prop%201B%20documents/Additional%20Prop%201B%20docs/SB88\\_Chaptered\\_082407.pdf](http://www.caloes.ca.gov/EMS-HS-HazMat/Documents/Prop%201B%20documents/Additional%20Prop%201B%20docs/SB88_Chaptered_082407.pdf)

#### **FY 2013-14 California Transit Security Grant Program, California Transit Assistance Fund**

The program guidelines and application kit will provide eligible applicants with the guidance, information and documents necessary to participate in the Fiscal Year (FY) 2013-14 California Transit Security Grant Program (CTSGP), California Transit Assistance Fund (CTAF) administered by the California Governor's Office of Emergency Services (Cal OES).

The program guidelines may be obtained at:

<http://www.caloes.ca.gov/EMS-HS-HazMat/Pages/Proposition-1B-Grant-Documents.aspx>

**NOTE:** The FY 2013-14 CTSGP-CTAF Guidance is a living document and is subject to change. Changes will be announced through the issuance of a Grant Management Memorandum (GMM): <http://www.caloes.ca.gov/EMS-HS-HazMat/Pages/Proposition-1B-Grant-Documents.aspx>

#### **Funds Available**

Funding appropriated for the FY 2013-14 CTSGP-CTAF is \$60,000,000 (projects will be subject to available bond funding). Of these funds, 50 percent shall be allocated to eligible agencies using the formula in Section 99314 of the Public Utilities Code, and 50 percent shall be allocated to eligible agencies using the formula in Section 99313 of the Public Utilities Code, subject to the provisions governing funds allocated under those Sections. Funds allocated to the Metropolitan Transportation Commission, pursuant to Section 99313 of the Public Utilities

Code, shall be suballocated to transit operators within its jurisdiction, pursuant to Section 99314 of the Public Utilities Code.

### **Eligible Recipients**

The Controller shall provide a list of eligible agencies and transit operators, including the amount of funds each is eligible to receive from the account pursuant to subdivision (a) of Section 8879.57. The amount of funds will be proportional to the share received from the allocation of State Transit Assistance Funds, pursuant to Sections 99313 and 99314 of the Public Utilities Code, over fiscal years 2004-05, 2005-06, and 2006-07. All amounts will be reduced for administrative costs and loan interest until the loan is repaid.

### **Eligible Expenditures**

Eligible activities include the following:

- A. A capital project that provides increased protection against a security or safety threat including, but not limited to, the following:
  - a. Construction or renovation projects that are designed to enhance the security of public transit stations, tunnels, guideways, elevated structures or other transit facilities and equipment;
  - b. Explosive device mitigation and remediation equipment;
  - c. Chemical, biological, radiological and nuclear explosives search, rescue or response equipment;
  - d. Interoperable communications equipment;
  - e. Physical security enhancement equipment;
  - f. The installation of fencing, barriers, gates or related security enhancements that are designed to improve the physical security of transit stations, tunnels, guideways, elevated structures or other transit facilities and equipment; and
  - g. Other security and safety-related projects approved by Cal OES.
- B. A capital project that increases the capacity of transit operators to prepare for disaster-response transportation systems that can move people, goods, emergency personnel and equipment in the aftermath of a disaster.
- C. Other allowable costs under California Government Code 16727 (a) include costs directly related to construction or acquisition including, but not limited to, planning, engineering, construction management, architectural, and other design work, environmental impact reports and assessments, required mitigation expenses, appraisals, legal expenses, site acquisitions, necessary easements, and warranties, as approved by Cal OES.

**NOTE:** Management and Administration (M&A) costs are not allowable for Prop 1B funds.

## **Grant Cycle**

Entities receiving an allocation of funds shall expend those funds within three fiscal years of the fiscal year in which the funds were allocated. Funds allocated during the FY 2013-14 shall be expended no later than March 31, 2017. Funds remaining unexpended thereafter shall revert to Cal OES, as applicable, for reallocation in subsequent fiscal years.

## **County Transportation Commissions**

County transportation commissions are responsible for calculating the available allocation for each project sponsor applying for funds pursuant to Gov Code Section 8879.58(a)(2). Applications to Cal OES for projects seeking funds pursuant to Gov Code Section 8879.58(a)(2) must be submitted through and approved by the appropriate county transportation commission.

## **General Provisions**

Cal OES will approve funding for phased projects only if the benefits associated with each phase are sufficient to meet the objectives of the program.

The grantee agency must:

- A. Provide for the audit of project expenditures and outcomes.
- B. Identify the useful life of the project as part of the project nomination process.
- C. Identify project delivery milestones including, but not limited to: start and completion dates for environmental clearance, land acquisition, design, and construction bid award, construction completion, and project closeout, as applicable.
- D. Report, on a semiannual basis, on the activities and progress made toward implementation of the project.
- E. If it is anticipated that project costs will exceed the approved project budget, the grantee agency shall provide a plan to Cal OES for achieving the benefits of the project by either downscoping the project to remain within budget or by identifying an alternative funding source to meet the cost overage. The administrative agency may either approve the corrective plan or direct the grantee agency to modify its plan.
- F. Within six months of the project becoming operable, the grantee agency shall provide a report on the final costs of the project as compared to the approved project budget, the project duration as compared to the original project schedule as of the date of allocation, and performance outcomes derived from the project compared to those described in the original application for funding.
- G. Applications to Cal OES for projects seeking funds pursuant to Gov Code Section 8879.58(a)(2) and 8879.58(a)(3) must be submitted through and approved by the appropriate county transportation commission.

## Cal OES Contact Information

All application materials, related questions, comments and correspondence should be directed to the address below:

California Governor's Office of Emergency Services  
Transit Security Grants Unit  
Proposition 1B Program Representative  
3650 Schriever Avenue  
Mather, California 95655

Main Phone Line: (916) 845-8510  
Fax: (916) 636-3780

The Cal OES regional program representative assignments may be located on the Regional Transit Security and Proposition 1B Assignment Map at:  
<http://www.caloes.ca.gov/EMS-HS-HazMat/Documents/Prop%201B%20documents/Prop1B%20Mass%20Transit%20Assignment%20Map%2020130826.pdf>

Amber Lane, Program Representative  
Email: [Amber.Lane@calema.ca.gov](mailto:Amber.Lane@calema.ca.gov)  
Direct Line: (916) 845-8660

Laurie Ballard, Program Representative  
Email: [Laurie.Ballard@calema.ca.gov](mailto:Laurie.Ballard@calema.ca.gov)  
Direct Line: (916) 845-8127

## Cal OES Website

As the administrative agency for CTS GP-CTAF, Cal OES will issue Program Guidelines, Grant Management Memorandums, conduct grant management workshops, training sessions, meetings, working groups, and site visits. Information regarding these activities will be communicated to program participants and the public on the Cal OES website, located at:  
<http://www.caloes.ca.gov/Pages/default.aspx>.

## SECTION 2 – Grantee Applications

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### **Project Funding Plan Approval Process**

Projects submitted for funding will be reviewed and approved in two phases.

#### **Phase I**

Eligible applicants may submit Investment Justifications (IJ) on a continual basis. Cal OES will internally review projects, and make final funding decisions.

Applications for projects seeking funds allocated pursuant to Gov Code Section 8879.57(a)(3) must be submitted to Cal OES. Projects that seek Gov Code Section 8879.57(a)(2) and (a)(3) funds may be combined but those portions of the projects involving Gov Code Section 8879.57(a)(2) funds must be submitted through and approved by the appropriate county transportation commission.

Even when not required, applicants are encouraged to submit copies of applications to their respective county transportation agency. Cal OES values information from the county transportation commissions, but does not require any action on their part prior to determining project eligibility and otherwise acting to disburse funds.

The IJ must be submitted on the template provided in Appendix B.

#### **Phase II**

Cal OES shall review the information to determine all of the following:

- A. The project is consistent with the purposes described in subdivision (h) of Section 8879.23.
- B. The project is an eligible capital expenditure, as described in subdivision (a) of Section 8879.57.
- C. The project is a capital improvement that meets the requirements of paragraph (2) of subdivision (a) of 8879.57.
- D. The project or a useful component thereof, is, or will become fully funded with an allocation of funds from the Transit System Safety, Security, and Disaster Response Account.

Upon conducting the review required in subdivision (c) and determining that a proposed project meets the requirements, Cal OES shall:

- A. On a quarterly basis, provide the State Controller with a list of projects and sponsoring agencies or transit operators eligible to receive an allocation from the account.

The list of projects submitted to the State Controller for allocation shall be constrained by the total amount of funds appropriated by the Legislature for the purposes of this Section. For a fiscal year in which the number of projects submitted for funding under this Section exceeds

available funds, Cal OES shall prioritize projects contained on the lists submitted pursuant to paragraph (1) so that (a) projects addressing the greatest risks to the public have highest priority and (b) to the maximum extent possible, the list reflects a distribution of funding that is geographically balanced.

Upon receipt of the information from Cal OES required by subdivision (d), the State Controller's office shall commence any necessary actions to allocate funds to eligible agencies and transit operators, but may not exceed their allocation pursuant to the formula contained in subdivision (a) of Section 8879.57.

### **Document Submittal**

Completed IJ funding plans are accepted on a continual basis and must be submitted electronically to [Prop1B@calema.ca.gov](mailto:Prop1B@calema.ca.gov). Additional information will be requested or accepted from the grantee at the sole discretion of Cal OES. All documents requiring original signatures must be mailed to Cal OES.

### **Notification of Project Eligibility**

Upon final project approval, grantees shall be issued a Notice of Project Eligibility (NOPE) letter. The NOPE will include project milestones, audit requirements, program monitoring requirements, reporting requirements and directions to complete the Cal OES Financial Management Forms Workbook (FMFW). Upon receipt of the NOPE the agency has up to **SIX WEEKS** to complete and submit all supporting application documents.

The FMFW may be obtained at:

<http://www.caloes.ca.gov/EMS-HS-HazMat/Pages/Proposition-1B-Grant-Documents.aspx>

### **Required Application Components**

Grantees are required to submit all supporting documents, which must include the following application components:

- A. FMFW
  - a. Application Face Sheet (Printed in portrait)
  - b. Grant Management Roster
  - c. Project Descriptions
    - i. Investment Justification - Goals and Objectives
    - ii. Project Description
  - d. Project Ledger (Initial Application)
  - e. Project Ledger (Cash Advance)
  - f. Equipment Inventory Ledger
  - g. Planning Roster; if applicable
  - h. Authorized Agent (AA) Initial Application page with appropriate signatures
  - i. AA Cash Advance page with appropriate signatures

- B. AA form (Appendix D)
- C. Certified Copy of the Governing Body Resolution (Appendix E)
- D. Signed Original Grant Assurances (Appendix F)

Grantees must mail hard copies and supporting documents with appropriate wet signatures (in blue ink) to Cal OES.

### **Governing Body Resolution**

The Governing Body Resolution appoints agents authorized to execute any actions necessary for each application. Applications for projects seeking funds allocated pursuant to Gov Code Section 8879.58(a)(3) and Gov Code Section 8879.58(a)(2) will require a Governing Body Resolution.

The regional planning commission must provide a resolution that names each agency awarded 8879.58(a)(2) funds. The Governing Body Resolution appoints agents authorized to execute any actions necessary for each application. Cal OES will not require applicants to list each project on the Governing Body Resolution. However, Governing Body Resolutions for FY 2013-14 CTSGP-CTAF must reference grant identification number: 6661-0002.

**NOTE:** All applicants will be required to submit a certified copy of a new Governing Body Resolution for FY 2013-14 CTSGP-CTAF. A sample can be found on Cal OES's website or Appendix E. <http://www.caloes.ca.gov/EMS-HS-HazMat/Pages/Proposition-1B-Grant-Documents.aspx>

### **Grant Assurances**

The Grant Assurances list the requirements to which the grantee will be held accountable. All applicants will be required to submit new Grant Assurances.

**NOTE:** Self-created assurance forms will not be accepted. The Grant Assurances can be found on Cal OES's website or Appendix F of the Program Guidance.

## SECTION 3 – POST AWARD REQUIREMENTS

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### Post Award Modifications

Post-award budget modifications must be requested using the FMFW, signed by the grantee's AA, and submitted to the grantee's program representative. The grantee may implement the modifications, and incur associated expenses, only after receiving written final approval of the modification from Cal OES.

Failure to submit modification requests, and receive written approval, prior to the expenditure of funds could result in a reduction or disallowance of a cost incurred by the grantee agency. The modification request form can be obtained on Cal OES's website or Appendix G:

<http://www.caloes.ca.gov/EMS-HS-HazMat/Pages/Proposition-1B-Grant-Documents.aspx>

**NOTE:** The Prop 1B Program is currently funded by General Obligated and Buy America Bonds, which restrict modifications to the project's scope. All projects scheduled for bond allocation may not be eligible. Contact your program representative if you have any questions.

### Payment Request Process

To request advance payment of FY 2013-14 CTS GP-CTAF funds, complete a payment request form using the FMFW's Project Ledger, Equipment Inventory Ledger, and signed AA page that are to be returned to the appropriate program representative. Grantees who fail to follow the workbook instructions will experience delays in processing.

**NOTE:** Payments can only be made if the grantee has a completed and approved application.

### Interest

FY 2013-14 CTS GP-CTAF funds must be kept in a separate interest bearing account and is to be used solely on eligible Prop 1B projects. Any interest that is accrued must be reported to Cal OES in each reporting cycle. Review the Performance Report for proper interest reporting guidelines.

### Grantee Performance Reports

Twice a year, grantees must prepare and submit performance reports to the Transit Security Grants Unit, for the duration of the grant cycle, or until all grant activities are completed and the grant is formally closed. The required form is attached as Appendix H. Grantees must complete and mail in the required reports. The grant cycle from October 1<sup>st</sup> through March 31<sup>st</sup> will have a report due on **April 30<sup>th</sup>** and the grant cycle from April 1<sup>st</sup> through September 30<sup>th</sup> will have a report due on **October 31<sup>st</sup>**. The performance report template can be found on Cal OES's website or Appendix H: <http://www.caloes.ca.gov/EMS-HS-HazMat/Pages/Proposition-1B-Grant-Documents.aspx>

**NOTE:** Project and expenditure information provided to us is posted publically to the California Bond Accountability Website pursuant to Government Code §8879.50

## **Failure to Submit Required Reports**

Reporting is required by the grant. Grantees who miss a single reporting deadline may receive a letter informing them of the failure to report and a "hold" may be placed on any future funds.

## **Monitoring Grantee Performance**

The State conducts regular monitoring. The monitoring will be conducted on the grantee's administrative, programmatic and fiscal management of the grants.

**NOTE:** It is the responsibility of all grantees to monitor and audit the grant activities of their grantees, including onsite verification of grant activities as required.

These reviews may include, but are not limited to, the following:

- A. Eligibility of expenditures.
- B. Comparing actual activities to those approved in the IJ application and subsequent modifications, if any.
- C. Confirming compliance with:
  - a. Grant assurances;
  - b. Information provided on performance reports and payment requests; and
  - c. Needs and threat assessments and strategies.

## **Suspension and Termination**

The State may suspend or terminate funding, in whole or in part, or other measures may be imposed for any of the following reasons:

- A. Failing to expend funds in a timely manner consistent with the milestones, guidance and assurances;
- B. Failing to comply with the requirements or statutory objectives of federal or state law;
- C. Failing to make satisfactory progress toward the goals or objectives of federal or state law;
- D. Failing to make satisfactory progress toward the goals or objectives set forth in the Application;
- E. Failing to follow agreement requirements or special conditions;
- F. Proposing or implementing substantial plan changes to the extent that, if originally submitted, the proposed project would not have been approved for funding;
- G. Failing to submit required reports;
- H. Filing a false certification in the application or other report or document; and
- I. Failing to adequately manage, monitor or direct the funding activities of their grantees.

Before taking action, the State will provide the grantee reasonable notice of intent to impose corrective measures and will make every effort to resolve the problem informally.

## **Final Project Report**

Within six months of a project becoming operable, grantees shall provide a report to Cal OES comparing the final cost of the project to the approved project budget, the project duration as compared to the original project schedule from the date of allocation, and performance outcomes derived from the project compared to those described in the original application for funding. Cal OES will forward the report to the Department of Finance (DOF) by means approved by the DOF.

## **Closeout**

The State will close a grantee award after:

- A. Receiving a Final Project Report (Appendix J) indicating that all approved work has been completed, and all funds have been disbursed;
- B. Completing a review to confirm the accuracy of reported information; and
- C. Reconciling actual costs to awards, modifications, and payments.

If the closeout review and reconciliation indicates that the grantees:

- A. Are owed additional funds, then the State will send the final payment automatically to the grantees.
- B. Did not use all funds received; the State will recover unused funds.

The closeout report template may be found on Cal OES's website or Appendix K:

<http://www.caloes.ca.gov/EMS-HS-HazMat/Pages/Proposition-1B-Grant-Documents.aspx>

**Note:** Failure to maintain all grant records could cause delays in future funding.

## **Record Retention**

Per Grants Management Memo 2011-09, the grantees are required to keep records of Prop 1B documents for 35 years. The required documents include, but are not limited to, the following:

- Documents evidencing the granting of all bond funds, including copies of invoices, bills, draw/disbursement requests and claim schedules;
- Accounting records and reports for the bond funds accounts from which the funds were deposited; and
- Grant Agreements, award letters, Letter(s) of No Prejudice, Notice of Project Eligibility, workbooks, approved/denied Grant Award Modifications, Investment Justifications, contracts, MOUs, Governing Body Resolutions for each grant year, Grant Assurances, Monitoring/Site Visit findings letter, etc.

## SECTION 4 – APPENDICES

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- A. FY 2013-14 CTSGP-CTAF Timeline
- B. Investment Justification Template
- C. Investment Justification Instructions
- D. Authorized Agent Signature Authority
- E. Governing Body Resolution Sample
- F. Grant Assurances
- G. Modification Request Template
- H. Performance Report Template
- I. Performance Report Instructions
- J. Closeout Report Template
- K. Closeout Report Instructions
- L. Eligible Allocation

## APPENDIX A- FY 2013-14 CTSGP-CTAF Timeline

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### **Mass Transit (60%) Program**

Draft Guidelines and Application Kit issued	September 2013
Final Guidelines and Application Kit issued	September 2013
Public Meeting/Application Workshop/Webinar	October 2013
Investment Justifications Due	December 15, 2013
Project Selection	February 2014
Financial Management Forms Workbook submittal period begins	March 2014
Financial Management Forms Workbook submittal period ends	May 2014
FY 2013-14 Grantee grant cycle ends	March 2017

## APPENDIX B – Investment Justification Template

A. Investment Heading	
Date Submitted	
Grant Cycle Applying For	
County of Allocation	
Agency Name	
Investment Name	
Investment Phase	
Amount Requesting	\$
FIPS Number	
Number of Projects	

B. Contact Information	
Point of Contact's (POC) name and title; POC's full mailing address; POC's telephone number; POC's fax number; POC's email address;	Also include the corresponding information for the single authorizing official for your organization—i.e., the individual authorized to sign a grant award Authorized Agent (AA) name and title; AA full mailing address; AA telephone number; AA fax number; AA email address;

C. Investment Funding plan			
Investment YEAR_____	CTAF Request Total		Grand Total
	8879.58(a)(2)	8879.58(a)(3)	
Planning			
Equipment			
Construction			
Total			

\*\*\*\*NOTE –Label each project alphabetically and provide the following questions per project:

Agency Name and FIPS \_\_\_\_\_

Letter and Project Title \_\_\_\_\_

D. Provide a brief description for this investment.

E. Describe how this investment specifically addresses capital projects or capital expenditures.

F. Describe how the investment will achieve the safety, security, or emergency response benefit.

Agency Name and FIPS \_\_\_\_\_

Letter and Project Title \_\_\_\_\_

G. Describe how this investment specifically meets the useful life for capital assets specified in subdivision (a) of Section 16727.

H. Provide a high-level timeline, milestones and dates, for the implementation of this investment. Possible areas for inclusion are: stakeholder engagement, planning, major acquisitions/purchases, training, exercises, and process/policy updates. Up to 10 milestones may be provided.

## APPENDIX C – Investment Justification Instructions

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### A. Investment Heading:

- a. Date Submitted - Today's Date
- b. Grant Cycle Applying For - Example (07-08) or (08-09)
- c. County of Allocation - County in which the funds will be drawn from
- d. Agency Name - Name of grantee
- e. Investment Name - Project title
- f. Investment Phase – Example: 1, 2, 3
- g. Amount Requesting – One year's allocation per IJ
- h. FIPS Number - FIPS is the same every year
- i. Number of Projects – Example: 1 of 4

### B. Contact Information:

- a. Point of Contact's (POC) name and title;
- b. POC's full mailing address;
- c. POC's telephone number;
- d. POC's fax number;
- e. POC's email address;
- f. Also include the corresponding information for the single authorizing official for your organization—i.e., the individual authorized to sign a grant award
- g. AA name and title;
- h. AA full mailing address;
- i. AA telephone number;
- j. AA fax number; and
- k. AA email address.

\*\*\*It is the agency's responsibility to keep their Cal OES program representative up to date on current POCs and AAs.

### C. Investment Funding Plan:

- a. Complete the chart below to identify the amount of funding being requested for this Prop 1B investment only;
- b. Investment Year – The year in which the funds are allocated
- c. Funds should be requested by allowable cost categories (i.e., planning, equipment, and construction);
- d. Applicants must make funding requests that are reasonable and justified by direct linkages to activities outlined in this particular investment;
- e. If the applicant is requesting several agencies 8879.58(a)(3) funds agreement documents need to be submitted in order to request funds; and
- f. One year allocation per IJ.

### D. Complete Name and Project Title

- a. Provide a brief description for this investment. (Not to exceed one page)

- E. Describe how this investment specifically addresses capital projects or capital expenditures. (Not to exceed ½ page)
- a. Describe how the investment addresses one or more of the following:
  - b. Capital Projects:
    - i. Construction or renovation projects that are designed to enhance the security of public transit stations, tunnels, guideways, elevated structures or other transit facilities and equipment
    - ii. Explosive device mitigation and remediation equipment
    - iii. Chemical, biological, radiological and nuclear explosive search, rescue or response equipment
    - iv. Interoperable communications equipment
    - v. Physical security enhancement equipment
    - vi. The installation of fencing, barriers, gates or related security enhancements that are designed to improve the physical security of transit stations, tunnels, guideways, elevated structures or other transit facilities and equipment
  - c. Capital expenditures to increase the capacity of transit operators to develop disaster response transportation systems that can move people, goods, and emergency personnel and equipment in the aftermath of a disaster impairing the mobility of goods, people, and equipment.
- F. Describe how the investment will achieve the safety, security, or emergency response benefit. (not to exceed ½ page)
- a. Outline how the investment specifically addresses the transit agency's required security or emergency response plan.
- G. Describe how this investment specifically meets the useful life for capital assets specified in subdivision (a) of Section 16727. (not to exceed ½ page)
- H. Describe how the investment addresses one or more of the following tangible physical properties:
- a. An expected useful life of 15 years or more
  - b. Property with an expected useful life of 10 to 15 years, but these costs may not exceed 10 percent of the bond proceeds net of all issuance costs.
  - c. Include major maintenance, reconstruction, demolition for purposes of facilities, and retrofitting work that is ordinarily done no more often than once every 5 to 15 years or expenditures that continue or enhance the useful life of the capital asset.
  - d. Equipment with an expected useful life of two years or more.

- I. Provide a high-level timeline, milestones and dates, for the implementation of this investment. Examples: stakeholder engagement, planning, major acquisitions/purchases, and process/policy updates. Up to 10 milestones may be provided. (not to exceed 1 page)
  - a. Only include major milestones that are critical to the success of the investment;
  - b. While up to 10 milestones may be provided, applicants should only list as many milestones as necessary;
  - c. Milestones are for this investment – those that are covered by the requested funds and will be completed over the 36-month performance period;
  - d. Milestones should be kept to high-level, major tasks that will need to occur;
  - e. Identify the planned start date associated with the identified milestone. The start date should reflect the date at which the earliest action will be taken to start achieving the milestone;
  - f. Identify the planned completion date when all actions related to the milestone will be completed and overall milestone outcome is met; and
  - g. List any relevant information that will be critical to the successful completion of the milestone (such as those examples listed in the question text above).

APPENDIX D – Authorized Agent Signature Authority

**Transit System Safety, Security and  
Disaster Response Account Program**

AS THE \_\_\_\_\_  
(Chief Executive Officer / Director / President / Secretary)

OF THE \_\_\_\_\_  
(Name of Organization)

I hereby authorize the following individual(s) to execute for and on behalf of the named state organization, any actions necessary for the purpose of obtaining state financial assistance provided by the California Governor’s Office of Emergency Services.

\_\_\_\_\_, OR  
(Name or Title of Authorized Agent)

\_\_\_\_\_, OR  
(Name or Title of Authorized Agent)

\_\_\_\_\_  
(Name or Title of Authorized Agent)

Signed and approved this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_

\_\_\_\_\_  
(Signature)

Must match the designation in the Resolution.

APPENDIX E – Governing Body Resolution Sample

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(Submitted resolutions should be on agency letterhead)

WHEREAS, the Highway Safety, Traffic Reduction, Air Quality, and Port Security Bond Act of 2006 authorizes the issuance of general obligation bonds for specified purposes, including, but not limited to, funding made available for capital projects that provide increased protection against security and safety threats, and for capital expenditures to increase the capacity of transit operators to develop disaster response transportation systems; and

WHEREAS, the California Governor’s Office of Emergency Services (Cal OES) administers such funds deposited in the Transit System Safety, Security, and Disaster Response Account under the California Transit Security Grant Program (CTSGP ); and

WHEREAS, the [Name of Applicant] is eligible to receive CTSGP funds; and

WHEREAS, the [Name of Applicant] will apply for [FY] CTSGP funds in an amount up to [Amount] for [enter project and how it supports purpose of the Highway Safety, Traffic Reduction, Air Quality, and Port Security Bond Act of 2006]; and

WHEREAS, [Name of Applicant] recognizes that it is responsible for compliance with all Cal OES CTSGP grant assurances, and state and federal laws, including, but not limited to, laws governing the use of bond funds; and

WHEREAS, Cal OES requires [Name of Applicant] to complete and submit a Governing Body Resolution for the purposes of identifying agent(s) authorized to act on behalf of [Name of Applicant] to execute actions necessary to obtain CTSGP funds from Cal OES and ensure continued compliance with Cal OES CTSGP assurances, and state and federal laws.

THEREFORE, IT IS HEREBY RESOLVED BY THE [GOVERNING BODY] OF THE [APPLICANT] THAT [NAME AND TITLE OF AUTHORIZED AGENT], AND/OR [HIS/HER] DESIGNEE, is hereby authorized to execute for and on behalf of [Name of Applicant], a public entity established under the laws of the State of California, any actions necessary for the purpose of obtaining financial assistance provided by the California Governor’s Office of Emergency Services under the CTSGP.

Passed and approved this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

Certification

I, \_\_\_\_\_, duly appointed and  
.....  
.....  
(Name)

\_\_\_\_\_ of the \_\_\_\_\_  
.....  
(Title) .....  
.....

.....  
(Governing Body) .....

do hereby certify that the above is a true and correct copy of a resolution passed and approved by

the \_\_\_\_\_ of the \_\_\_\_\_ on the  
(Governing body).....

.....  
(Name of Applicant)  
.....  
.....

\_\_\_\_\_ day of, \_\_\_\_\_, 20\_\_\_\_\_ .

\_\_\_\_\_  
(Official Position)

\_\_\_\_\_  
(Signature)  
  
\_\_\_\_\_

APPENDIX F – Grant Assurances

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**Transit System Safety, Security and  
Disaster Response Account Program**

Name of Applicant: \_\_\_\_\_

Grant Cycle: \_\_\_\_\_ Grant Number: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Telephone: (\_\_\_\_) \_\_\_\_\_ E-Mail: \_\_\_\_\_

As the duly authorized representative of the Applicant, I certify that the Applicant named above:

1. Has the legal authority to apply for CTSGP-CTAF funds, and has the institutional, managerial, and financial capability to ensure proper planning, management, and completion of the grant provided by the State of California and administered by the California Governor’s Office of Emergency Services (Cal OES).
2. Assures that the grant funds will only be used for allowable, fair, and reasonable costs.
3. Recognizes the importance of accountability for the use of CTSGP-CTAF funds, and will give the State of California generally, and Cal OES in particular, through any representative authorized by Cal OES, access to and the right to examine all paper and electronic records, books, and other documents related to the award.
4. Will establish and maintain a proper accounting system for CTSGP-CTAF funds, in accordance with applicable laws, generally accepted accounting standards, and Cal OES directives.
5. Will provide reports and documentation related to this grant to Cal OES, in accordance with applicable laws and Cal OES grant guidance, including but not limited to: progress reports, closeout documentation, Authorized Agent Forms, Governing Body Resolutions, and other information as may be required by Cal OES.
6. Will initiate and complete approved project work within applicable timeframes, after Cal OES approves the project.
7. Will comply with Standardized Emergency Management System requirements as stated in the California Emergency Services Act (California Gov Code Section 8607 *et seq.*) and Title 19 of the California Code of Regulations, Sections 2445, 2446, 2447, and 2448.
8. Will promptly return to the State of California all funds received which exceed the actual expenditures approved by Cal OES.
9. If the approved amount of the grant is reduced, will promptly return to the State of California funds equal to the amount of this reduction.

10. Will keep CTSGP-CTAF funds in a separate interest bearing account. Any interest that is accrued must be accounted for and used for the project approved by Cal OES.
11. Agrees that equipment acquired or obtained with CTSGP-CTAF funds:
  - a. Will be made available under the California Disaster and Civil Defense Master Mutual Aid Agreement in consultation with representatives of the various fire, emergency medical, hazardous materials response services, and law enforcement agencies within the jurisdiction of the applicant; and
  - b. Will be made available pursuant to applicable terms of the California Disaster and Civil Defense Master Mutual Aid Agreement and deployed with personnel trained in the use of such equipment in a manner consistent with the California Law Enforcement Mutual Aid Plan, the California Fire Services and Rescue Mutual Aid Plan, and the State Emergency Plan.
12. Will comply with all applicable federal, state, and local laws, executive orders, regulations, program and administrative requirements, policies, and any other requirements governing this program.
13. Understands that failure to comply with applicable state and federal laws governing general obligation, tax-exempt, and Build America bonds may result in penalties administered by the Internal Revenue Service or a loss of tax-exempt bond status.
14. Will retain records for thirty-five years after notification of grant closeout by the State, and ensure that any subcontractors, subgrantees, or entities to which project responsibilities are transferred, retain records in accordance with state, federal, and local record retention requirements.
15. Grantees and subgrantees will use their own procurement and contracting procedures, which comply with applicable state and local laws and regulations, or with the California Public Contract Code, whichever is more restrictive.
16. Will maintain and abide by procedures to minimize the time between the award of funds and the disbursement of funds.
17. Will abide by Cal OES CTSGP-CTAF guidelines.
18. Will submit to Cal OES a CTSGP-CTAF Program Investment Justification, listing all projects to be funded for the life of the bond, including the amount for each project and the year in which the funds will be requested.
19. Will submit to Cal OES a signed Authorized Agent Form designating the representative who can submit documents on behalf of the Applicant and an original, certified copy, or e-signed and verified copy, subject to approval by Cal OES, of the board resolution appointing the Authorized Agent. Should a new agent be authorized by the Applicant's

governing board, the Applicant will submit to Cal OES a new, signed Authorized Agent Form designating the representative who can submit documents on behalf of the Applicant, and an original, certified copy, or e-signed and verified copy, subject to approval by Cal OES, of the board resolution appointing that Authorized Agent.

20. Will ensure that CTSGP-CTAF funds will be used only for the approved capital project and that this approved project will be completed within applicable timeframes and remain in operation for its useful life, in accordance with state and federal laws, including, but not limited to applicable laws governing the CTSGP-CTAF Program, state general obligation bond laws, and federal laws governing tax-exempt and Build America bonds.
21. Will promptly notify Cal OES of pending litigation, bankruptcy proceedings, and negative audit findings related to the project.
22. Will maintain continuing control over the use of project equipment and facilities, and will maintain project equipment and facilities for the useful life of the project, in accordance with state and federal laws, including, but not limited to the laws governing the CTSGP-CTAF Program, state general obligation bond laws, and federal tax-exempt and Build America bond laws.
23. The project sponsor must notify Cal OES of any changes to the approved project and obtain Cal OES approval to these changes prior to their implementation.
24. Funds must be encumbered and liquidated within the time allowed in the applicable budget act and in accordance with grant guidelines.
25. Understands that all of Applicant's contractors and subcontractors shall comply with all applicable federal, state and local laws. Applicant assures that its contractors and subcontractors will be obligated to agree to comply with all applicable federal, state, and local laws.
26. That any project cost for which the Applicant received funds that is determined by subsequent audit to be unallowable under applicable federal, state, or local laws, are subject to repayment by the Applicant to the State of California. Should the Applicant fail to reimburse the moneys due to the State within thirty (30) days of demand, or within another time period mutually agreed to in writing between Cal OES and the Applicant, the State is authorized to withhold future payments due to the Applicant from the State.
27. 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 for themselves or others, particularly those with whom they have familial, business, or other ties.
28. Will comply with all California and federal statutes relating to nondiscrimination, including, but not limited to:

- a. Title VI of the Civil Rights Act of 1964 (P.L. 88-352), as amended, which prohibits discrimination on the basis of race, color or national origin; and
  - b. Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §1681-1683 and 1685-1686), which prohibits discrimination on the basis of sex; and
  - c. Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794) which prohibits discrimination on the basis of disabilities; and
  - d. The Americans with Disabilities Act of 1990 (42 U.S.C. Chapter 126), as amended, which prohibits discrimination on the basis of disabilities; and
  - e. The Unruh Civil Rights Act (California Civil Code §54, *et seq.*) and California Government Code §11135, which prohibit discrimination on the basis of disabilities; and
  - f. The Age Discrimination Act of 1975, as amended (42 U.S.C. §6101-6107) which prohibits discrimination on the basis of age; and
  - g. The Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255) as amended, relating to nondiscrimination on the basis of drug abuse; and
  - h. The Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; and
  - i. Sections 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §290dd-2), as amended, relating to confidentiality of alcohol and drug abuse patient records; and
  - j. Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §3601, *et seq.*), as amended, relating to nondiscrimination in the sale, rental or financing of housing; and
  - k. Any other nondiscrimination provisions in the specific statute(s) under which application for assistance is being made; and
  - l. The requirements of any other nondiscrimination statute(s) that may apply to the application or to the Applicant.
29. Will comply, if applicable, with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
30. Will complete required environmental documentation before requesting an allocation of CTSGP-CTAF funds. The Applicant certifies that projects approved for CTSGP-CTAF funds will comply with all applicable federal and state environmental laws. These may include, but are not limited to:
- a. California Environmental Quality Act. California Public Resources Code Sections 21080-21098. California Code of Regulations, Title 14, Chapter 3 Sections 15000-15007; and
  - b. Institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO)11514; and
  - c. Notification of violating facilities pursuant to EO 11738; and
  - d. Protection of wetlands pursuant to EO 11990; and

- e. Evaluation of flood hazards in floodplains in accordance with EO 11988; and
- f. Assurance of project consistency with the approved state management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §1451 et seq.); and
- g. 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, *et seq.*); and
- h. Protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and
- i. Protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205); and
- j. Wild and Scenic Rivers Act of 1968 (16 U.S.C. §1271, *et. seq.*) related to protecting components or potential components of the national wild and scenic rivers system.
- k. Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and preservation of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §469a-1, *et seq.*).

31. The Applicant and its principals:

- a. Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of federal benefits by a state or federal court, or voluntarily excluded from covered transactions by any federal department or agency; and
- b. Have not, within a three-year period preceding this application, been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; and
- c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and (d) have not within a three-year period preceding this application had one or more public transactions (federal, state, or local) terminated for cause or default; and where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

32. Will comply with the audit requirements set forth in the Office of Management and Budget (OMB) Circular A-133, "Audit of States, Local Governments and Non-Profit Organizations."

33. Agrees that the noncompliance with these assurances, Cal OES CTSGP-CTAF Program

guidelines, and applicable laws, may be taken into consideration by Cal OES when considering future allocation applications from Applicant.

34. Understands that failure to comply with any of the above assurances may result in suspension, reduction, or termination of grant funds.

As the duly authorized representative of the Applicant, I hereby certify that the Applicant will comply with the above certifications.

The undersigned represents that he/she is authorized by the above named Applicant to enter into this agreement for and on behalf of the said Applicant.

Signature of Authorized Agent: \_\_\_\_\_

Printed Name of Authorized Agent: \_\_\_\_\_

Title: \_\_\_\_\_ Date: \_\_\_\_\_

## APPENDIX G - Modification Request Template

---

Grantee Name: \_\_\_\_\_  
Grant \_\_\_\_\_  
Year \_\_\_\_\_ FIPS ID #: \_\_\_\_\_  
(2008-09, 2009-10, 2010-11, 2011-12, 2012-13) (XXX-XXXX)

---

**Return the Transit Security Grant Modification Request to the following address:**

California Governor's Office of Emergency Services  
Transit Security Grants Unit  
Proposition 1B Program Representative  
3650 Schriever Avenue  
Mather, California 95655

---

**Modification Changes:**

- **Reason for Request to Modify -**
  
- **Background -**

---

For questions regarding this modification please contact:

Grantee contact: \_\_\_\_\_  
(Printed Name) (Title)

Phone number: \_\_\_\_\_ E-Mail: \_\_\_\_\_

Request for Approval of Modifications to Grant submitted by:

Authorized Agent: \_\_\_\_\_  
(Printed Name) (Title)

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

## **Modification Request Instructions**

\*\*\*\* Note: No scope change.

### **1 Grantee Information**

- A. Grantee name.
- B. Grant ID number.
- C. Seven digit FIPS number.

### **2 Modification Information**

- A. Reason for request: A detailed explanation of the modification and why the modification is needed.
- B. Background: A detailed description of the project and the current status.

### **3 Grantee contact for questions regarding the modification**

- A. Contact name and title.
- B. Phone number.
- C. Email address.

### **4 Authorized Agent's Information**

- A. Authorized agent's name and title.
- B. Authorized agent's signature and date.

### **5 Modification Submittal**

- A. Send a completed hard copy with signature to: Transit Security Grant Unit, using the address located under the header.

## Appendix H – Performance Report Template

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Grantee	FIPS	Grant Years	Project Name
Date Funds Were Received	Reporting Periods (April or October and year):	Geographic Location	Estimated Completion Date
Performance Reports required by GC Section 8879.50(f)(2). Refer to page 12 of the grant guidelines.			
Brief Project Description:			

- B. Briefly summarize the status of the project:
- a. Description of what has been completed as described in the scope of the original project allocation request:
- 
- C. Briefly describe the status of the project’s benefits/outcomes:
- a. State the progress of the Benefits/Outcomes as they pertain to the scope of this project (include data for measurable outcomes):
- 
- D. State what still needs to be completed before project closeout:

Agency Name and FIPS \_\_\_\_\_

E. List the completion status of the milestones that pertain to this project. Detailed answers are required:

Milestones	Percent Complete
	%
	%
	%
	%
	%
	%

F. Modification:

If a modification has been made to the original Investment Justification, note changes below and leave the changes on each performance report from this point forward.

	Original	Revised
Project Description/ Scope of Work		

Justification:

Agency Name and FIPS \_\_\_\_\_

G. Funding	
8879.58 (2) :	\$
8879.58 (3) :	\$
Total Award :	\$

H. Schedule to date	
Funds To Date :	
Funds Spent To Date :	
Interest To Date :	
I. Interest Rolled From Prior Grant Cycles :	
Year(s) and Amount(s) :	

PERSON PREPARING THIS REPORT (please type or print)	PHONE:	DATE:
APPROVAL AUTHORITY* (signature) Date:	TYPED NAME AND PHONE NUMBER	

**Supporting Document**

**Please attach an interest statement and a detailed equipment inventory page. Failure to submit supporting documents will be considered a failure to report.**

\*Note: The same authority that signed the Allocation Request must sign here.

\*Please notify your Program Representative of any contact information change.

APPROVAL (Office use only)

Cal OES PROGRAM REP APPROVAL:	UNIT SUPERVISOR APPROVAL:
-------------------------------	---------------------------

## Appendix I – Performance Report Instructions

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- A. Please fill in the general information boxes.
- a. Grantee- Name of Agency
  - b. FIPS- Cal OES number assigned to each agency and stays the same year after year.
  - c. Grant Year – 2007-08, 2008-09, 2009-10, etc.
  - d. Project Name (s)- Name of each project listed on the Investment Justification (IJ).
  - e. Date of award letter- the date listed on the final award letter (no funds can be expended prior to this date)
  - f. Reporting Period- October or April then the year
  - g. Geographic Location- City or County where the project is occurring
  - h. Estimated Completion Date- When do you foresee finishing this project?
  - i. Brief Project Description: Short description of the project (please do not use acronyms)
- B. Briefly summarize the status of the project:
- a. Description of what has been completed as stated in the scope of the original project allocation request.
  - b. List any equipment received.
- C. Briefly describe the status of the project’s benefits/outcomes:
- a. State the progress of the benefits/outcomes as they pertain to the scope of this project (include data for measurable outcomes).
- D. State what still needs to be completed before project closeout.
- E. List the completion status of the milestones that pertain to this project:
- a. Detailed answers are required (in progress is unacceptable).
- F. Modification:
- a. If a modification has been made to the original IJ, note changes below and leave the changes on each Performance Report from this point forward.
- G. Funding:
- a. Fill in dollar amount for each bond sale and the dollar amount of the total allocation.
- H. Schedule to date:
- a. Enter dollar amount of what has been received to date, spent to date, and all interest that has been accrued to date.
- I. Interest rolled from prior years
- a. List each grant cycle and amount that interest is rolled forward from.

Enter the name of the person that prepared the report. This report needs to be sent in with the original signature of the Authorized Agent. Attach a current bank statement and project ledger.

**Contact your Cal OES program representative with any changes to contact information.**

Mail completed form to:

California Governor's Office of Emergency Services  
Transit Security Grants Unit  
Proposition 1B Program Representative  
Performance/Closeout Report  
3650 Schriever Avenue  
Mather, California 95655

## Appendix J – Closeout Report Template

<b>Prop 1B Closeout Report (Mass Transit, Heavy Rail, Waterborne)</b>			
<i>Per G.C. 8879.50 (f)(2) "Within six months of the project becoming operable the recipient agency shall provide a report to the administrative agency . . ." Please provide the following information:</i>			
Date	:		
Cal OES ID #	:		
Agency	:		
Grant Cycle	:		
Project Name (s)	:		
		<b>Original Application</b>	<b>Final Project</b>
<b>B. Project Scope</b>			
-		<b>Original Approved Project Cost</b>	<b>Final Project Cost</b>
Mass Transit 8879.58 (2)	:		
Mass Transit 8879.58 (3)	:		
Earned Interest	:		
WETA	:		
Heavy Rail	:		
<b>Total Project Cost</b>	:	<b>\$0</b>	<b>\$0</b>
		<b>Anticipated Performance Outcome</b>	<b>Actual Performance Outcome</b>
<b>C. Performance Outcomes Description</b>	:		
<b>D. Interest</b>			
How was the interest spent?			
Address unspent interest	:		
<b>Authorized Agent Signature:</b>			
Name and Title			Date
<b>Note: Please attach an Interest statement and a detailed equipment ledger.</b>			
<b>Program Representative Signature:</b>			
Unit Supervisor Signature			Date

## APPENDIX K - Closeout Report Instructions

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### A. Prop 1B Closeout Report (Mass Transit, Heavy Rail, Waterborne):

- a. Fiscal Year - Fill in the year that is being closed out
- b. Cal OES ID # - Enter your Cal OES ID (also known as FIPS # or OES ID #)
- c. Agency - Transit Name
- d. Grant Number - Grant Number
- e. Project Name(s) - Project Name(s)

### B. Project Scope:

- a. Original Application – Fill in the project(s) scope that was originally listed on the Investment Justification
- b. Final Project - Fill in the final scope of the project(s).
- c. Original Approved Project Cost
  - i. Mass Transit 8879.58 (2) - COG funds that were allocated to this project
  - ii. Mass Transit 8879.58 (3) - Agency funds allocated by SCO
  - iii. Earned Interest - Total interest earned
  - iv. WETA – Total award
  - v. Heavy Rail – Total award
  - vi. Total Project Cost – Total allocation + Interest = \$
- d. Interest – How and what was interest spent on. Address any unspent interest.

### C. Performance Outcomes Description:

- a. Anticipated Performance Outcome - List the Investment Justifications original performance outcome description.
- b. Actual Performance Outcome – List the current performance outcome description.

STATE CONTROLLER'S OFFICE  
TRANSIT SYSTEM SAFETY, SECURITY, AND DISASTER RESPONSE ACCOUNT  
GOVERNMENT CODE 8879.58 ELIGIBLE ALLOCATION - FISCAL YEAR 2013-2014

Regional Entity	GC 8879.58(a)(2) Eligible Allocation	GC 8879.58(a)(3) Eligible Allocation	2012-2013 Eligible Allocations
TRPA	\$ 70,949	\$ 4,482	\$ 75,431
MTC	5,766,503	15,548,491	21,314,994
SACOG	1,398,859	759,904	2,158,763
Alpine	1,015	0	1,015
Amador	30,719	2,417	33,136
Butte	175,286	6,692	181,978
Calaveras	36,697	0	36,697
Colusa	17,204	1,421	18,625
Del Norte	23,546	0	23,546
El Dorado	114,306	10,548	124,854
Fresno	723,461	98,478	821,939
Glenn	23,081	0	23,081
Humboldt	107,091	17,204	124,295
Imperial	133,338	0	133,338
Inyo	15,039	0	15,039
Kern	622,611	53,582	676,193
Kings	118,723	23,951	142,674
Lake	51,786	2,888	54,674
Lassen	28,712	1,444	30,156
Los Angeles	8,297,329	10,014,368	18,311,697
Madera	115,664	0	115,664
Mariposa	14,687	166	14,853
Mendocino	73,195	7,292	80,487
Merced	197,606	8,683	206,289
Modoc	7,940	0	7,940
Mono	11,020	3,168	14,188
Monterey	344,494	58,121	402,615
Nevada	80,612	4,499	85,111
Orange	2,485,155	1,035,419	3,520,574
Placer	208,905	20,838	229,743
Plumas	17,332	0	17,332
Riverside	1,553,822	231,221	1,785,043
San Benito	46,712	0	46,712
San Bernardino	1,597,771	309,993	1,907,764
SANDAG	616,832	243,662	860,494
San Diego MTS	1,864,394	915,051	2,779,445
San Joaquin	535,882	131,085	666,967
San Luis Obispo	212,691	34,801	247,492
Santa Barbara	341,078	92,060	433,138
Santa Cruz	212,337	228,168	440,505
Shasta	146,125	7,436	153,561
Sierra	2,850	0	2,850
Siskiyou	37,262	1,672	38,934
Stanislaus	413,426	29,415	442,841
Tehama	49,385	0	49,385
Trinity	11,275	232	11,507
Tulare	337,049	15,356	352,405
Tuolumne	47,171	0	47,171
Ventura	661,073	75,792	736,865
State Totals	<u>\$ 30,000,000</u>	<u>\$ 30,000,000</u>	<u>\$ 60,000,000</u>

\*\* All amounts will be reduced for administrative costs and loan interest until the loan is repaid.

STATE CONTROLLER'S OFFICE  
TRANSIT SYSTEM SAFETY, SECURITY, AND DISASTER RESPONSE ACCOUNT  
GOVERNMENT CODE 8879.58(a)(3) ELIGIBLE ALLOCATION DETAIL - FISCAL YEAR 2013-2014

Regional Entity and Operator(s)	GC 8879.58(a)(3) Eligible Allocation
TRPA	
Tahoe Transportation District	4,482
MTC	
Alameda-Contra Costa Transit District	*
Alameda County Congestion Management Agency - Corresponding to Altamont Commuter Express	28,322
Central Contra Costa Transit Authority	85,288
City of Dixon	692
Eastern Contra Costa Transit Authority	34,606
City of Fairfield	12,078
Golden Gate Bridge Highway and Transportation District	585,385
City of Healdsburg	187
Livermore-Amador Valley Transit Authority	26,768
Napa County Transportation and Planning Agency	7,151
Peninsula Corridor Joint Powers Board	685,145
City of San Francisco	*
San Francisco Bay Area Rapid Transit District	*
San Mateo County Transit District	807,082
Santa Clara Valley Transportation Authority	2,399,894
Santa Clara Valley Transportation Authority - Corresponding to Altamont Commuter Express	39,523
City of Santa Rosa	18,319
SolTrans	101,046
County of Sonoma	23,208
City of Union City	6,854
Western Contra Costa Transit Authority	41,414
Regional Entity Totals	15,548,491
	(Continued)

\* The combined allocation for Alameda-Contra Costa Transit District, San Francisco Bay Area Rapid Transit District, and the City of San Francisco is \$10,645,529.

STATE CONTROLLER'S OFFICE  
TRANSIT SYSTEM SAFETY, SECURITY, AND DISASTER RESPONSE ACCOUNT  
GOVERNMENT CODE 8879.58(a)(3) ELIGIBLE ALLOCATION DETAIL - FISCAL YEAR 2013-2014

Regional Entity and Operator(s)	GC 8879.58(a)(3) Eligible Allocation
SACOG	
City of Davis	20,292
City of Elk Grove	6,522
City of Folsom	2,188
Sacramento Regional Transit System	706,507
Yolo County Transportation District	16,426
Yuba Sutter Transit Authority	7,969
Regional Entity Totals	759,904
Alpine	
	None
Amador	
Amador Regional Transit System	2,417
Butte	
Butte County Association of Governments	6,692
Calaveras	
	None
Colusa	
County of Colusa	1,421
Del Norte	
	None
El Dorado	
El Dorado County Transit Authority	10,548
Fresno	
City of Clovis	914
City of Fresno	93,248
Fresno County Rural Transit Agency	4,316
Regional Entity Totals	98,478

(Continued)

STATE CONTROLLER'S OFFICE  
TRANSIT SYSTEM SAFETY, SECURITY, AND DISASTER RESPONSE ACCOUNT  
GOVERNMENT CODE 8879.58(a)(3) ELIGIBLE ALLOCATION DETAIL - FISCAL YEAR 2013-2014

Regional Entity and Operator(s)	GC 8879.58(a)(3) Eligible Allocation
Glenn	None
Humboldt	
City of Arcata	1,684
City of Eureka	4,063
City of Fortuna	97
Humboldt Transit Authority	11,360
Regional Entity Totals	17,204
Imperial	None
Inyo	None
Kern	
City of Arvin	607
City of California City	203
City of Delano	518
Golden Empire Transit District	41,506
County of Kern	6,113
City of McFarland	114
City of Ridgecrest	1,019
City of Shafter	539
City of Taft	2,629
City of Tehachapi	61
City of Wasco	273
Regional Entity Totals	53,582
Kings	
City of Corcoran	587
Kings County Area Public Transit Agency	23,364
Regional Entity Totals	23,951
Lake	
Lake Transit Authority	2,888
Lassen	
County of Lassen	1,444

(Continued)

STATE CONTROLLER'S OFFICE  
TRANSIT SYSTEM SAFETY, SECURITY, AND DISASTER RESPONSE ACCOUNT  
GOVERNMENT CODE 8879.58(a)(3) ELIGIBLE ALLOCATION DETAIL - FISCAL YEAR 2013-2014

Regional Entity and Operator(s)	GC 8879.58(a)(3) Eligible Allocation
Los Angeles	
Antelope Valley Transit Authority	95,786
City of Arcadia	10,058
City of Claremont	3,073
City of Commerce	21,343
City of Culver City	66,090
Foothill Transit Zone	327,193
City of Gardena	76,732
City of La Mirada	8,102
Long Beach Public Transportation Company	371,112
Los Angeles County Metropolitan Transportation Authority	7,805,714
City of Montebello	151,698
City of Norwalk	71,626
City of Redondo Beach	9,133
City of Santa Monica	267,091
Southern California Regional Rail Authority	
Los Angeles County Metropolitan Transportation Authority	614,147
Orange County Transportation Authority	**
Riverside County Transportation Commission	**
San Bernardino Associated Governments	**
Ventura County Transportation Commission	**
City of Torrance	115,470
Regional Entity Totals	10,014,368
Madera	None
Mariposa	
County of Mariposa	166
Mendocino	
Mendocino Transit Authority	7,292
Merced	
Transit Joint Powers Authority of Merced County	5,383
Transit Joint Powers Authority of Merced County - Specialized Service	3,300
Regional Entity Totals	8,683
	(Continued)

\*\* The amounts allocated to the member agencies of Southern California Regional Rail Authority are paid by their corresponding regional transportation authority.

STATE CONTROLLER'S OFFICE  
TRANSIT SYSTEM SAFETY, SECURITY, AND DISASTER RESPONSE ACCOUNT  
GOVERNMENT CODE 8879.58(a)(3) ELIGIBLE ALLOCATION DETAIL - FISCAL YEAR 2013-2014

Regional Entity and Operator(s)	GC 8879.58(a)(3) Eligible Allocation
Modoc	None
Mono	
Eastern Sierra Transit Authority	3,168
Monterey	
Monterey-Salinas Transit	58,044
City of Soledad	77
Regional Entity Totals	<u>58,121</u>
Nevada	
County of Nevada	4,499
Orange	
City of Laguna Beach	5,279
Orange County Transportation Authority	807,113
Orange County Transportation Authority - Corresponding to Southern California Regional Rail Authority	<u>223,027</u>
Regional Entity Totals	1,035,419
Placer	
City of Auburn	694
City of Lincoln	233
County of Placer	14,240
City of Roseville	<u>5,671</u>
Regional Entity Totals	20,838
Plumas	None
Riverside	
City of Banning	1,182
City of Beaumont	717
City of Corona	2,577
Palo Verde Valley Transit Agency	938
City of Riverside	2,327
Riverside County Transportation Commission - Corresponding to Southern California Regional Rail Authority	84,020
Riverside Transit Agency	67,652
Sunline Transit Agency	<u>71,808</u>
Regional Entity Totals	231,221
San Benito	None

(Continued)

STATE CONTROLLER'S OFFICE  
TRANSIT SYSTEM SAFETY, SECURITY, AND DISASTER RESPONSE ACCOUNT  
GOVERNMENT CODE 8879.58(a)(3) ELIGIBLE ALLOCATION DETAIL - FISCAL YEAR 2013-2014

Regional Entity and Operator(s)	GC 8879.58(a)(3) Eligible Allocation
San Bernardino	
Morongo Basin Transit Authority	4,888
Mountain Area Regional Transit Authority	3,287
Omnitrans	128,566
San Bernardino Associated Governments - Corresponding to Southern California Regional Rail Authority	154,560
Victor Valley Transit Authority	18,692
Regional Entity Totals	309,993
SANDAG	
North San Diego County Transit Development Board	243,662
San Diego MTS	915,051
San Joaquin	
Altamont Commuter Express Authority	
Alameda County Congestion Management Agency	***
Santa Clara Valley Transportation Authority	***
San Joaquin Regional Rail Commission	18,463
City of Lodi	3,731
City of Ripon	9
San Joaquin Regional Transit District	108,882
Regional Entity Totals	131,085
San Luis Obispo	
City of Atascadero	560
City of Morro Bay	425
City of Paso Robles Transit	1,277
City of San Luis Obispo	4,561
County of San Luis Obispo	643
San Luis Obispo Regional Transit Authority	23,846
South County Area Transit	3,489
Regional Entity Totals	34,801
	(Continued)

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STATE CONTROLLER'S OFFICE  
TRANSIT SYSTEM SAFETY, SECURITY, AND DISASTER RESPONSE ACCOUNT  
GOVERNMENT CODE 8879.58(a)(3) ELIGIBLE ALLOCATION DETAIL - FISCAL YEAR 2013-2014

Regional Entity and Operator(s)	GC 8879.58(a)(3) Eligible Allocation
Santa Barbara	
City of Lompoc	1,414
County of Santa Barbara	529
Santa Barbara Metropolitan Transit District	82,839
City of Santa Maria	6,835
City of Solvang	443
Regional Entity Totals	92,060
Santa Cruz	
Santa Cruz Metropolitan Transit District	228,168
Shasta	
Redding Area Bus Authority	7,436
Sierra	None
Siskiyou	
County of Siskiyou	1,672
Stanislaus	
City of Modesto	25,606
County of Stanislaus	2,511
City of Turlock	1,298
Regional Entity Totals	29,415
Tehama	None
Trinity	
County of Trinity	232
Tulare	
City of Exeter	106
City of Porterville	2,985
City of Tulare	2,024
County of Tulare	1,198
City of Visalia	9,043
Regional Entity Totals	15,356
Tuolumne	None
Ventura	
Gold Coast Transit	26,893
Ventura County Transportation Commission - Corresponding to Southern California Regional Rail Authority	48,899
Regional Entity Totals	75,792
STATE TOTALS	\$ 30,000,000