

**LASSEN COUNTY**  
**TRANSPORTATION COMMISSION**



**FISCAL YEAR 2023/2024**  
**OVERALL WORK PROGRAM**

For the  
Continuous Regional Transportation  
Planning Process

Approved by the LCTC  
May 8, 2023

John Clerici  
Executive Secretary

## **Lassen County Transportation Commission**

Arron Albaugh, Lassen County Board of Supervisors  
Chris Gallagher, Lassen County Board of Supervisors  
Tom Neely, Lassen County Board of Supervisors  
Kevin Stafford, City of Susanville City Council  
Quincy McCourt, City of Susanville City Council  
Russ Brown, City of Susanville City Council

### Staff

John Clerici  
Steve Borroum  
Genevieve Evans  
Gordon Shaw  
Cheri Martin

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## **OVERALL WORK PROGRAM 2023/2024 FISCAL YEAR**

### **INTRODUCTION**

Lassen County lies in northeastern California situated at the north end of the Sierra Nevada Range. It is bounded by the State of Nevada to the east and by the Counties of Modoc, Shasta, Sierra and Plumas to the north, west and south, respectively. It is the eighth largest of California's 58 counties with its lower valleys generally above 4,000 feet and mountains rise to heights of 8,200 feet. The population of Lassen County in the 2020 was 32,730 down from 34,895 in the 2010 census.

Lassen County is 4,690 square miles in total area. The Federal government owns more than half of Lassen County's landmass, including Lassen National Forest to the west, the Sierra Army Depot to the east, and large range and timber tracts that are administered by the Bureau of Land Management. A lesser portion of the county's land resources is State-owned. A small section of Lassen National Volcanic Park lies in the western region of the County.

The City of Susanville is the County Seat and the only incorporated city in Lassen County. Unincorporated community centers include Westwood, Clear Creek, Bieber, Johnstonville, Janesville, Standish, Litchfield, Herlong, Doyle, Milford, Leavitt Lake, Little Valley, Ravendale, Termo and Madeline.

Major highways within the County are U.S. 395 and State Routes (SR) 36, 44, and 139. In addition, State Routes 70, 147, and 299 extend across parts of the County.

### **ORGANIZATION**

The purpose of the FY 2023/2024 Overall Work Program for the Regional Transportation Planning Agency (RTPA), the Lassen County Transportation Commission (LCTC), is to advance short- and long-range transportation plans and projects, and to prioritize transportation planning projects when using State and Federal transportation funds. This Overall Work Program responds to Federal, State and local mandates, establishes regional goals, objectives, assesses regional transportation needs, and defines work with other agencies, organizations, and individuals on transportation planning issues.

LCTC was formed in 1971 to allocate funds created by Senate Bill 325 (1972). It is made up of three members of the Susanville City Council and three members of the Lassen County Board of Supervisors. Assembly Bill 69 gave the LCTC responsibility for adopting the Regional Transportation Plan (RTP) and AB 402 of 1977 defined elements required in the RTP. AB 620 gave the LCTC responsibility for disbursing State Transit Assistance (STA) Funds. SB 45, effective January 1, 1998, gave the LCTC the responsibility to prioritize projects eligible for State Transportation Improvement Program (STIP) funds. Over the years, the role and responsibilities of the LCTC have grown.

The LCTC coordinates its activities with the County of Lassen, City of Susanville, Susanville Indian Rancheria, and Caltrans, as well as with other State and Federal government entities. As needed, the LCTC coordinates specific projects with Lassen Community College, the Historic Uptown Susanville

Association, Sierra Army Depot, and other organizations that are important stakeholders in the region. In addition, citizens are encouraged to provide input to identify and solve transportation problems of community concern. Regular public meetings and/or hearings are conducted on an on-going basis.

The LCTC has a Social Service Transportation Advisory Council (SSTAC), which advises the LCTC on the annual unmet needs process. The appointments to the SSTAC occur as required by the Transportation Development Act.

Historically, the same members of the LCTC also comprise the Lassen Transit Service Agency (LTSA). The LTSA is responsible for overseeing the operation of the Lassen Rural Bus (LRB) public transit system.

The following organization chart outlines the members of the LCTC, LTSA, support staff and advisory committee (page 5).

### **Core Planning Functions**

Federal planning agencies are reminded that their Overall Work Programs (OWP) must identify the Core Planning Functions and what work will be done during the program year to advance those functions.

The Core Functions typically include:

- Overall Work Program
- Public Participation and Education
- Regional Transportation Plan
- Federal Transportation Improvement Program
- Congestion Management Process (required for TMAs)
- Annual Listing of Projects

The Moving Ahead for Progress in the 21st Century (MAP-21) legislation provided metropolitan transportation planning program funding for the integration of transportation planning processes in the MPA (i.e. rail, airports, seaports, intermodal facilities, public highways and transit, bicycle and pedestrian, etc.) into a unified metropolitan transportation planning process, culminating in the preparation of a multimodal transportation plan for the MPA. The FHWA and FTA request that all Metropolitan Planning Organizations (MPOs) review the Overall Work Plan (OWP) development process to ensure all activities and products mandated by the metropolitan transportation planning regulations in 23 CFR 450 are a priority for FHWA and FTA combined planning grant funding available to the region. The MPO OWP work elements and subsequent work tasks must be developed in sufficient detail (i.e. activity description, products, schedule, cost, etc.) to clearly explain the purpose and results of the work to be accomplished, including how they support the Federal transportation planning process (see 23 CFR 420.111 for documentation requirements for FHWA Planning funds).

The Fixing America's Surface Transportation Act (FAST Act) identified the following planning principals that were also considered in developing this OWP.

- 1) Support the economic vitality of the metropolitan area, especially by enabling global

- competitiveness, productivity, and efficiency;
- 2) Increase the safety of the transportation system for motorized and non-motorized users;
  - 3) Increase the security of the transportation system for motorized and non-motorized users;
  - 4) Increase accessibility and mobility of people and freight;
  - 5) Protect and enhance the environment, promote energy conservation, improve the quality of life, and promote consistency between transportation improvements and State and local planned growth and economic development patterns;
  - 6) Enhance the integration and connectivity of the transportation system, across and between modes, for people and freight;
  - 7) Promote efficient system management and operation;
  - 8) Emphasize the preservation of the existing transportation system;
  - 9) Improve the resiliency and reliability of the transportation system and reduce or mitigate storm water impacts on surface transportation; and
  - 10) Enhance travel and tourism.

<b>Map-21/FAST Act Planning Factors</b>								
	<b>Work Elements</b>							
	100	601*	602	603	604			705
Support the economic vitality of the metropolitan area, especially by enabling global competitiveness, productivity, and efficiency		X	X	X				X
Increase the safety of the transportation system for motorized and non-motorized users		X	X					X
Increase the security of the transportation system for motorized and non-motorized users		X	X					
Increase accessibility and mobility of people and freight		X						X
Protect and enhance the environment, promote energy conservation, improve the quality of life, and promote consistency between transportation improvements and State and local planned growth and economic development patterns		X		X				X
Enhance the integration and connectivity of the transportation system, across and between modes, for people and freight		X		X				
Promote efficient system management and operation	X	X			X			X
Emphasize the preservation of the existing transportation system		X	X					
Improve the resiliency and reliability of the transportation system and reduce or mitigate storm water impacts on surface transportation			X					X
Enhance travel and tourism		X	X	X				X

***Again, LCTC recognizes that although not mandated for non-Federal transportation planning agencies, and to an extent exceed our resources, these core functions are best practices we will strive to achieve.***

\*Work Element 601 is split into three sub-work elements. Each of these work elements promotes similar Fast Act Planning Factors

## **Performance Management**

Since MAP-21 was passed in 2012, Caltrans and most of California's RTPA's have developed performance measures that inform their Regional Transportation Plans (RTPs) and Federal Transportation Improvement Programs (FTIPs). The objective of the performance- and outcome-based program is for States, MPO's and RTPA's to invest resources in projects that collectively will make progress toward the achievement of the national goals. MAP-21 requires the DOT, in consultation with States, RTPA's, and other stakeholders, to establish performance measures in the areas listed below.

- Safety - To achieve a significant reduction in traffic fatalities and serious injuries on all public roads.
- Infrastructure Condition - To maintain the highway infrastructure asset system in a state of good repair.
- Congestion Reduction - To achieve a significant reduction in congestion on the National Highway System.
- System Reliability - To improve the efficiency of the surface transportation system.
- Freight Movement and Economic Vitality - To improve the national freight network, strengthen the ability of rural communities to access national and international trade markets, and support regional economic development.
- Environmental Sustainability - To enhance the performance of the transportation system while protecting and enhancing the natural environment.
- Reduced Project Delivery Delays - To reduce project costs, promote jobs and the economy, and expedite the movement of people and goods by accelerating project completion through eliminating delays in the project development and delivery process, including reducing regulatory burdens and improving agencies' work practices.

## **State of Good Repair**

RTPA's are required to evaluate their transportation system to assess the capital investment needed to maintain a State of Good Repair for the region's transportation facilities and equipment. RTPA's shall coordinate with the transit providers in their region to incorporate the Transit Asset Management Plans (TAM's) prepared by the transit providers into the Region Transportation Plan (RTP). Analysis of State of Good Repair needs and investments shall be part of any RTP update and must be included in the Overall Work Program task for developing the Regional Transportation Plan. RTPA's are expected to regularly coordinate with transit operators to evaluate current information on the state of transit assets; to understand the transit operators transit asset management plans; and to ensure that the transit operators are continually providing transit asset information to support the RTPA planning process.

## **OVERALL WORK PROGRAM (OWP)**

The Overall Work Program (OWP) is the primary management tool for the LCTC identifying the activities and a schedule of work for regional transportation planning in Lassen County.

In general, the OWP consists of three types of activities: State-mandated regional transportation planning programs undertaken concurrently throughout the State by the designated Regional Transportation Planning Agencies, discretionary transportation planning programs that are specific to the Lassen County region and are oriented to solving problems unique to this planning region, and

administration to support mandated and discretionary transportation planning programs.

LCTC is responsible for on-going administration and regional transportation planning for Lassen County. Transportation goals and objectives are considered during the planning and programming processes. Each federal reauthorization specifies planning factors to guide continuing, cooperative and comprehensive transportation planning as on-going activities rather than a single completed action. Typically, federal agencies encourage planning organizations to focus work activities on broad planning objectives as relevant to their respective regions and local communities. State and local interests align with those objectives by providing common ground for shared approaches. It is noted that LCTC receives State Regional Planning Assistance funds (no federal funds) and uses the federal planning factors to develop planning goals consistent with our rural needs.

The LCTC will amend the 2023/2024 work elements as necessary. The primary work efforts are targeted toward transportation systems management and transit system improvements. Major concerns of the LCTC are reflected in the elements and levels of funding in the OWP. The elements identify the overall degree of effort that will be expended to accomplish specific activities with the funds available.

LCTC participates in area task force meetings and is a member of the North State Super Region, the Rural Counties Task Force, and the Regional Transportation Planning Agency working group. The chief regional transportation concerns are to preserve, rehabilitate and improve safety on existing transportation facilities, and to coordinate project sequences and transportation services to maximize efficiency and effectiveness of all available funding.

The LCTC 2023/2024 OWP takes into consideration the Goals and Recommendations of the California Transportation Plan 2050, which are as follows.

1. Provide a safe and secure transportation system
2. Achieve statewide GHG emissions reduction targets and increase resilience to climate change
3. Eliminate transportation burdens for low-income communities, communities of color, people with disabilities, and other disadvantaged groups
4. Improve multimodal mobility and access to destinations for all users
5. Enable vibrant, healthy communities
6. Support a vibrant, resilient economy
7. Enhance environmental health and reduce negative transportation impacts
8. Maintain a high-quality, resilient transportation system



# FY 2023/24 LCTC ORGANIZATIONAL CHART

## Social Services Transportation Advisory Council

Potential Users 60 Years of Age or Older

Potential Users Who are Disabled

Social Service Provider for Seniors  
**Caleb Schortz**, GM Lassen Rural Bus

**Charlotte Roberts**, Patient Advocate

Social Service Provider for Disabled  
**Michael Harding**, Transportation Planner, FNRC

Local Social Service Provider for Seniors  
**Deborah Van Brunt**  
 , Lassen Senior Services

Social Service Provider for Persons of Limited Means  
**Barbara Longo**, Social Services

**Duane Sherman**, Susanville Indian Rancheria

**David Knaut**, Lassen Transit Services Agency

## Lassen County Transportation Commission (LCTC)

**Aaron Albaugh** (County Supervisor), **Tom Neely** (County Supervisor),  
**Chris Gallagher** (County Supervisor), **Russel Brown** (City Council),  
**Quincy McCourt** (City Council), **Kevin Stafford** (City Council)

## Legal Counsel

Sloan Sakai Yeung & Wong LLP  
**DeeAnne Gillick**

## LCTC Staff

**John Clerici**  
**Steve Borroum**  
**Genevieve Evans**  
**Cheri Martin**  
**Gordon Shaw**

## Technical Advisory Committee

<u>Caltrans</u> <b>Michael Battles</b> <b>Kathy Grah</b> <b>Scott Lewis</b> <b>Kelly Zolotoff</b>	<u>City of Susanville</u> <b>Dan Newton</b> <b>Bob Godman</b>	<u>Susanville Indian Rancheria</u> <b>Russ Burriel</b> <b>Chandra Jabbs</b> <b>Duane Sherman</b>
<u>Lassen Transit Service Agency</u> <b>David Knaut</b>	<u>County of Lassen</u> <b>Richard Egan</b> <b>Peter Heimbigner</b> <b>Lori Pierce</b> <b>Tony Shaw</b>	

**Lassen County Transportation Commission**

**Fiscal Year 2023/24 Working Budget - 1st Version**

Work Element Name	WORK ELEMENT NUMBER									
	Total	100	601			602	603	604	705	Total
		Administration and Coordination	Regional Transportation Planning			Regional Transportation Programming	Community Engagement and Outreach	Transportation Development Act	ZEV Feasibility Study	
			A. General Planning	B. Active Transportation Planning	C. Transit Planning					
<b>Expenditures</b>										
Professional Services - Consultant Executive Secretary and Staff	\$ 343,500	\$ 15,000	\$ 151,000	\$ 8,000	\$ 19,000	\$ 50,500	\$ 36,000	\$ 40,000	\$ 24,000	\$ 343,500
Professional Services - Legal Counsel	\$ 15,000	\$ 15,000								\$ 15,000
Professional Services - Independent Audit	\$ 65,000							\$ 65,000		\$ 65,000
Plumas County EV Feasibility	\$ 8,000								\$ 8,000	\$ 8,000
Professional Services - Consultants	\$ 107,000								\$ 107,000	\$ 107,000
County PERS	\$ -									\$ -
Memberships	\$ 4,000						\$ 4,000			\$ 4,000
Insurance	\$ 3,400	\$ 3,400								\$ 3,400
Training / Conferences	\$ 2,000	\$ 500				\$ 1,500				\$ 2,000
Travel	\$ -									\$ -
<b>Total Expenditures</b>	<b>\$ 547,900</b>	<b>\$ 33,900</b>	<b>\$ 151,000</b>	<b>\$ 8,000</b>	<b>\$ 19,000</b>	<b>\$ 52,000</b>	<b>\$ 40,000</b>	<b>\$ 105,000</b>	<b>\$ 139,000</b>	<b>\$ 547,900</b>
<b>Revenues</b>										
Rural Planning Assistance (FY 23/24 RPA)	\$ 230,000		\$ 151,000	\$ 8,000	\$ 19,000	\$ 52,000				\$ 230,000
Rural Planning Assistance (carryover from FY 22/23 RPA)	\$ -									\$ -
Local Transportation Fund (LTF)	\$ 148,466	\$ 33,900						\$ 105,000	\$ 9,566	\$ 148,466
PPM Funds	\$ 40,000						\$ 40,000			\$ 40,000
SHA Grant	\$ 123,057								\$ 123,057	\$ 123,057
Plumas County EV Match	\$ 6,377								\$ 6,377	\$ 6,377
<b>Total Revenues</b>	<b>\$ 547,900</b>	<b>\$ 33,900</b>	<b>\$ 151,000</b>	<b>\$ 8,000</b>	<b>\$ 19,000</b>	<b>\$ 52,000</b>	<b>\$ 40,000</b>	<b>\$ 105,000</b>	<b>\$ 139,000</b>	<b>\$ 547,900</b>

## **WORK ELEMENTS**

Fiscal Year 2023/24 Work Elements are shown on the following pages.

## **Work Element 100 *Administration and Implementation of the Overall Work Program***

The purpose of this work element is to prepare and provide oversight to an annual work program and corresponding budget in accordance with state and federal requirements. The Overall Work Program describes the transportation planning activities that the LCTC will perform during the ensuing fiscal year as integral elements of regional transportation planning and programs. The budget is an estimate of the expenditures necessary to support the work program and the funding sources assigned to each element. The work program is a requirement of state and federal statutes and regulations in order for the work elements to be eligible for state and federal transportation planning funds. The document is assembled in coordination with Caltrans.

### *Purposes*

1. To provide for efficient and effective administration and implementation of programs, projects and funds.
2. To provide clerical and administrative support to the LCTC and its advisory groups.
3. To manage day-to-day operations and ensure compliance with applicable laws, rules and regulations.
4. To encourage involvement and feedback during the continuous regional planning process, and to ensure compliance with State and Federal requirements.
5. To coordinate regional transportation planning through consultation and collaboration with the City of Susanville, the Susanville Indian Rancheria, and other agencies.

### *Tasks*

1. Prepare OWP, amendments, invoices, and reports for 2023/2024.
2. Prepare LCTC agendas, legal notices (including publication costs) and staff reports.
3. Draft correspondence, resolutions and reports to communicate LCTC policies and positions.
4. Attend transportation planning workshops, meetings, conferences, and trainings focused on the development or implementation of the OWP and its work elements.
5. Prepare annual budget and monitor approved budget; prepare financial and management reports for the LCTC.
6. Select Commission staff and administrative support for continued LCTC operations.

Products (Target due date are in parentheses)

1. Agendas, minutes, and notices to Transportation Commission. (Regularly/As required)
2. 23/24 OWP Quarterly invoices, reports and related documents. (10-23, 1-24, 4-24, 7-24)
3. Amendments to the FY 2023/24 OWP (Mid-year review, as needed)
4. Draft Overall Work Program, FY 24/25. (March 1, 2024)
5. Final Overall Work Program, FY 24/25. (June 31, 2024)
6. Independent audits (December 31, 2023)
7. Fiscal Audits for RTPA and Transit Operator to State Controller (December 31, 2023)
8. Execute staffing services agreements for Commission staff and administrative support (if renewed for only one year in 2023).

Revenues		Expenditure	
Local Transportation Fund	\$113,683.00	LCTC Staff	\$15,000.00
Rural Planning Assistance*		Legal Counsel	\$15,000.00
		Insurance	\$3,400.00
		Training/Conferences/Travel	\$500.00
<b>Total:</b>	<b>\$33,900.00</b>	<b>Total:</b>	<b>\$33,900.00</b>

\*Caltrans would also like to note that LCTC is welcome to use RPA funds to supplement WE 100 since the development of the OWP is a core planning function for which RPA funds should be used. LCTC will contemplate doing this in future OWP's.

## **Work Element 601 Regional Transportation Planning - Overview**

### Purpose

To implement the Regional Transportation Plan (RTP) adopted in 2023 directed at achieving a coordinated and balanced regional transportation system, including but not limited to, non-motorized transportation, public transportation, highway, goods movement and services, incorporating, as appropriate, the transportation plans of the county, special districts, private organization, Native American tribal governments, state and federal agencies. The RTP is the core document that outlines the County's transportation planning goals and the projects that will meet these goals.

### Discussion

The RTP represents a 20-year planning horizon and is prepared in compliance with state and federal regulations governing regional transportation planning. Regional trends such as population growth, demographics, housing characteristics, and all modes of transportation are discussed and considered as part of the RTP. It must be updated every 5 (five) years and contains a discussion of regional transportation issues, problems, and possible solutions accompanied by respective goals, objectives, and policies.

Development and update of the RTP is a process that builds on the previous document and takes into consideration recent efforts and completed projects. Important to the LCTC RTP is the public vetting process. Through a combination of community meetings, direct outreach and on-line surveys, LCTC will review transportation issues, the current project list and discuss new projects currently proposed with the public and stakeholders such as Tribal entities, natural resource agencies and adjacent RTPAs. The draft list of priority projects from the outreach process will be introduced to the LCTC in an open public workshop to discuss and make recommendations for the draft RTP.

The maintenance of the RTP requires periodic assessment of the status of proposed transportation projects in the region, as well as continuous monitoring of statewide, and sometime federal, transportation initiatives. In addition, supporting documents, such as the Transit Development Plan, and the Active Transportation Plan, should be revised and incorporated into the RTP to provide for conformity in regional transportation planning.

### Previous Work

The LCTC supports the maintenance of data, such as Pavement Management Systems, traffic counts, transit data, and other programs to assist in the development of performance measures and the next RTP.

Because the scope of the RTP encompasses a number of transportation topics, disciplines, and activities, the FY 2022/23 WE 601 was divided into four subsections:

- 601A General Planning – RTP Planning
- 601B Regional Transportation Planning – Data Gathering
- 601C Active Transportation Planning
- 601D Transit Planning

During FY 22/23 completed several updates to critical regional documents. These include:

- Transit Development Plan and Coordinated Public Transit Human Services Transportation Plan (WE 601D)
- Lassen County Active Transportation Plan (WE 601C)
- Local Road Safety Program (WE 704)

All of these planning documents are incorporated by reference into the 2023 RTP update. And will help guide planning efforts in the region over the next FY.

#### Monitoring and Updating the RTP

Recognizing the work accomplished in FY 22/23 to the Regional Transportation Plan and associated planning documents and anticipating follow-up activities related to the above referenced planning efforts, but with the RTP having been updated, this OWP and Budget will have three sub-elements within WE 601. They will include:

- 601A General/Regional Planning
- 601B Active Transportation Planning
- 601C Transit Planning

## **Work Element 601A Regional/General Transportation Planning**

The RTP is the core document that outlines the County's transportation planning goals and the projects that will meet these goals.

The LCTC adopted the Regional Transportation plan in 2023 along with a Negative Declaration. For FY 23/24 will continue the updating and maintenance of the RTP and its foundational documents.

In addition, LCTC staff will continue its on-going regional transportation planning efforts on behalf of its member agencies, working with both state and federal transportation entities. In addition, activities associated with the US 395 Coalition (formerly in Work Element 703) will be included in this work element go forward. This would include:

- Organizing, supporting and attending monthly Coalition meetings
- Working with Coalition stakeholders to identify and advance projects (road, safety, mobility) for the corridor.
- Coordinating/integrating Coalition efforts with regional transportation priorities (wildlife crossings, transit, economic, etc.)

### Purposes

1. To determine policies, safety needs, deficiencies and improvement programs for streets, roads and highways in the region, coordinating with local partners and Caltrans.
2. To assure the coordination of all modes of transportation within the planning process of Lassen County is accomplished.
3. To perform regional planning activities necessary to ensure safety and security in the transportation planning process.

### Tasks

1. Engage various stakeholders (LCTC, City of Susanville, Lassen County, Susanville Indian Rancheria, Caltrans, transit providers, and the public) in public meetings specifically focused on identifying and aligning on-going mobility/transportation needs of the community with the direction of the RTP, and the implementation of current regional and local transportation/mobility projects/initiatives.
2. Monitor and amend the RTP to reflect changing regional mobility needs, impacts of SB1 on transportation funding, implementation of the US 395 coalition building effort, and other regional developments.
3. Coordinate with Caltrans on information meetings that discuss impacts of State Route Development/System Management Plans (i.e., Susanville Relief Route, US 395)
4. Participate, review, and comment on Transportation Concept Reports (TCRs), submitted by Caltrans (RPA).
5. Coordinate meetings, programs, and activities between County, City, Tribal Governments, and State and Federal agencies to achieve comprehensive planning (RPA).
6. Participate in, and pay annual membership to, the Rural Counties Task Force. Provide input on RCTF initiatives as they relate to rural transportation issues, and report back to the Commission and TAC on on-going discussions and outcomes.



7. Participate in, and pay annual membership to, the North State Super Region (NSSR). Provide input on NSSR initiatives as they relate to rural transportation issues, and report back to the Commission and TAC on on-going discussions and outcomes.
8. Identify and enroll in training and conferences for staff or Commissioners providing general or in-depth information on regional transportation planning, traffic mitigation, traffic safety, transit or multi-modal transportation.
9. Update capital improvement needs and monitor roadway rehabilitation needs to preserve existing infrastructure and facilities.
10. Conduct a comprehensive, cooperative and ongoing regional planning process.
11. Conduct corridor studies – General.
12. Develop joint work program with transit operator.
13. Develop partnerships with local agencies to facilitate coordination of planning efforts.
14. Ensure that the projects developed are compatible with statewide and interregional transportation.
15. Assist local jurisdictions with research and preparation of transportation related grant applications which further the goals of the Lassen RTP.
16. Continue work with the US 395 Coalition as described in work element narrative.

Products (Target due dates are in parentheses)

1. Report on participation, including advocacy for LCTC positions, in periodic/monthly Rural Counties Task Force meetings as scheduled by the chair of the RCTF. (Monthly, or as scheduled)
2. Supporting and attending monthly meetings associated with the US 395 Coalition (Monthly)
3. Coordinating potential projects resulting from US 395 Coalition advocacy with regional transportation priorities.
4. Report on participation, including advocacy for LCTC positions, in periodic North State Super Region meetings as scheduled by the chair of the NSSR. (Quarterly, or as scheduled)
5. Properly monitored, current, and effective Regional Transportation Plan. (Quarterly reviews and updates 9-23, 12-23, 3-24, 6-24 or as needed)
6. Updated inventory catalog for trails in County as new trails are added. (2-24)

Revenues		Expenditure	
Rural Planning Assistance (RPA)	\$151,000.00	LCTC Staff	\$151,000.00
<b>Total:</b>	\$151,000.00	<b>Total:</b>	\$151,000.00

**Work Element 601B Regional Transportation Planning – Active Transportation Planning**

Active transportation is a growing area of interest. California passed legislation creating the Active Transportation Program (ATP) through Senate Bill 99 to increase use of active modes of transportation, such as bicycling and walking trips, improve safety and mobility for non-motorized users; in turn, reducing greenhouse gases and enhancing public health.

Purposes

1. Review Goals and Policies set forth in the Regional Transportation Plan (RTP), including long-range (20 year) transportation projects and make sure that revised ATP projects, and any additions or deletions to the list are accurately identified in the RTP.
2. Engage various stakeholders (LCTC, City of Susanville, Lassen County, Susanville Indian Rancheria, Caltrans, transit providers, and the public) in public engagements specifically focused on identifying and aligning on-going mobility/transportation needs of the community as they relate to active transportation planning with the direction of the RTP, and the implementation of current regional and local transportation/mobility projects/initiatives.
3. To coordinate among public, private, Tribal and social service transportation providers to improve connectivity, enhance passenger safety, operating efficiency and regional mobility as it relates to stakeholders who employ ATP transportation options.
4. To assist all stakeholders in pedestrian and bicycle planning studies, grant application preparation, leading to the planning or construction of new ATP facilities or maintaining existing facilities.

Tasks

1. Meet periodically with county trail coordinator, city and federal staff responsible for trail and multi-modal transportation to discuss and plan trail development in Lassen County. Engage regional trail and non-motorized transportation advocates to help shape trails, bike/ped and other non-motorized transportation in the region. Provide for one annual update to the county Trail Maintenance Plan as required.
2. Amend the RTP to update the trails and bikeways component as identified in the ATP.
3. Implement recommendations and prioritize projects identified in the Active Transportation Plan.

Products (Target due dates are in parentheses)

1. Engage stakeholders (for example, city, county, multi-modal advocates) on the implementation of the ATP in coordination with City and County staff and other relevant groups. Assist with Active Transportation Program grants. (Quarterly, As needed)
2. Updated inventory catalog for trails in County as new trails are added. (2-24)
3. Report to LCTC the status of the Trail Maintenance Plan. (10-23, 4-24)

Revenues		Expenditure	
Rural Planning Assistance (RPA)	\$8,000.00	LCTC Staff	\$8,000.00
<b>Total:</b>	<b>\$8,000.00</b>	<b>Total:</b>	<b>\$8,000.00</b>

**Work Element 601C Regional Transportation Planning – Transit Planning (RTP)**

Purposes

1. To assure the coordination of all modes of transportation within the planning process of Lassen County is accomplished.
2. Improve mobility and access using available mass transportation resources.
3. To coordinate among public, private, Tribal and social service transportation providers to improve connectivity, enhance passenger safety, operating efficiency and regional mobility.
4. To provide an efficient transit system responsive to the needs of County residents.

Tasks

1. Monitor and coordinate the operations of the Lassen Rural Bus (LRB) public transit system to ensure goals are consistent with the RTP.
2. Provide the transit operator with planning related assistance as needed.

Products (Target due dates are in parentheses)

1. Periodic updates to the LCTC on transit planning and coordination (12-23 6-24)

<b>Revenues</b>		<b>Expenditure</b>	
Rural Planning Assistance	\$19,000.00	LCTC Staff	\$19,000.00
<b>Total:</b>	<b>\$19,000.00</b>	<b>Total:</b>	<b>\$19,000.00</b>

## **Work Element 602 Programming**

### Purpose

Recurring tasks and activities including monitoring and implementation of provisions of the Regional Transportation Improvement Program (RTIP), State Transportation Improvement Program (STIP) and the Regional Transportation Plan (RTP). In addition, FY 23/24 will include the preparation of the 2024 RTIP for inclusion in the 2024 STIP.

### Objective

To identify and develop projects for the region's transportation programming needs that are consistent with the Regional Transportation Plan for future allocations.

### Discussion

Financial planning and programming the RTIP and STIP for local road construction and multi-modal transportation projects involves coordination with state, federal, local agencies and local tribal representatives. This process also includes developing and preparing various project study reports, allocation requests, amendments, and monitoring implementation. One such coordination effort involves the Federal Highway Administration (FHWA) Central Federal Lands (CFL) division, as well as the US Forest Service (USFS) The Bureau of Land Management (BLM).

### Activities

1. Prepare the 2024 Regional Transportation Improvement Program (RTIP), consistent with the 2023 RTP and 2022 RTIP, including amendments to ensure that projects are delivered in a timely manner.
2. Planning and Programming the Regional Transportation Improvement Program.
3. Planning and Programming the Low Carbon Transit Operations Program (LCTOP).
4. Planning and Programming LCTC-proposed STIP projects, including Planning, Programming, and Monitoring.
5. Planning and Programming Proposition 1B Funds.

### Previous Work

LCTC prepared the 2022 Regional Transportation Improvement Program and programmed and monitored State and Federal funds including RSTP exchange, LCTOP, and Proposition 1B funds. In addition, LCTC staff assisted both City and County staff to respond to requests from Caltrans and the CTC for information about specific projects, or to request funding changes as required.

### Tasks

1. Support the development of Project Study Reports, STIP Amendments, and monitor

- timely use of funds.
2. Plan, program and monitor the Regional Transportation Improvement Program (RTIP) consistent with RTP.
  3. Conduct interagency and public outreach during the development of the RTIP.
  4. Provide information to local partners about STIP estimates and programming policies; prepare and solicit input on RTIPs
  5. Participate during CTC, Caltrans HQ and D2, RCTF, and RTPA group meetings /workshops regarding RTIP / STIP implementation
  6. Coordinate with CTC staff to process STIP amendments and assess funding options; support agency projects and address project issues.
  7. Prepare STIP amendments and allocation requests. (As needed)
  8. Coordinate, consult, and collaborate with the Susanville Indian Rancheria. (On-going, as needed)

Products (Target due dates are in parentheses)

1. RTIP/STIP amendments, allocation requests, time extensions (As needed)
2. Confirm consistency between the RTP and regional projects programmed with various State and Federal Funds (On-going)
3. Review the draft and final Fund Estimate (June/July/Aug 2023)
4. With agencies establish funding targets for the region; review programming documents for consistency with STIP Guidelines (Aug/Sept 2023)
5. Develop and submit the 2022 Lassen County Draft 2024 RTIP. (Sept/Oct 2023)
6. Final 2024 RTIP adoption. (Dec 2023)
7. Respond to CTC/Caltrans comments (Jan/Feb/March 2024)

Revenues		Expenditure	
RPA	\$52,000.00	LCTC Staff	\$50,500.00
		Training and Conferences	\$1,500.00
<b>Total:</b>	<b>\$52,000.00</b>	<b>Total:</b>	<b>\$52,000.00</b>

## **Work Element 603 Community Engagement, Outreach and Interagency Coordination**

### Purpose

To support LCTC's project delivery, planning, and consensus-building programs by providing information on transportation and related issues and by seeking input on these issues from interested parties.

On September 16, 2019 the LCTC adopted their Title VI & Public Participation Plan. The PPP states in part:

LCTC strives to promote inclusive public participation in all of its efforts. The agency believes firmly that consistent communication with Lassen County residents, businesses, and visitors is key to the success of LCTC's planning and project development efforts. To that end, LCTC has developed three goals for public participation:

1. Increase awareness of transportation projects in Lassen County and the public's involvement in planning and implementation.
2. Foster greater partnerships with local public agencies, social service organizations, and other community groups throughout Lassen County.
3. Engage minority, low-income, and limited-English-proficiency populations to improve communication with traditionally underserved groups.

It described the Commissions reliance on traditional outreach measures but did include a desire to utilize modern electronic means of communication, as well as social media, and other web-based platforms. It also described providing the public with Commission planning documents as well as up to date information, and opportunities to engage the public, through its web platform.

For FY's 19/20, 21/22, and 22/23 the OWP adapted its public outreach and communications strategies to address the limitation in public gathering associated with COVID-19. With the loosening/lifting of COVID-19 restrictions this OWP will reflect a more traditional perspective on stakeholder engagement. However lessons learned during COVID, and the use of digital methods of communications (Zoom and other social media) greatly expanded the reach and efficiency of providing outreach and will be implemented by staff in FY 23/24 and beyond. The structure of this Work Element, LCTC staff will adapt our stated goals for outreach, communications, and interagency coordination to the circumstances as they exist during this next FY.

The LCTC, has conducted community meetings, issued informational (media) releases, created a website to be compliant with amendments to the Brown Act effective January 1, 2019, and undertaken other outreach activities as required to capture public input on the RTIP and regional transportation issues as they relate to LCTC activities. These efforts are provided:

1. To encourage involvement and feedback during the continuous regional planning process, and to ensure compliance with State and federal requirements; and
2. To coordinate regional transportation planning through consultation and collaboration in

these ways:

- a. Integrate local land use and regional transportation planning.
  - b. Promote cooperation among regional, State and Federal agencies to enhance transportation planning; consult and coordinate with Caltrans, neighboring jurisdictions, and agencies to undertake transportation planning studies (e.g. corridor studies, project study reports, special studies, coordinated research, etc.).
  - c. Coordinate and consult with regional goods movement and freight providers.
  - d. Coordinate and consult with regional bicycle groups and promote walk-able communities.
  - e. Review local agency goods movement and freight planning policies.
  - f. Work with partners to enhance movements of people, goods, services and information.
  - g. Coordinate local transportation services with regional and interregional providers to improve connections, interregional mobility and access to basic life activities.
  - h. Consult with and consider interests of community, Native Americans (individuals), in general and the Susanville Indian Rancheria (sovereign nation) in particular, and any and all under-represented groups.
3. Support the outreach and engagement efforts of the LCTC related to the Annual Transit Unmet Needs Process.

### Tasks

1. Administer public notification in accordance with the Brown Act.
2. Proactively solicit input from the public, local government, Tribes, advisory groups and organizations as they may assist the LCTC administer the RTP.
3. Monitor local government and agency meeting agenda, such as City Council, County Board of Supervisors, social service agencies, Tribal Councils; attend meetings for topics related to regional transportation and multimodal issues.
4. Regularly consult and coordinate and communicate with Tribal councils, disadvantaged and ethnic communities, and organizations to maintain good working relationships.
5. Conduct outreach to community bicycle groups to promote and foster partnerships. Work with public health departments to support walk-able communities as it relates to developing workable non-motorized mobility plans.
6. Participate in local economic development meetings to help integrate transportation and community goals for land use, economic vitality, social welfare and environmental preservation.
7. Participate with regional, local and state agencies, the general public and the private sector in planning efforts to identify and plan policies, strategies, programs and action to plan the regional transportation infrastructure.
8. Provide information and documents about regional transportation issues to interested parties and organizations.
9. Draft newspaper articles, fact sheets, press releases, display ads and other informational materials related to project planning, workshops, program development, preparation of RTIP
10. Join and participate in regional coordinating entities like the North State Super Region (NSSR), and other appropriate transportation planning groups and associations as needed.
11. Government-to-Government Outreach to include the Susanville Indian Rancheria, City of

- Susanville, etc. (Through monthly TAC meetings and specific focused meetings)
12. Community Meetings. (9-23, 1-24, 5-24, and/or as needed)
  13. Prepare press releases, public service announcements, public notices, and public meeting/hearing flyers. (As needed)
  14. Maintain website. (Monthly to advertise LCTC meetings, workshops, and other community engagement)
  15. Provide regular updates to local media and social media on transportation issues, developments in specific projects, and as required to engage stakeholders.
  16. Update the 2019 Public Participation Plan to respond to current circumstances. (As needed)

Products (Target due dates are in parentheses)

1. Inter-agency outreach, to include the Susanville Indian Rancheria, City of Susanville, etc. (Through the TAC 8-23, 10-23, 11-23, 12-23 1-24, 3-24, 5-24, 6-24 and ad hoc meetings)
2. Materials for public hearings, workshops and meetings, including surveys and fact sheets for community meetings. ( 9-23, 1-24, 5-24, and/or as needed)
3. Press/Media Releases, public service announcements, public notices, and public meeting/hearing flyers. (As needed)
4. Community and focused meetings to support the Transit Unmet Needs process, and the Transit Development Plan and a Coordinated Public Transit Human Services Transportation Plan (as needed but completed in 6-24)
5. Maintain website.
6. Update Public Participation Plan as required.
7. Social media information items – (8-23, 10-23, 12-23, 2-24, 4-24, 6-24)

Revenues		Expenditure	
PPM	\$40,000.00	LCTC Staff	\$36,000.00
		Memberships - including NSSR	\$4,000.00
	<b>Total:</b> \$40,000.00		<b>Total:</b> \$40,000.00



## **Work Element 604 Transportation Development Act**

### Purpose

To effectively administer the provisions of the Transportation Development Act (TDA), including receiving, reviewing, and approving claims for Local Transportation Funds and State Transit Assistance Funds for Lassen County.

To provide staff support to the Social Services Transportation Advisory Council (SSTAC).

### Previous Work

Each year LCTC is responsible for administering TDA funds. These funds operate public transit, construct bicycle and pedestrian facilities, and may be used for streets and roads purposes only after all unmet transit needs that are reasonable to meet have been addressed. Under TDA statute, LCTC is responsible for preparing preliminary and final estimates of Local Transportation and State Transit Assistance Fund apportionments, conducting fiscal and performance audits, and transit coordination. LCTC has appointed members to a Social Services Transportation Advisory Council (SSTAC) in accordance with Transportation Development Act Statute 99238.

### Tasks

1. Provide for the management of the Local Transportation Fund (LTF) and the State Transit Assistance (STA) Fund. (On-going)
2. Ensure that fiscal and compliance audits are performed in accordance with law and assist in the resolution of audit findings. (December 31, 2023)
3. Conduct the Unmet Transit Needs process, if warranted, or conduct in-lieu Citizen Participation Process Public Hearing. (Spring, 2024)
4. Prepare the Unmet Transit Needs Analysis and Findings, if warranted. (Spring 2024)
5. Prepare draft and final apportionments for FY 2023/2024 Transportation Development Act Funds. (February and June 2024)
6. Assist claimants with preparation of claims and local program administration. (On-going)
7. Provide instructions to the Lassen County Auditor for allocations to the jurisdictions. (June 2024)
8. Provide staff support to the LCTC SSTAC. (On-going)
9. Participate in meetings/workshops such as: Lassen County Transportation Commission; Social Services Technical Advisory Council; Caltrans, Regional Transportation Planning Agency working group, California Transportation Commission, CalACT (planning related activities), and the Rural Transit Assistance Program.

### Products (Target due dates are in parentheses)

1. Preliminary and Final LTF and STA apportionments for Fiscal Year 2023/2024. (February and June 2024)

2. Unmet Transit Needs Analysis and Findings, if warranted, or conduct in-lieu Citizen Participation Process Public Hearing. (April-May 2024)
3. Allocation instructions to the County Auditor for LTF and STA funds. (June 2024)
4. Claim notifications to jurisdictions. (June 2024)
5. SSTAC agendas and minutes and related staff support. (Spring 2024)

<b>Revenues</b>		<b>Expenditure</b>	
Local Transportation Fund	\$105,000.00	LCTC - Staff	\$40,000.00
		Independent Auditor	\$65,000.00
		Lassen County Auditor	
<b>Total:</b>	<b>\$105,00.00</b>	<b>Total:</b>	<b>\$105,000.00</b>

## **Work Element 705 Zero Emission Vehicle Feasibility Study**

### **Introduction**

The LCTC is the Regional Transportation Planning Agency for Lassen County and the City of Susanville. LCTC will be partnering with our sister agency in Plumas County the Plumas County Transportation Commission for this effort. The Lassen Transit Services Agency is the local transit operator in Lassen County, and Plumas Transit Systems provides the same service in Plumas County. Given recent fire activity in both Counties, but especially in Plumas County, the LCTC has agreed to be the project lead for this effort.

Lassen and Plumas Counties include some of the most scenic and endearing natural wonders in the west. From Lassen Volcanic National Park, to the headwaters of the Feather River, to vast stretches of high mountain valleys, Lassen and Plumas counties are some of the largest and least populated places in California. The region, once a hot spot for mining and logging, has transitioned to ranching and agriculture, services, and tourism. In addition, because of the natural environment of the region, Lassen and Plumas Counties are primed to take advantage of the growing adventure tourism market, as well as urban dwellers tired of the city who can work remotely. The Lassen County Transportation Commission recognizes the importance of the regions transit agencies electrifying their fleets. The region is striving to making the transition to electric vehicles with a methodical approach. This grant award would allow the agency to study the feasibility and best practices to make this transition.

### **Project Stakeholders**

The LCTC will be the lead agency for this project. Stakeholders will include but not be limited to:

1. Plumas County Transportation Commission
2. Lassen Transit Services Agency
3. Plumas Transit Systems
4. Lassen County
5. Plumas County
6. City of Susanville
7. City of Portola
8. Susanville Indian Rancheria
9. Greenville Rancheria
10. Bureau of Land Management
11. US Forest Service
12. Caltrans
13. Electric Utility companies
14. Lassen Senior Services
15. Plumas Seniors
16. Big Valley 50
17. Far Northern Regional Center
18. A.L.I.V.E. Plumas Rural Services
19. Eskaton Apartments
20. Banner Hospital
21. Plumas District Hospital

## **Overall Project Objectives**

- Assessment of current conditions and risk assessment of moving to an electric fleet, including evaluating market conditions of electric vehicles and charging/refueling equipment.
- Identify current conditions of the fleet and feasibility of operating electric vehicles including evaluating current operational needs and costs versus operational needs and costs with an electric fleet.
- Stakeholder outreach with relevant agency departments and external partners including utilities, local governments, etc.
- Evaluate current market and determine vehicle options and charging/refueling options.
- Evaluate infrastructure needs and, if applicable, determine best location for charging infrastructure.
- Identify opportunities for the LTSA and Plumas Transit Services to share charging and/or fueling infrastructure with other transit agencies or fleets (including our federal, state, and local partners)
- Develop a timeline for bus replacement/purchases and infrastructure development.
- Identify routes to electrify in order of feasibility.
- Work with power supplier to identify infrastructure needs for supply.
- Work with fleet maintenance to understand training and equipment needs.
- Develop a funding plan/assessment.
- Prepare the ZEV Bus Rollout Plan as required by the CARB Innovative Clean Transit Rule

**California Department of Transportation  
Sustainable Planning Grant Program  
Zero Emission Vehicle Feasibility Study  
Lassen Transit Services Agency (LTSA) and Plumas Transit Systems (PTS)**

Task #	Task Title	2023											
		J	F	M	A	M	J	J	A	S	O	N	D
01	Project Administration												
02	Consultant Procurement												
1	Transit Fleet Electrification Study												
2	Vehicles, Charging Infrastructure and Site Analysis												
3	Public Outreach												
4	Implementation Plan Development												
5	Draft and Final Plan (Agency Outreach)												
6	Board Review/Approval												

## Summary of Project Tasks

**Note: The tasks, deliverables and deadlines shown below were required by Caltrans to be included as they appeared in the original grant application. As of this writing the LCTC, in cooperation with the PCTC have hired a consultant (February 2023) and commenced with project delivery. We expect considerable work to be done by the end of FY 22/23 (Tasks 1 and 2, with Task 3 on-going), and the budget shown for this task reflects what we anticipate the balance of the funds available being at that time. The remainder of this work element remains unchanged from the approved FY 22/23 version.**

Project Management activities must be identified within the task they are occur.

### *Task 01: Project Administration*

Lassen County Transportation Commission will hold a kick-off meeting with Caltrans to review grant procedures, project expectations, invoicing, quarterly reporting, and all other relevant project information and objectives.

#### **Task Deliverables**

- Kick-off meeting
- Quarterly reports
- Invoices Page
- Final report – November 2023
- Kick-off meeting with Caltrans - Meeting Notes, quarterly invoices and progress reports, DBE reporting (federal Grants only) – January 2023

### *Task 02: Consultant Procurement*

LCTC will complete the process for selection of a Consultant using the proper competitive procurement procedures.

#### **Task Deliverables - January 2023**

- Execute contract with selected Consultant
- Fully executed contract with Consultant. Consultant will attend all subsequent management meetings,

### *Task 1: Transit Fleet Electrification Study*

The Consultant will collect and review all existing plans, maps, GIS data, and other resources necessary for documenting baseline operations and understanding future needs of each transit system. Items to collect and review include but are not limited to the following: transit plans, Regional Transportation Plans/Sustainable Communities Strategies, sustainability plans, energy plans, GHG reduction plans, Circulation Elements, transit maps, transit performance indicators, and more.

Once a thorough understanding of the system is achieved by the project team, they shall meet with LCTC to concur on foundational information. This will be summarized and formalized in a memo.

#### **Task Deliverables – February 2023**

- Report of existing conditions and foundational information
- A summary report will be completed utilizing current plans, maps, GIS data, and additional resources.

### *Task 2: Vehicles, Charging Infrastructure and Site Analysis*

Consultant will develop a matrix to compare all available (and anticipated) vehicle options currently on the market that are relevant to the transit services provided in the study area. Consultant will research vehicle size capacity, maximum speed, maximum travel distance, average charging time and charging capacity, purchase price, average lifetime, vehicle length, purchase and lease options, and any other information deemed relevant to the Electrification Feasibility Study. Available vehicles will be compared with the current planned operations and tested for suitability. The project team will work with other regional partners to explore acquisition leverage and piggybacking on available regional or State contracts.

Consultant will research and compare electric charging and hydrogen fueling site needs for each vehicle type and fleet size. Priority sites will be identified based on the route distances, charging capacity, and charging time for each vehicle. Consultant will determine the number of charging and/or fueling stations needed and will begin exploring potential charging and fueling locations in coordination with the applicant. The Consultant will investigate the feasibility of on-site hydrogen production as well as delivered hydrogen. Ideal locations will require no cost of land acquisition for Lassen and Plumas Counties and will be located to reduce the overall necessary amount of infrastructure. In addition, the Consultant will coordinate with partner transit operators to identify potential for in-route charging. Sites will be put through a screening process to ensure appropriate energy availability, space requirements, potential for expansion, and adaptability. Existing and known sites will be evaluated for adaptability to accommodating an electric transit fleet. Funding from this feasibility study will assist in the layout concept and energy analysis.

If the Site Selection results determine land or right-of-way acquisition is necessary to implement the vehicle charging stations, the Consultant will conduct a land acquisition analysis. A cost estimate for land acquisition will be developed based on average current land costs in the area.

Consultant will research energy needs for the current and future transit fleet electrification plan. Route energy modeling will be performed, and route lengths will be compared against charging times and charging capacities and energy needs will be determined for each potential vehicle type. Select routes will be analyzed in detail to understand how the energy needs change based on variable parameters such as weather conditions and altitude, for example. The Consultant will visualize the total energy needs based on various charging configurations and develop load schedules for each of the sites. Consultant will develop several charging scenarios to illustrate what the total energy needs are and how the energy needs change based on the time available for charging. This energy needs analysis will further inform the development of the charging schedules in Task 4. The availability of power is a critical component of site location, fleet accommodation, and cost of charging infrastructure. Lassen and Plumas Counties will build off existing relationships with utility providers and current fleet electrification plans. Once new or existing potential sites are established or identified in Task 2, the Consultant will partner with the transit agency(s) and utility providers to understand current availability of power to each site.

Available energy will be analyzed against specific transit fleet needs and the project team will identify necessary improvements. All charging infrastructure upgrades will be conceptualized, charger locations on sites, line extensions, transformer upgrades, sub-station locations, and other comprehensive requirements. Concepts will be formalized and estimated for costs. In addition, the Consultant will explore a potential

collaboration with other transit agencies or fleets within Lassen and Plumas County transit providers service area, which may have existing or planned charging infrastructure. Furthermore, the project team will work with the local utility provider to establish the most cost-effective charging program to utilize.

The Consultant will work with the local maintenance contractor(s) to determine training needs. Cost to train and employ mechanics, fleet operators, and any change in administrative and maintenance costs will be researched and summarized, as well as any special certifications or special equipment needed. The Consultant will research vehicle storage needs and any other criteria relevant to determining up-front and continual vehicle maintenance costs.

#### **Task Deliverables – March 2023**

- Summary of current vehicle options and specs
- Summary of charging site/fueling station evaluation
- Summary of energy needs per vehicle/fleet
- Utility provider coordination summary
- Summary of maintenance, training and operations costs
- Power point and pdf presentations, energy demand per route to be conducted utilizing the Consultant’s software, hold meetings (virtual or in-person) with local utility, and reporting document for training and costs

#### *Task 3: Public Outreach*

The project team will engage existing transit planning stakeholders in the process. Stakeholders will be engaged directly through interviews and invited to participate in a study advisory committee and community engagement meetings.

The project team will prepare a community engagement plan that reaches constituents within current and planned transit route coverage areas. The engagement plan will target current and future users and include all rider types and socio-economic backgrounds. This engagement effort will specifically seek input from low income and disadvantaged communities in the service area. Community engagement will take place during the implementation of the feasibility study.

The engagement plan will include methods for the community to provide feedback such as surveys, direct online comment forms, physical comment forms, disadvantaged community targeted mailers, public workshops (virtual or in-person) and through email. The community will also have the opportunity to provide feedback when the project is presented to Councils, Commissions and Boards.

#### **Task Deliverables – On-going through project to December 2023**

- Stakeholder list development and outreach
- Host meetings (virtually or in-person) with stakeholders
- Create meeting agendas
- Take minutes and distribute minutes report
- Community engagement solicitation through phone calls, emails, and outreach through local organizations. Host meetings physically or utilize online platforms for virtual meetings. Agendas, minutes, and minutes reporting to be handled utilizing pdfs.



#### *Task 4: Implementation Plan Development*

The project team will utilize existing transit fleet replacement plans as a foundation for adapting to an electric fleet. Based on the findings from the Vehicle Needs Analysis, The Consultant will develop a timeline for scheduled vehicle replacements and charging/refueling infrastructure. The Consultant will research vehicle lifetime and cost replacement estimates, as well as battery lifetime and replacement cost estimates. The schedule will include both the initial phase of transitioning from a traditional to an electric vehicle fleet and the long-term phase of vehicle replacement and upkeep. The Innovative Clean Transit Act and the required targets for zero emissions transition will be referenced in the Plan.

The Consultant will provide a conceptual design identifying needed infrastructure upgrades and the layout of the charging infrastructure for the bus yards. The Consultant will collect and prepare a table listing all associated costs due to the infrastructure upgrades per bus yard. Detailed information about service voltage and load schedules will be provided.

The Consultant will also analyze distributed energy resources (DERs) such as photovoltaic solar installations and battery storage solutions that can lessen charging costs. The region is unique in that there are potential geothermal energy opportunities, and while currently academic, the technology will be discussed. The Consultant will list and recommend future funding opportunities related to DERs that the agency might consider.

Charging station management software solutions that can mitigate energy costs and alleviate charging management challenges will be explored, and a charging schedule will be developed to identify the ideal daily charging window and charging management process.

Standard pricing, equipment pricing, and construction costs will be included in the estimate of investment required. A comprehensive overview of the current pricing and trends of electric vehicles and the associated infrastructure components such as charging stations, facilities and power infrastructure needs will be provided. The infrastructure need will be based on findings from the existing conditions analysis, vehicle needs analysis, charging and site needs analysis, and projection of charging/refueling stations needed. Ongoing costs will be estimated for operating and maintenance expenses, energy costs, and ongoing fleet replacement costs. The Consultant will research infrastructure funding programs available through the Air Resources Board, Energy Commission and other resources, such as corporate investment companies.

The Consultant will also prepare an analysis of current programs and funding opportunities available for local transit agencies. The analysis will include well known programs for all level of infrastructure needs such as capital purchase programs, incentive programs, collaborations, and energy supply and upgrades.

#### **Task Deliverables – May 2023**

- Fleet replacement plan
- Plan Infrastructure deployment
- Prepare cost estimates
- Develop funding strategy
- Fleet replacement report for Lassen County Transportation Commission to utilize. Infrastructure deployment timelines and related costs for equipment and possible upgrades. A funding strategy document will be delivered with associated links and contact information for each funding source.

*Task 5: Draft and Final Plan*

The Consultant will develop a draft Transit Fleet Electrification Study for Lassen County Transportation Commission including but not limited to the following sections: Introduction, Summary of Public and Stakeholder Participation, Existing Conditions and Foundation Assessment, Vehicle Needs Analysis, Charging Infrastructure Needs Analysis, Funding Plan, and Implementation Plan. The Study will summarize all components necessary for a successful fleet electrification and management plan and will provide a set of guidelines for setting and meeting electrification goals in the future.

The Consultant will organize a presentation and deliver copies of the draft Plan to Lassen County Transportation Commission and The Plumas County Transportation Commission during a regular public meeting where the public will be given the opportunity to provide feedback.

Any comments received from the LCTC and the PCTC, or other interested parties will be reviewed thoroughly and implemented into the Final Study if applicable.

At the conclusion of the review and commentary period, the Consultant will prepare the Final Plan. The Consultant will prepare the requested number of hard copies of the Plan and will compile a digital library including all files created during the development of the Plan.

**Task Deliverables – Draft Plan June 2023 – Final October 2023**

- Draft Study
- Presentation to LCTC and PCTC
- Address Comments
- Final Study (Examples: Draft Plan, Public Review – list of comments, Final Plan that includes recommendations and considerations for future implementation, as well as a list of next steps in order to implement the plan with funding considerations and strategies.)

*Task 6: Board Review/Approval*

Upon completion of the Final Study, the Consultant will present the final plan for review and approval from the Lassen County Transportation Commission Members (in cooperation with their Plumas County and transit provider partners). This study will seek approval and set Lassen and Plumas Counties on a path to zero-emission implementation to comply with the Innovative Clean Transit Rule within the mandatory timeline.

**Task Deliverables – November 2023**

- Final Study approval by board (Copies, both hard and digital, of the study will be provided to the board prior to the meeting. Power point presentation will be conducted with a questions and answers portion. Revisions will be made if deemed necessary by the board.)

<b>Revenues</b>		<b>Expenditure</b>	
Plumas County EV Match	\$6,377.00	Plumas County Staff	\$8,000.00
Local Transportation Fund	\$9,566.00	Outside Consultant – Other	\$107,000.00
SHA Grant	\$123,057.00	LCTC - Staff	\$24,000.00
<b>Total:</b>	\$139,000.00	<b>Total:</b>	\$139,000.00

Attachments

- A. Fiscal Year 2023/2024 California Department of Transportation Debarment and Suspension Certification
- B. FTA Fiscal Year 2023/2024 Certifications and Assurances
- C. FY 2023/2024 FHWA and FTA State and Metropolitan Transportation Planning Process Self Certification

# **Attachment A**

## **Fiscal Year 2023/2024 California Department of Transportation Debarment and Suspension Certification**

**Fiscal Year 2023/2024 California Department of Transportation  
Debarment and Suspension Certification**

*As required by U.S. DOT regulations on governmentwide Debarment and Suspension*


*(Nonprocurement), 49 CFR 29.100:*

- 1) The Applicant certifies, to the best of its knowledge and belief, that it and its contractors, subcontractors and subrecipients:
  - a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
  - b) Have not, within the three (3) year period preceding this certification, 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;
  - 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 listed in subparagraph (1)(b) of this certification; and
  - d) Have not, within the three (3) year period preceding this certification, had one or more public transactions (Federal, state, and local) terminated for cause or default.
- 2) The Applicant also certifies that, if Applicant later becomes aware of any information contradicting the statements of paragraph (1) above, it will promptly provide that information to the State.
- 3) If the Applicant is unable to certify to all statements in paragraphs (1) and (2) of this certification, through those means available to Applicant, including the General Services Administration's *Excluded Parties List System (EPLS)*, Applicant shall indicate so in its applications, or in the transmittal letter or message accompanying its annual certifications and assurances, and will provide a written explanation to the State.

**CALIFORNIA DEPARTMENT OF TRANSPORTATION  
DEBARMENT AND SUSPENSION CERTIFICATION  
FISCAL YEAR 2023/2024**

**SIGNATURE PAGE**

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

Signature  Date May 8, 2023

Printed Name \_\_\_\_\_

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

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

**AFFIRMATION OF APPLICANT'S ATTORNEY**

For \_\_\_\_\_ (Name of Applicant)

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

Printed Name of Applicant's Attorney \_\_\_\_\_



# **Attachment B**

## **FTA Fiscal Year 2023/24 Certifications and Assurances**



*Not every provision of every certification will apply to every applicant or award. If a provision of a certification does not apply to the applicant or its award, FTA will not enforce that provision. Refer to FTA's accompanying Instructions document for more information.*

*Text in italics is guidance to the public. It does not have the force and effect of law, and is not meant to bind the public in any way. It is intended only to provide clarity to the public regarding existing requirements under the law or agency policies.*

## **CATEGORY 1. CERTIFICATIONS AND ASSURANCES REQUIRED OF EVERY APPLICANT.**

*All applicants must make the certifications in this category.*

### **1.1. Standard Assurances.**

*The certifications in this subcategory appear as part of the applicant's registration or annual registration renewal in the System for Award Management (SAM.gov) and on the Office of Management and Budget's standard form 424B "Assurances—Non-Construction Programs". This certification has been modified in places to include analogous certifications required by U.S. DOT statutes or regulations.*

As the duly authorized representative of the applicant, you certify that the applicant:

- (a) Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
- (b) Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
- (c) 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.
- (d) Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
- (e) Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728–4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 CFR 900, Subpart F).

- (f) Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to:
- (1) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin, as effectuated by U.S. DOT regulation 49 CFR Part 21;
  - (2) 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, as effectuated by U.S. DOT regulation 49 CFR Part 25;
  - (3) Section 5332 of the Federal Transit Law (49 U.S.C. § 5332), which prohibits any person being excluded from participating in, denied a benefit of, or discriminated against under, a project, program, or activity receiving financial assistance from FTA because of race, color, religion, national origin, sex, disability, or age.
  - (4) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps, as effectuated by U.S. DOT regulation 49 CFR Part 27;
  - (5) The Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101–6107), which prohibits discrimination on the basis of age;
  - (6) The Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse;
  - (7) 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;
  - (8) Sections 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records;
  - (9) 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;
  - (10) Any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and,
  - (11) the requirements of any other nondiscrimination statute(s) which may apply to the application.
- (g) Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (“Uniform Act”) (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases. The requirements of the Uniform Act are effectuated by U.S. DOT regulation 49 CFR Part 24.

- (h) Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§ 1501–1508 and 7324–7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
- (i) Will comply, as applicable, with the provisions of the Davis–Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. § 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327–333), regarding labor standards for federally assisted construction subagreements.
- (j) Will comply, if applicable, with 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.
- (k) Will comply with environmental standards which may be prescribed pursuant to the following:
  - (1) Institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514;
  - (2) Notification of violating facilities pursuant to EO 11738;
  - (3) Protection of wetlands pursuant to EO 11990;
  - (4) Evaluation of flood hazards in floodplains in accordance with EO 11988;
  - (5) 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.);
  - (6) 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.);
  - (7) Protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and
  - (8) Protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93–205).
- (l) Will comply with the 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.
- (m) Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. § 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§ 469a-1 et seq.).
- (n) Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
- (o) Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§ 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded

- animals held for research, teaching, or other activities supported by this award of assistance.
- (p) Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
  - (q) Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and 2 CFR Part 200, Subpart F, “Audit Requirements”, as adopted and implemented by U.S. DOT at 2 CFR Part 1201.
  - (r) Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing the program under which it is applying for assistance.
  - (s) Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. § 7104) which prohibits grant award recipients or a subrecipient from:
    - (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect;
    - (2) Procuring a commercial sex act during the period of time that the award is in effect; or
    - (3) Using forced labor in the performance of the award or subawards under the award.

## **1.2. Standard Assurances: Additional Assurances for Construction Projects.**

*This certification appears on the Office of Management and Budget’s standard form 424D “Assurances—Construction Programs” and applies specifically to federally assisted projects for construction. This certification has been modified in places to include analogous certifications required by U.S. DOT statutes or regulations.*

As the duly authorized representative of the applicant, you certify that the applicant:

- (a) Will not dispose of, modify the use of, or change the terms of the real property title or other interest in the site and facilities without permission and instructions from the awarding agency; will record the Federal awarding agency directives; and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure nondiscrimination during the useful life of the project.
- (b) Will comply with the requirements of the assistance awarding agency with regard to the drafting, review, and approval of construction plans and specifications.
- (c) Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications, and will furnish progressive reports and such other information as may be required by the assistance awarding agency or State.

**1.3. Procurement.**

*The Uniform Administrative Requirements, 2 CFR § 200.324, allow a recipient to self-certify that its procurement system complies with Federal requirements, in lieu of submitting to certain pre-procurement reviews.*

The applicant certifies that its procurement system complies with:

- (a) U.S. DOT regulations, “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards,” 2 CFR Part 1201, which incorporates by reference U.S. OMB regulatory guidance, “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards,” 2 CFR Part 200, particularly 2 CFR §§ 200.317–200.326 “Procurement Standards;
- (b) Federal laws, regulations, and requirements applicable to FTA procurements; and
- (c) The latest edition of FTA Circular 4220.1 and other applicable Federal guidance.

**1.4. Suspension and Debarment.**

*Pursuant to Executive Order 12549, as implemented at 2 CFR Parts 180 and 1200, prior to entering into a covered transaction with an applicant, FTA must determine whether the applicant is excluded from participating in covered non-procurement transactions. For this purpose, FTA is authorized to collect a certification from each applicant regarding the applicant’s exclusion status. 2 CFR § 180.300. Additionally, each applicant must disclose any information required by 2 CFR § 180.335 about the applicant and the applicant’s principals prior to entering into an award agreement with FTA. This certification serves both purposes.*

The applicant certifies, to the best of its knowledge and belief, that the applicant and each of its principals:

- (a) Is not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily or involuntarily excluded from covered transactions by any Federal department or agency;
- (b) Has not, within the preceding three years, been convicted of or had a civil judgment rendered against him or her for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public or private agreement or transaction; violation of Federal or State antitrust statutes, including those proscribing price fixing between competitors, allocation of customers between competitors, and bid rigging; commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, receiving stolen property, making false claims, or obstruction of justice; or commission of any other offense indicating a lack of business integrity or business honesty;

- (c) Is not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any offense described in paragraph (b) of this certification;
- (d) Has not, within the preceding three years, had one or more public transactions (Federal, State, or local) terminated for cause or default.

**1.5. Coronavirus Response and Relief Supplemental Appropriations Act, 2021, and CARES Act Funding.**

The applicant certifies:

- (a) To the maximum extent possible, funds made available under title IV of division M of the Consolidated Appropriations Act, 2021 (Public Law 116–260), and in title XII of division B of the CARES Act (Public Law 116–136; 134 Stat. 599) shall be directed to payroll and operations of public transit (including payroll and expenses of private providers of public transportation); or
- (a) The applicant certifies that the applicant has not furloughed any employees.

**1.6. American Rescue Plan Act Funding.**

The applicant certifies:

- (a) Funds made available by Section 3401(a)(2)(A) of the American Rescue Plan Act of 2021 (Public Law 117-2) shall be directed to payroll and operations of public transportation (including payroll and expenses of private providers of public transportation); or
- (b) The applicant certifies that the applicant has not furloughed any employees.

**CATEGORY 2. PUBLIC TRANSPORTATION AGENCY SAFETY PLANS**

*This certification is required of each applicant under the Urbanized Area Formula Grants Program (49 U.S.C. § 5307), each rail operator that is subject to FTA’s state safety oversight programs, and each State that is required to draft and certify a public transportation agency safety plan on behalf of a small public transportation provider pursuant to 49 CFR § 673.11(d). This certification is required by 49 U.S.C. § 5329(d)(1) and 49 CFR § 673.13.*

*This certification does not apply to any applicant that receives financial assistance from FTA exclusively under the Formula Grants for the Enhanced Mobility of Seniors Program (49 U.S.C. § 5310), the Formula Grants for Rural Areas Program (49 U.S.C. § 5311), or combination of these two programs.*

If the applicant is an operator, the applicant certifies that it has established a public transportation agency safety plan meeting the requirements of 49 U.S.C. § 5329(d)(1) and 49 CFR Part 673.

If the applicant is a State, the applicant certifies that:

- (a) It has drafted a public transportation agency safety plan for each small public transportation provider within the State, unless the small public transportation provider provided notification to the State that it was opting out of the State-drafted plan and drafting its own public transportation agency safety plan; and
- (b) Each small public transportation provider within the State has a public transportation agency safety plan that has been approved by the provider's Accountable Executive (as that term is defined at 49 CFR § 673.5) and Board of Directors or Equivalent Authority (as that term is defined at 49 CFR § 673.5).

### **CATEGORY 3. TAX LIABILITY AND FELONY CONVICTIONS.**

*If the applicant is a business association (regardless of for-profit, not for-profit, or tax exempt status), it must make this certification. Federal appropriations acts since at least 2014 have prohibited FTA from using funds to enter into an agreement with any corporation that has unpaid Federal tax liabilities or recent felony convictions without first considering the corporation for debarment. E.g., Consolidated Appropriations Act, 2021, Pub. L. 116-260, div. E, title VII, §§ 744–745. U.S. DOT Order 4200.6 defines a “corporation” as “any private corporation, partnership, trust, joint-stock company, sole proprietorship, or other business association”, and applies the restriction to all tiers of subawards. As prescribed by U.S. DOT Order 4200.6, FTA requires each business association applicant to certify as to its tax and felony status.*

If the applicant is a private corporation, partnership, trust, joint-stock company, sole proprietorship, or other business association, the applicant certifies that:

- (a) It has no unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability; and
- (b) It has not been convicted of a felony criminal violation under any Federal law within the preceding 24 months.

### **CATEGORY 4. LOBBYING.**

*If the applicant will apply for a grant or cooperative agreement exceeding \$100,000, or a loan, line of credit, loan guarantee, or loan insurance exceeding \$150,000, it must make the following certification and, if applicable, make a disclosure regarding the applicant's lobbying activities. This certification is required by 49 CFR § 20.110 and app. A to that part.*

*This certification does not apply to an applicant that is an Indian Tribe, Indian organization, or an Indian tribal organization exempt from the requirements of 49 CFR Part 20.*

#### **4.1. Certification for Contracts, Grants, Loans, and Cooperative Agreements.**

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

#### **4.2. Statement for Loan Guarantees and Loan Insurance.**

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.



Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

### **CATEGORY 5. PRIVATE SECTOR PROTECTIONS.**

*If the applicant will apply for funds that it will use to acquire or operate public transportation facilities or equipment, the applicant must make the following certification regarding protections for the private sector.*

#### **5.1. Charter Service Agreement.**

*To enforce the provisions of 49 U.S.C. § 5323(d), FTA's charter service regulation requires each applicant seeking assistance from FTA for the purpose of acquiring or operating any public transportation equipment or facilities to make the following Charter Service Agreement. 49 CFR § 604.4.*

The applicant agrees that it, and each of its subrecipients, and third party contractors at any level who use FTA-funded vehicles, may provide charter service using equipment or facilities acquired with Federal assistance authorized under the Federal Transit Laws only in compliance with the regulations set out in 49 CFR Part 604, the terms and conditions of which are incorporated herein by reference.

#### **5.2. School Bus Agreement.**

*To enforce the provisions of 49 U.S.C. § 5323(f), FTA's school bus regulation requires each applicant seeking assistance from FTA for the purpose of acquiring or operating any public transportation equipment or facilities to make the following agreement regarding the provision of school bus services. 49 CFR § 605.15.*

- (a) If the applicant is not authorized by the FTA Administrator under 49 CFR § 605.11 to engage in school bus operations, the applicant agrees and certifies as follows:
  - (1) The applicant and any operator of project equipment agrees that it will not engage in school bus operations in competition with private school bus operators.
  - (2) The applicant agrees that it will not engage in any practice which constitutes a means of avoiding the requirements of this agreement, part 605 of the Federal Mass Transit Regulations, or section 164(b) of the Federal-Aid Highway Act of 1973 (49 U.S.C. 1602a(b)).
- (b) If the applicant is authorized or obtains authorization from the FTA Administrator to engage in school bus operations under 49 CFR § 605.11, the applicant agrees as follows:

- (1) The applicant agrees that neither it nor any operator of project equipment will engage in school bus operations in competition with private school bus operators except as provided herein.
- (2) The applicant, or any operator of project equipment, agrees to promptly notify the FTA Administrator of any changes in its operations which might jeopardize the continuation of an exemption under § 605.11.
- (3) The applicant agrees that it will not engage in any practice which constitutes a means of avoiding the requirements of this agreement, part 605 of the Federal Transit Administration regulations or section 164(b) of the Federal-Aid Highway Act of 1973 (49 U.S.C. 1602a(b)).
- (4) The applicant agrees that the project facilities and equipment shall be used for the provision of mass transportation services within its urban area and that any other use of project facilities and equipment will be incidental to and shall not interfere with the use of such facilities and equipment in mass transportation service to the public.

#### **CATEGORY 6. TRANSIT ASSET MANAGEMENT PLAN.**

*If the applicant owns, operates, or manages capital assets used to provide public transportation, the following certification is required by 49 U.S.C. § 5326(a).*

The applicant certifies that it is in compliance with 49 CFR Part 625.

#### **CATEGORY 7. ROLLING STOCK BUY AMERICA REVIEWS AND BUS TESTING.**

##### **7.1. Rolling Stock Buy America Reviews.**

*If the applicant will apply for an award to acquire rolling stock for use in revenue service, it must make this certification. This certification is required by 49 CFR § 663.7.*

The applicant certifies that it will conduct or cause to be conducted the pre-award and post-delivery audits prescribed by 49 CFR Part 663 and will maintain on file the certifications required by Subparts B, C, and D of 49 CFR Part 663.

##### **7.2. Bus Testing.**

*If the applicant will apply for funds for the purchase or lease of any new bus model, or any bus model with a major change in configuration or components, the applicant must make this certification. This certification is required by 49 CFR § 665.7.*

The applicant certifies that the bus was tested at the Bus Testing Facility and that the bus received a passing test score as required by 49 CFR Part 665. The applicant has received or will

receive the appropriate full Bus Testing Report and any applicable partial testing reports before final acceptance of the first vehicle.

### **CATEGORY 8. URBANIZED AREA FORMULA GRANTS PROGRAM.**

*If the applicant will apply for an award under the Urbanized Area Formula Grants Program (49 U.S.C. § 5307), or any other program or award that is subject to the requirements of 49 U.S.C. § 5307, including the Formula Grants for the Enhanced Mobility of Seniors Program (49 U.S.C. § 5310); “flex funds” from infrastructure programs administered by the Federal Highways Administration (see 49 U.S.C. § 5334(i)); projects that will receive an award authorized by the Transportation Infrastructure Finance and Innovation Act (“TIFIA”) (23 U.S.C. §§ 601–609) or State Infrastructure Bank Program (23 U.S.C. § 610) (see 49 U.S.C. § 5323(o)); formula awards or competitive awards to urbanized areas under the Grants for Buses and Bus Facilities Program (49 U.S.C. § 5339(a) and (b)); or low or no emission awards to any area under the Grants for Buses and Bus Facilities Program (49 U.S.C. § 5339(c)), the applicant must make the following certification. This certification is required by 49 U.S.C. § 5307(c)(1).*

The applicant certifies that it:

- (a) Has or will have the legal, financial, and technical capacity to carry out the program of projects (developed pursuant 49 U.S.C. § 5307(b)), including safety and security aspects of the program;
- (b) Has or will have satisfactory continuing control over the use of equipment and facilities;
- (c) Will maintain equipment and facilities in accordance with the applicant’s transit asset management plan;
- (d) Will ensure that, during non-peak hours for transportation using or involving a facility or equipment of a project financed under this section, a fare that is not more than 50 percent of the peak hour fare will be charged for any—
  - (1) Senior;
  - (2) Individual who, because of illness, injury, age, congenital malfunction, or any other incapacity or temporary or permanent disability (including an individual who is a wheelchair user or has semi-ambulatory capability), cannot use a public transportation service or a public transportation facility effectively without special facilities, planning, or design; and
  - (3) Individual presenting a Medicare card issued to that individual under title II or XVIII of the Social Security Act (42 U.S.C. §§ 401 et seq., and 1395 et seq.);
- (e) In carrying out a procurement under 49 U.S.C. § 5307, will comply with 49 U.S.C. §§ 5323 (general provisions) and 5325 (contract requirements);
- (f) Has complied with 49 U.S.C. § 5307(b) (program of projects requirements);

- (g) Has available and will provide the required amounts as provided by 49 U.S.C. § 5307(d) (cost sharing);
- (h) Will comply with 49 U.S.C. §§ 5303 (metropolitan transportation planning) and 5304 (statewide and nonmetropolitan transportation planning);
- (i) Has a locally developed process to solicit and consider public comment before raising a fare or carrying out a major reduction of transportation;
- (j) Either—
  - (1) Will expend for each fiscal year for public transportation security projects, including increased lighting in or adjacent to a public transportation system (including bus stops, subway stations, parking lots, and garages), increased camera surveillance of an area in or adjacent to that system, providing an emergency telephone line to contact law enforcement or security personnel in an area in or adjacent to that system, and any other project intended to increase the security and safety of an existing or planned public transportation system, at least 1 percent of the amount the recipient receives for each fiscal year under 49 U.S.C. § 5336; or
  - (2) Has decided that the expenditure for security projects is not necessary;
- (k) In the case of an applicant for an urbanized area with a population of not fewer than 200,000 individuals, as determined by the Bureau of the Census, will submit an annual report listing projects carried out in the preceding fiscal year under 49 U.S.C. § 5307 for associated transit improvements as defined in 49 U.S.C. § 5302; and
- (l) Will comply with 49 U.S.C. § 5329(d) (public transportation agency safety plan).

#### **CATEGORY 9. FORMULA GRANTS FOR RURAL AREAS.**

*If the applicant will apply for funds made available to it under the Formula Grants for Rural Areas Program (49 U.S.C. § 5311), it must make this certification. Paragraph (a) of this certification helps FTA make the determinations required by 49 U.S.C. § 5310(b)(2)(C). Paragraph (b) of this certification is required by 49 U.S.C. § 5311(f)(2). Paragraph (c) of this certification, which applies to funds apportioned for the Appalachian Development Public Transportation Assistance Program, is necessary to enforce the conditions of 49 U.S.C. § 5311(c)(2)(D).*

- (a) The applicant certifies that its State program for public transportation service projects, including agreements with private providers for public transportation service—
  - (1) Provides a fair distribution of amounts in the State, including Indian reservations; and
  - (2) Provides the maximum feasible coordination of public transportation service assisted under 49 U.S.C. § 5311 with transportation service assisted by other Federal sources; and

- (b) If the applicant will in any fiscal year expend less than 15% of the total amount made available to it under 49 U.S.C. § 5311 to carry out a program to develop and support intercity bus transportation, the applicant certifies that it has consulted with affected intercity bus service providers, and the intercity bus service needs of the State are being met adequately.
- (c) If the applicant will use for a highway project amounts that cannot be used for operating expenses authorized under 49 U.S.C. § 5311(c)(2) (Appalachian Development Public Transportation Assistance Program), the applicant certifies that—
  - (1) It has approved the use in writing only after providing appropriate notice and an opportunity for comment and appeal to affected public transportation providers; and
  - (2) It has determined that otherwise eligible local transit needs are being addressed.

**CATEGORY 10. FIXED GUIDEWAY CAPITAL INVESTMENT GRANTS AND THE EXPEDITED PROJECT DELIVERY FOR CAPITAL INVESTMENT GRANTS PILOT PROGRAM.**

*If the applicant will apply for an award under any subsection of the Fixed Guideway Capital Investment Program (49 U.S.C. § 5309), including an award made pursuant to the FAST Act's Expedited Project Delivery for Capital Investment Grants Pilot Program (Pub. L. 114-94, div. A, title III, § 3005(b)), the applicant must make the following certification. This certification is required by 49 U.S.C. § 5309(c)(2) and Pub. L. 114-94, div. A, title III, § 3005(b)(3)(B).*

The applicant certifies that it:

- (a) Has or will have the legal, financial, and technical capacity to carry out its Award, including the safety and security aspects of that Award,
- (b) Has or will have satisfactory continuing control over the use of equipment and facilities acquired or improved under its Award.
- (c) Will maintain equipment and facilities acquired or improved under its Award in accordance with its transit asset management plan; and
- (d) Will comply with 49 U.S.C. §§ 5303 (metropolitan transportation planning) and 5304 (statewide and nonmetropolitan transportation planning).

**CATEGORY 11. GRANTS FOR BUSES AND BUS FACILITIES AND LOW OR NO EMISSION VEHICLE DEPLOYMENT GRANT PROGRAMS.**

*If the applicant is in an urbanized area and will apply for an award under subsection (a) (formula grants), subsection (b) (buses and bus facilities competitive grants), or subsection (c) (low or no emissions grants) of the Grants for Buses and Bus Facilities Program (49 U.S.C. § 5339), the applicant must make the certification in Category 8 for Urbanized Area Formula*

*Grants (49 U.S.C. § 5307). This certification is required by 49 U.S.C. § 5339(a)(3), (b)(6), and (c)(3), respectively.*

*If the applicant is in a rural area and will apply for an award under subsection (a) (formula grants), subsection (b) (bus and bus facilities competitive grants), or subsection (c) (low or no emissions grants) of the Grants for Buses and Bus Facilities Program (49 U.S.C. § 5339), the applicant must make the certification in Category 9 for Formula Grants for Rural Areas (49 U.S.C. § 5311). This certification is required by 49 U.S.C. § 5339(a)(3), (b)(6), and (c)(3), respectively.*

*Making this certification will incorporate by reference the applicable certifications in Category 8 or Category 9.*

*If the applicant will receive a competitive award under subsection (b) (buses and bus facilities competitive grants), or subsection (c) (low or no emissions grants) of the Grants for Buses and Bus Facilities Program (49 U.S.C. § 5339) related to zero emissions vehicles or related infrastructure, it must make the following certification. This certification is required by 49 U.S.C. § 5339(d).*

The applicant will use 5 percent of grants related to zero emissions vehicles (as defined in subsection (c)(1)) or related infrastructure under subsection (b) or (c) to fund workforce development training as described in section 49 U.S.C. § 5314(b)(2) (including registered apprenticeships and other labor-management training programs) under the recipient's plan to address the impact of the transition to zero emission vehicles on the applicant's current workforce; or the applicant certifies a smaller percentage is necessary to carry out that plan.

#### **CATEGORY 12. ENHANCED MOBILITY OF SENIORS AND INDIVIDUALS WITH DISABILITIES PROGRAMS.**

*If the applicant will apply for an award under the Formula Grants for the Enhanced Mobility of Seniors and Individuals with Disabilities Program (49 U.S.C. § 5310), it must make the certification in Category 8 for Urbanized Area Formula Grants (49 U.S.C. § 5307). This certification is required by 49 U.S.C. § 5310(e)(1). Making this certification will incorporate by reference the certification in Category 8, except that FTA has determined that (d), (f), (i), (j), and (k) of Category 8 do not apply to awards made under 49 U.S.C. § 5310 and will not be enforced.*

*In addition to the certification in Category 8, the applicant must make the following certification that is specific to the Formula Grants for the Enhanced Mobility of Seniors and Individuals with Disabilities Program. This certification is required by 49 U.S.C. § 5310(e)(2).*

The applicant certifies that:

- (a) The projects selected by the applicant are included in a locally developed, coordinated public transit-human services transportation plan;
- (b) The plan described in clause (a) was developed and approved through a process that included participation by seniors, individuals with disabilities, representatives of public, private, and nonprofit transportation and human services providers, and other members of the public;
- (c) To the maximum extent feasible, the services funded under 49 U.S.C. § 5310 will be coordinated with transportation services assisted by other Federal departments and agencies, including any transportation activities carried out by a recipient of a grant from the Department of Health and Human Services; and
- (d) If the applicant will allocate funds received under 49 U.S.C. § 5310 to subrecipients, it will do so on a fair and equitable basis.

### **CATEGORY 13. STATE OF GOOD REPAIR GRANTS.**

*If the applicant will apply for an award under FTA's State of Good Repair Grants Program (49 U.S.C. § 5337), it must make the following certification. Because FTA generally does not review the transit asset management plans of public transportation providers, the asset management certification is necessary to enforce the provisions of 49 U.S.C. § 5337(a)(4). The certification with regard to acquiring restricted rail rolling stock is required by 49 U.S.C. § 5323(u)(4). Note that this certification is not limited to the use of Federal funds.*

The applicant certifies that the projects it will carry out using assistance authorized by the State of Good Repair Grants Program, 49 U.S.C. § 5337, are aligned with the applicant's most recent transit asset management plan and are identified in the investment and prioritization section of such plan, consistent with the requirements of 49 CFR Part 625.

If the applicant operates a rail fixed guideway service, the applicant certifies that, in the fiscal year for which an award is available to the applicant under the State of Good Repair Grants Program, 49 U.S.C. § 5337, the applicant will not award any contract or subcontract for the procurement of rail rolling stock for use in public transportation with a rail rolling stock manufacturer described in 49 U.S.C. § 5323(u)(1).

### **CATEGORY 14. INFRASTRUCTURE FINANCE PROGRAMS.**

*If the applicant will apply for an award for a project that will include assistance under the Transportation Infrastructure Finance and Innovation Act ("TIFIA") Program (23 U.S.C. §§ 601–609) or the State Infrastructure Banks ("SIB") Program (23 U.S.C. § 610), it must make the certifications in Category 8 for the Urbanized Area Formula Grants Program, Category 10 for the Fixed Guideway Capital Investment Grants program, and Category 13 for the State of Good Repair Grants program. These certifications are required by 49 U.S.C. § 5323(o).*

*Making this certification will incorporate the certifications in Categories 8, 10, and 13 by reference.*

#### **CATEGORY 15. ALCOHOL AND CONTROLLED SUBSTANCES TESTING.**

*If the applicant will apply for an award under FTA's Urbanized Area Formula Grants Program (49 U.S.C. § 5307), Fixed Guideway Capital Investment Program (49 U.S.C. § 5309), Formula Grants for Rural Areas Program (49 U.S.C. § 5311), or Grants for Buses and Bus Facilities Program (49 U.S.C. § 5339) programs, the applicant must make the following certification. The applicant must make this certification on its own behalf and on behalf of its subrecipients and contractors. This certification is required by 49 CFR § 655.83.*

The applicant certifies that it, its subrecipients, and its contractors are compliant with FTA's regulation for the Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations, 49 CFR Part 655.

#### **CATEGORY 16. RAIL SAFETY TRAINING AND OVERSIGHT.**

*If the applicant is a State with at least one rail fixed guideway system, or is a State Safety Oversight Agency, or operates a rail fixed guideway system, it must make the following certification. The elements of this certification are required by 49 CFR §§ 672.31 and 674.39.*

The applicant certifies that the rail fixed guideway public transportation system and the State Safety Oversight Agency for the State are:

- (a) Compliant with the requirements of 49 CFR Part 672, "Public Transportation Safety Certification Training Program"; and
- (b) Compliant with the requirements of 49 CFR Part 674, "State Safety Oversight".

#### **CATEGORY 17. DEMAND RESPONSIVE SERVICE.**

*If the applicant operates demand responsive service and will apply for an award to purchase a non-rail vehicle that is not accessible within the meaning of 49 CFR Part 37, it must make the following certification. This certification is required by 49 CFR § 37.77.*

The applicant certifies that the service it provides to individuals with disabilities is equivalent to that provided to other persons. A demand responsive system, when viewed in its entirety, is deemed to provide equivalent service if the service available to individuals with disabilities, including individuals who use wheelchairs, is provided in the most integrated setting appropriate to the needs of the individual and is equivalent to the service provided other individuals with respect to the following service characteristics:

- (a) Response time;



- (b) Fares;
- (c) Geographic area of service;
- (d) Hours and days of service;
- (e) Restrictions or priorities based on trip purpose;
- (f) Availability of information and reservation capability; and
- (g) Any constraints on capacity or service availability.

#### **CATEGORY 18. INTEREST AND FINANCING COSTS.**

*If the applicant will pay for interest or other financing costs of a project using assistance awarded under the Urbanized Area Formula Grants Program (49 U.S.C. § 5307), the Fixed Guideway Capital Investment Grants Program (49 U.S.C. § 5309), or any program that must comply with the requirements of 49 U.S.C. § 5307, including the Formula Grants for the Enhanced Mobility of Seniors Program (49 U.S.C. § 5310), “flex funds” from infrastructure programs administered by the Federal Highways Administration (see 49 U.S.C. § 5334(i)), or awards to urbanized areas under the Grants for Buses and Bus Facilities Program (49 U.S.C. § 5339), the applicant must make the following certification. This certification is required by 49 U.S.C. §§ 5307(e)(3) and 5309(k)(2)(D).*

The applicant certifies that:

- (a) Its application includes the cost of interest earned and payable on bonds issued by the applicant only to the extent proceeds of the bonds were or will be expended in carrying out the project identified in its application; and
- (b) The applicant has shown or will show reasonable diligence in seeking the most favorable financing terms available to the project at the time of borrowing.

#### **CATEGORY 19. CYBERSECURITY CERTIFICATION FOR RAIL ROLLING STOCK AND OPERATIONS.**

*If the applicant operates a rail fixed guideway public transportation system, it must make this certification. This certification is required by 49 U.S.C. § 5323(v), a new subsection added by the National Defense Authorization Act for Fiscal Year 2020, Pub. L. 116-92, § 7613 (Dec. 20, 2019). For information about standards or practices that may apply to a rail fixed guideway public transportation system, visit <https://www.nist.gov/cyberframework> and <https://www.cisa.gov/>.*

The applicant certifies that it has established a process to develop, maintain, and execute a written plan for identifying and reducing cybersecurity risks that complies with the requirements of 49 U.S.C. § 5323(v)(2).

**CATEGORY 20. PUBLIC TRANSPORTATION ON INDIAN RESERVATIONS  
FORMULA AND DISCRETIONARY PROGRAM (TRIBAL TRANSIT  
PROGRAMS).**

*Before FTA may provide Federal assistance for an Award financed under either the Public Transportation on Indian Reservations Formula or Discretionary Program authorized under 49 U.S.C. § 5311(c)(1), as amended by the FAST Act, (Tribal Transit Programs), the applicant must select the Certifications in Category 21, except as FTA determines otherwise in writing. Tribal Transit Program applicants may certify to this Category and Category 1 (Certifications and Assurances Required of Every Applicant) and need not make any other certification, to meet Tribal Transit Program certification requirements. If an applicant will apply for any program in addition to the Tribal Transit Program, additional certifications may be required.*

FTA has established terms and conditions for Tribal Transit Program grants financed with Federal assistance appropriated or made available under 49 U.S.C. § 5311(c)(1). The applicant certifies that:

- (a) It has or will have the legal, financial, and technical capacity to carry out its Award, including the safety and security aspects of that Award.
- (b) It has or will have satisfactory continuing control over the use of its equipment and facilities acquired or improved under its Award.
- (c) It will maintain its equipment and facilities acquired or improved under its Award, in accordance with its transit asset management plan and consistent with FTA regulations, “Transit Asset Management,” 49 CFR Part 625. Its Award will achieve maximum feasible coordination with transportation service financed by other federal sources.
- (d) With respect to its procurement system:
  - (1) It will have a procurement system that complies with U.S. DOT regulations, “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards,” 2 CFR Part 1201, which incorporates by reference U.S. OMB regulatory guidance, “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards,” 2 CFR Part 200, for Awards made on or after December 26, 2014,
  - (2) It will have a procurement system that complies with U.S. DOT regulations, “Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments,” 49 CFR Part 18, specifically former 49 CFR § 18.36, for Awards made before December 26, 2014, or
  - (3) It will inform FTA promptly if its procurement system does not comply with either of those U.S. DOT regulations.
- (e) It will comply with the Certifications, Assurances, and Agreements in:
  - (1) Category 05.1 and 05.2 (Charter Service Agreement and School Bus Agreement),
  - (2) Category 06 (Transit Asset Management Plan),

- (3) Category 07.1 and 07.2 (Rolling Stock Buy America Reviews and Bus Testing),
- (4) Category 09 (Formula Grants for Rural Areas),
- (5) Category 15 (Alcohol and Controlled Substances Testing), and
- (6) Category 17 (Demand Responsive Service).

**CATEGORY 21. EMERGENCY RELIEF PROGRAM.**

*An applicant to the Public Transportation Emergency Relief Program, 49 U.S.C. § 5324, must make the following certification. The certification is required by 49 U.S.C. § 5324(f) and must be made before the applicant can receive a grant under the Emergency Relief program.*

The applicant certifies that the applicant has insurance required under State law for all structures related to the emergency relief program grant application.

**FEDERAL FISCAL YEAR 2023 CERTIFICATIONS AND ASSURANCES FOR FTA ASSISTANCE PROGRAMS**

(Signature pages alternate to providing Certifications and Assurances in TrAMS.)

Name of Applicant: Lassen County Transportation Commission

The Applicant certifies to the applicable provisions of all categories: (*check here*) X.

*Or,*

The Applicant certifies to the applicable provisions of the categories it has selected:

<b>Category</b>	<b>Certification</b>
01 Certifications and Assurances Required of Every Applicant	_____
02 Public Transportation Agency Safety Plans	_____
03 Tax Liability and Felony Convictions	_____
04 Lobbying	_____
05 Private Sector Protections	_____
06 Transit Asset Management Plan	_____
07 Rolling Stock Buy America Reviews and Bus Testing	_____
08 Urbanized Area Formula Grants Program	_____
09 Formula Grants for Rural Areas	_____
10 Fixed Guideway Capital Investment Grants and the Expedited Project Delivery for Capital Investment Grants Pilot Program	_____
11 Grants for Buses and Bus Facilities and Low or No Emission Vehicle Deployment Grant Programs	_____

12 Enhanced Mobility of Seniors and Individuals with Disabilities Programs

\_\_\_\_\_  
\_\_\_\_\_

13 State of Good Repair Grants

\_\_\_\_\_

14 Infrastructure Finance Programs

\_\_\_\_\_

15 Alcohol and Controlled Substances Testing

\_\_\_\_\_

16 Rail Safety Training and Oversight

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17 Demand Responsive Service

\_\_\_\_\_

18 Interest and Financing Costs

\_\_\_\_\_

19 Cybersecurity Certification for Rail Rolling Stock and Operations

\_\_\_\_\_

20 Tribal Transit Programs

\_\_\_\_\_

21 Emergency Relief Program

\_\_\_\_\_

**CERTIFICATIONS AND ASSURANCES SIGNATURE PAGE**

**AFFIRMATION OF APPLICANT**

Name of the Applicant: Lassen County Transportation Commission

BY SIGNING BELOW, on behalf of the Applicant, I declare that it has duly authorized me to make these Certifications and Assurances and bind its compliance. Thus, it agrees to comply with all federal laws, regulations, and requirements, follow applicable federal guidance, and comply with the Certifications and Assurances as indicated on the foregoing page applicable to each application its Authorized Representative makes to the Federal Transit Administration (FTA) in the federal fiscal year, irrespective of whether the individual that acted on his or her Applicant’s behalf continues to represent it.

The Certifications and Assurances the Applicant selects apply to each Award for which it now seeks, or may later seek federal assistance to be awarded by FTA during the federal fiscal year.

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

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

Signature  Date: May 8, 2023

Name John L. Clerici Authorized Representative of Applicant

**AFFIRMATION OF APPLICANT’S ATTORNEY**

For (Name of Applicant): \_\_\_\_\_

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

I further affirm that, to the best of my knowledge, there is no legislation or litigation pending or imminent that might adversely affect the validity of these Certifications and Assurances, or of the performance of its FTA assisted Award.

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

Name \_\_\_\_\_ Attorney for Applicant

*Each Applicant for federal assistance to be awarded by FTA must provide an Affirmation of Applicant’s Attorney pertaining to the Applicant’s legal capacity. The Applicant may enter its electronic signature in lieu of the Attorney’s signature within TrAMS, provided the Applicant has on file and uploaded to TrAMS this hard-copy Affirmation, signed by the attorney and dated this federal fiscal year.*

# **Attachment C**

## **FY 2023/2024 FHWA and FTA State and Metropolitan Transportation Planning Process Self Certification**

# FY 2023/2024 FHWA RTPA Metropolitan Transportation Planning Process Self-Certification

In accordance with 23 CFR part 450, the California Department of Transportation and Lassen County Transportation Commission, Regional Transportation Planning Agency, hereby certify that the transportation planning process is being carried out in accordance with all applicable requirements including:

- 1) 23 U.S.C. 134, 49 U.S.C. 5303, and subpart C of 23 CFR part 450;
- 2) In nonattainment and maintenance areas, sections 174 and 176(c) and (d) of the Clean Air Act, as amended (42 U.S.C. 7504, 7506(c) and (d)) and 40 CFR part 93;
- 3) Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. 2000d-1) and 49 CFR part 21;
- 4) 49 U.S.C. 5332, prohibiting discrimination on the basis of race, color, creed, national origin, sex, or age in employment or business opportunity;
- 5) Section 1101(b) of the FAST Act (Pub. L. 114-94) and 49 CFR part 26 regarding the involvement of disadvantaged business enterprises in USDOT funded projects;
- 6) 23 CFR part 230, regarding the implementation of an equal employment opportunity program on Federal and Federal-aid highway construction contracts;
- 7) The provisions of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.) and 49 CFR parts 27, 37, and 38;
- 8) The Older Americans Act, as amended (42 U.S.C. 6101), prohibiting discrimination on the basis of age in programs or activities receiving Federal financial assistance;
- 9) Section 324 of title 23 U.S.C. regarding the prohibition of discrimination based on gender; and
- 10) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794) and 49 CFR part 27 regarding discrimination against individuals with disabilities.



\_\_\_\_\_  
RTPA Authorizing Signature

\_\_\_\_\_  
Executive Secretary

\_\_\_\_\_  
Title

\_\_\_\_\_  
May 8, 2023

\_\_\_\_\_  
Date

\_\_\_\_\_  
Caltrans District Approval Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date