



TRANSPORTATION DEVELOPMENT ACT GUIDELINES

ADOPTED APRIL 5, 2018

El Dorado County Transportation Commission
2828 Easy Street, Suite 1
Placerville, CA 95667

TABLE OF CONTENTS

INTRODUCTION	1
1.1 LOCAL TRANSPORTATION FUND	1
Origin of LTF Funds.....	1
Distribution of LTF Funds.....	1
LTF Apportionment.....	2
2.1 STATE TRANSIT ASSISTANCE	2
Background.....	2
Origin of STA Funds.....	2
Distribution of STA Funds.....	2
STA Allocation.....	2
STA for Transit Operations.....	2
3.1 STATE OF GOOD REPAIR (SGR)	2
Background.....	2
Program Roles and Responsibilities.....	3
4.1 UNMET TRANSIT NEEDS PROCESS	3
Background.....	4
Significance of Unmet Transit Needs Process.....	4
Unmet Transit Need.....	4
Reasonable to Meet.....	4
5.1 SOCIAL SERVICES TRANSPORTATION ADVISORY COUNCIL	4
Function of SSTAC.....	5
Membership of SSTAC.....	5
6.1 CLAIM INSTRUCTIONS	5
LOCAL TRANSPORTATION FUND CLAIMS	5
Allowable Uses of LTF Funds.....	6
Funding Priorities.....	6
Eligible LTF Claimants.....	6
STATE TRANSIT ASSISTANCE CLAIMS	6
Eligible Uses of STA Funds.....	6
Funding Priorities.....	6
Eligible Claimants of STA Funds.....	6
7.1 REGULATIONS FOR SUBMITTAL OF LTF AND STA CLAIMS	6
Claim Procedure.....	6
Amendment of Claims.....	7
Payment of Claims.....	7
Carryover of TDA Funds.....	7
Separate Accounting of Operating and Capital Revenue.....	7
LTF Claims for Transit Capital Projects.....	7
LTF Claims for Bicycle and Pedestrian Facilities.....	8
Unallocated Apportionments.....	8
APPENDIX A TDA CLAIM	9
APPENDIX B SGR CLAIM	19

TRANSPORTATION DEVELOPMENT ACT: AN OVERVIEW

INTRODUCTION

The Transportation Development Act of 1971 (TDA)*, also known as SB 325, is administered by the California Department of Transportation (Caltrans) through the county's designated Regional Transportation Planning Agency (RTPA). The El Dorado County Transportation Commission (EDCTC) is the RTPA for the West Slope of El Dorado County. The Act provides two major sources for funding of public transportation in California. The first, the county Local Transportation Fund (LTF), was established in 1972, while the State Transit Assistance (STA) fund was implemented in 1980. The intent of the legislation is to provide a stable source of funding to meet the area's transit needs.

1.1 LOCAL TRANSPORTATION FUND

Origin of LTF funds

The TDA creates a Local Transportation Fund (LTF) in each county for the transportation purposes specified in the Act. Revenues to the LTF are derived from ¼ cent of the general sales tax collected statewide. The ¼ cent is returned by the State Board of Equalization to each county in accordance with the amount of sales tax collected in that county.

Distribution of LTF Funds

Under the Act, the LTF must be apportioned to jurisdictions based on population. However, the Act provides EDCTC with some choices in allocating revenues to the County before apportionment to the jurisdictions. These are known as "off the top" allocations. EDCTC currently makes "off the top" allocations to the County Auditor-Controller for their fund accounting services and to EDCTC for TDA administration. At the option of the Board, up to 2% of the LTF is allocated for pedestrian and bicycle facilities. Eligible claimants are the City and County.

In El Dorado County, the LTF Apportionment is first split between the Tahoe Regional Planning Agency and EDCTC proportional to the population in each jurisdiction. Based on TDA statute, TDA funds are apportioned in the following order.

1. Auditor-TDA Administration
2. EDCTC-TDA Administration
3. EDCTC-Planning & Programming
4. Pedestrian and Bicycle Facilities
5. SACOG Contribution
6. El Dorado County Transit Authority Operations
7. County and City distributed by population (if Article 8 Funds Remaining)

Funding from the LTF can be described as a three-step process: (1) apportionment, (2) allocation, and (3) payment. Apportionment is the required division of available funds by population to jurisdictions within the County. Once funds are apportioned to a given jurisdiction, they are available only for allocation to claimants for that jurisdiction. Allocation is the discretionary action of the EDCTC Board designating funds for a specific claimant for a specific purpose. It is the responsibility of EDCTC to ensure that the claims and claimants are in conformance with the requirements of the Act. Payments from the LTF are made by the County Auditor-Controller, in accordance with the written allocation instructions issued by EDCTC in compliance with the Act.

* For the specifics of the Act, reference should be made to Transportation Development Act Statutes and California Code of Regulations for April 2013. Section numbers refer to the Public Utilities Code (Division 10, Part 11, Chapter 4, Articles 1-8) and the California Code of Regulations (Title 21, Chapter 3, Articles 1-7) which are found in the above document.

LTF Apportionment

By February 1 of each year, the County Auditor-Controller furnishes a preliminary estimate of the LTF for the next fiscal year. This estimate is based on actual funds received in previous years and current economic conditions. Based on this fund estimate, EDCTC estimates the allocations to jurisdictions based on current population figures provided by the California Department of Finance. This estimate of each jurisdiction's apportionment is forwarded to the administration staff of each jurisdiction. The Finding of Apportionment for the coming fiscal year is adopted by the EDCTC Board prior to the beginning of that fiscal year. The Finding of Apportionment is amended again in March or April of the apportionment year to account for the El Dorado County Transit Authority's (EDCTA) deferred balance from the previous year per the fiscal audit.

2.1 STATE TRANSIT ASSISTANCE***Background***

The State Transit Assistance (STA) program was created under Chapter 161 of the Statutes of 1979 (SB 620). The program provides a second source of Transportation Development Act (TDA) funding for public transportation services, including community transit services. Unlike LTF, STA funds may not be allocated for fund administration, streets, roads, or pedestrian/bicycle facility purposes.

Origin of STA Funds

STA funds are derived from the statewide sales tax on diesel fuel. The state legislature approves the amount of these funds allocated to the State Transit Assistance program as part of the annual state budget process.

Distribution of STA Funds

These funds are allocated by formula to regional transportation planning agencies by the State Controller. The formula allocates 50% of the funds on the basis of the proportion of state population residing in that region, and the remaining 50% is allocated according to the prior-year proportion of regional transit operator revenues compared with statewide transit operator revenues.

STA Allocation

Every spring, the State Controller's office estimates the allocation of each jurisdiction within the EDCTC area based on the recommended STA funding levels and the distribution formula described above. The State Controller then transmits these figures to EDCTC for adoption. Once adopted, these apportionments are distributed to EDCTA. Because the state legislature annually approves the allocation of funds to the STA program as part of the budgetary process, the final amount of the STA funds available is not finalized until the state budget is adopted. The legislature has the discretion to eliminate, redistribute, or reduce the funding levels recommended by the State Controller. The Finding of Apportionment is amended again in August following the close of the fiscal year to account for the actual STA balance received the previous year.

STA for Transit Operations

Legislation passed in 1990 requires that all transit operators using STA funds for operating purposes must annually meet either one of the following efficiency standards: in the past year, total operating cost per revenue vehicle hour has not increased more than the rate of increase in the Consumer Price Index (CPI); or, total operating cost per revenue vehicle hour has not increased more than the rate of increase in the CPI over the past three years. In addition, all STA claimants must meet the farebox recovery ratio requirement.

3.1 STATE OF GOOD REPAIR (SGR)***Background***

Senate Bill (SB) 1, the Road Repair and Accountability Act of 2017, was signed into law on April 28, 2017. SB1 includes a program that will provide additional revenues for transit infrastructure repair and

service improvements. This investment in public transit will be referred to as the State of Good Repair program. This program provides funding of approximately \$105 million annually to the State Transit Assistance (STA) Account. These funds are to be made available for eligible transit maintenance, rehabilitation and capital projects.

SB 1 emphasizes the importance of accountability and transparency in the delivery of California's transportation programs. Therefore, in order to be eligible for State of Good Repair funding, potential agencies must comply with various reporting requirements. The State of Good Repair Guidelines describes the general policies and procedures in carrying out the reporting requirements and other statutory objectives of the Road Repair and Accountability Act of 2017.

Program Roles and Responsibilities

El Dorado County Transportation Commission (EDCTC)

- Provide Caltrans an annual list of all projects proposed to be funded with SGR apportionment made available to the region per PUC 99313. This list should include all proposed sub-allocations.
- Receive and allocate SGR funds to projects in their region based on their local needs (PUC 99313).
- Receive and sub-allocate SGR funds to the transit operators under their jurisdiction based on the amounts published by the SCO (PUC 99314).
- Ensure funds are expended on SGR eligible activities.
- Comply with all relevant federal and State laws, regulations, and funding policies.

El Dorado County Transit Authority

- Provide EDCTC the proposed annual list of projects to be funded with SGR apportionment made available to the operator per PUC 99314 and/or on a regional basis per PUC 99313.
- Ensure funds are expended on SGR eligible activities.
- Submit to Caltrans all pertinent information on projects and expenditures each fiscal year.
- Comply with all relevant federal and State laws, regulations, guidelines, and funding policies.

As the County Transportation Commission, EDCTC is the Eligible Recipient responsible for sub-allocations to EDCTA and submitting annual project lists. EDCTA is responsible for submitting annual project information and expenditures to Caltrans.

After receiving the list of Eligible Recipients with approved projects from Caltrans, the SCO will apply the formula pursuant to PUC sections 99313 and 99314 including only those Eligible Recipients. The SCO will issue and release payments to the eligible recipient's County Treasurer's Office on a quarterly basis. Each regional agency is expected to sub-allocate the funding pursuant to PUC 99314 to the applicable transit operator according to the amounts provided by the Controller. Upon the receipt of funds, Eligible Recipients should deposit their SGR funds into a bank account dedicated only to SGR funds for transparency of fund receipt. If a separate account is not possible, the agency must show documents or a subaccount dedicated to SGR funds. Agencies will be asked to report the amount of accrued interest on allocated SGR funds. Interest can only be used on approved SGR projects.

4.1 UNMET TRANSIT NEEDS PROCESS

Background

The Unmet Transit Needs process must be completed on an annual basis before EDCTC, as the administrator of the TDA funds, can approve a claim for the funding of streets and roads projects under Article 8 of the Public Utilities Code. The past several years, EDCTA has claimed all available Article 4 funds leaving no Article 8 funds available. A Public Hearing for Transit has been held each year in lieu of the Unmet Transit Needs process because there has been no funding for streets and roads. The Unmet Transit Needs process requires EDCTC to perform specific tasks, which are:

1. EDCTC must establish and consult with the Social Services Transportation Advisory Council.
2. EDCTC must perform an annual assessment of transportation needs within El Dorado County, including an assessment of the size and location of potentially transit dependent groups, analysis of the adequacy of existing transportation systems in providing service for those groups, and analysis of the potential for transit service to provide service that would meet the demand of those groups.
3. EDCTC must adopt a definition of "unmet transit need" and "reasonable to meet."
4. EDCTC must hold an annual Unmet Transit Needs hearing to solicit comments on unmet transit needs that may exist.
5. EDCTC must consider all the available information obtained in the above actions, and adopt an Unmet Transit Needs finding. This finding shall be one of the following:
 - There are no unmet transit needs
 - There are no unmet transit needs that are reasonable to meet
 - There are unmet transit needs including needs that are reasonable to meet

Significance of Unmet Transit Needs Process

Unless the Unmet Transit Needs process is completed, EDCTC cannot approve an LTF claim by any jurisdiction for streets and roads funding. Further, if the EDCTC Board adopts a finding that there are unmet transit needs including those which are reasonable to meet, then the unmet need must be funded. The funding to meet the unmet transit need must be reflected in the claimant's transit budget in order for any claim for streets and roads funding to be approved.

Unmet Transit Need

An unmet transit need is an expressed or identified need, which is not currently being met through the existing system of public transportation services. Unmet transit needs are also those needs required to comply with the requirements of the Americans with Disabilities Act.

Reasonable To Meet

Unmet transit needs may be found to be "reasonable to meet" if all of the following conditions prevail:

1. Service, which if implemented or funded, would result in the responsible service meeting the farebox recovery requirement specified in California Code of Regulations Sections 6633.2 and 6633.5, and Public Utilities Code 99268.2, 99268.3, 99268.4, and 99268.5.
2. Notwithstanding Criterion 1) above, an exemption to the required farebox recovery requirement is available to the claimant for extension of public transportation services, as defined by California Code of Regulations Section 6633.8, and Public Utilities Code 99268.8.
3. Service, which if implemented or funded, would not cause the responsible operator to incur expenditures in excess of the maximum amount of Local Transportation Funds, State Transit Assistance Funds, Federal Transit Administration Funds, and fare revenues and local support, as defined by Sections 6611.2 and 6611.3 of the California Administrative Code, which may be available to the claimant.
4. Community support exists for the public subsidy of transit services designed to address the unmet transit need, including but not limited to, support from community groups, community leaders, and community meetings reflecting a commitment to public transit.
5. The need should be in conformance with the goals included in the Regional Transportation Plan.
6. The need is consistent with the intent of the goals of the adopted Short and Long Range Transit Plan for the applicable jurisdiction.

5.1 SOCIAL SERVICES TRANSPORTATION ADVISORY COUNCIL

Function of SSTAC

The primary purpose of the Social Services Transportation Advisory Council (SSTAC) is to participate in the Unmet Transit Needs process and advise the EDCTC Board on Unmet Transit Needs findings. The Commission is required to consult with and consider the recommendation of the SSTAC before

making an annual Unmet Transit Needs finding. The SSTAC may also be asked to advise the Board on other major transit issues, especially regarding paratransit services.

Membership of SSTAC

EDCTC established the SSTAC in accordance with Section 99238 of the Public Utilities Code.

As required by law, the SSTAC membership must include:

- One representative of potential transit users who is age 60 years or older;
- One representative of potential transit users who is disabled;
- Two representatives of the local social service providers for seniors, including one representative of a social service transportation provider, if one exists;
- Two representatives of local social service providers for the disabled, including one representative of a social service transportation provider, if one exists;
- One representative of a local social service provider for persons of limited means;
- Two representatives from the local consolidated transportation service agency, including one representative from the operator, if one exists; and
- Additional members at the discretion of the transportation planning agency.

6.1 CLAIM INSTRUCTIONS

LOCAL TRANSPORTATION FUND CLAIMS

Allowable Uses of LTF Funds

The Public Utilities Code specifically outlines a hierarchy of purposes for which LTF funds may be used. For jurisdictions, the hierarchy is as follows:

1. Article 4 - Public Transportation [PUC Section 99260(a)-(c)] Expenditures allowable under this section as being for "all purposes necessary and convenient to the development and operation of the system." Specifically, such expenditures may include:
 - The support of public transportation systems [PUC Section 99260(a)]
 - Aid to public transportation research and demonstration projects [PUC Section 99260(b)]
 - Contributions for the construction of grade separation projects specified in PUC Section 99138.3 [PUC Section 99260(c)]

Payment for these purposes may take the form of direct expenditures or payment of principal and interest on bonds or other outstanding indebtedness incurred for these purposes.

The El Dorado County Transit Authority is an eligible claimant of funds provided through Article 4, Section 99260(a).

2. Article 8 - Other Claims for Funds [PUC Section 99400(a)-(e)] Eligible claimants are the City of Placerville, the County of El Dorado and the El Dorado County Transit Authority.

Expenditures under this section are for transportation purposes other than those allowable under Article 4 or 4.5. Examples of allowable expenditures include:

- Local streets and roads projects [PUC Section 99400(a)]
- Bicycle and pedestrian paths [PUC Section 99400(a)]
- Passenger rail service operations and capital improvements [PUC Section 99400(b)]
- Payment to any entity under contract with a city or county for public transportation services [PUC Section 99400(c)]
- Administrative and planning costs [PUC Section 99400(d)]
- Capital expenditures [PUC Section 99400(e)]

Funding Priorities

Funding of transit services is the primary purpose of the Local Transportation Fund. As stated in PUC Section 99233, funding for Article 4.5 purposes takes precedent over funding for Article 4 purposes, and Articles 4 and 4.5 purposes take precedent over funding for Article 8 purposes.

Eligible LTF Claimants

The eligible claimants are currently:

- El Dorado County Transit Authority
 - Article 4 and Article 8
- City of Placerville
 - Article 3 and Article 8
- El Dorado County
 - Article 3 and Article 8

STATE TRANSIT ASSISTANCE CLAIMS**Eligible Uses of STA Funds**

State Transit Assistance funds must be used for transit. The California Code of Regulations (CCR), which includes the rules and requirements of this program, outlines the types of transit expenditures applicable to the jurisdictions of El Dorado County that are allowable. These include:

1. Transit Operations [CCR Section 6730(a)] EDCTA is the only eligible claimant for funding under this section.
2. Transit Capital [CCR Section 6730(b)] EDCTA capital replacement programs are currently eligible for funding under this section.

Other allowable purposes, such as rail subsidies, are not applicable to current programs.

Funding Priorities

There are no prescribed priorities for STA funds. Transit operations and capital replacement are equally eligible for funding.

Eligible Claimants of STA Funds

Per the Joint Powers Agreement between the County of El Dorado and the City of Placerville, EDCTA is the only transit operator for the west slope of El Dorado County. Currently El Dorado County Transit Authority is the only eligible claimant of STA funds.

7.1 REGULATIONS FOR SUBMITTAL OF LTF AND STA CLAIMS**Claim Procedure**

In order to receive the annual allocation of LTF and STA funds, jurisdictions must submit a claim. The key parts of the claim are the amount of funding requested and the purpose for which the funds will be used. EDCTC requires this information in order to ensure that jurisdictions are in compliance with the requirements of the Act. EDCTC Board meetings are typically held on the first Thursday of every month. In order to make the agenda deadline, claims should be submitted three weeks prior to the Board meeting. Monthly meeting dates are subject to change. Appendix A includes the forms which must be completed and submitted to obtain TDA (both LTF and STA) funds.

A completed claim package includes the following:

- Completed forms:
- TDA Compliance Checklist
- TDA Claim Worksheet
- Claim For Local Transportation Funds and State Transit Assistance Funds
- Claim For Local Transportation Funds – Pedestrian and Bicycle Funds
- Claim For Local Transportation Funds - Streets and Roads

- TDA Annual Project and Financial Plan
- Certified copy of resolution from the claimant's governing board approving the claim and its submittal to EDCTC. The resolution must include the amount claimed, the fiscal year for which funds are claimed, and the purpose for which the claim is made, identified by the article and section of the Act which authorizes such claims.
- If claiming Article 8c funds, copy of signed contract with whom claimant is contracting for transit service.

Amendment of Claims

Any claimant may submit a LTF or STA claim at any time during the year. For amendments to claims, the same materials for the submittal of the original claim forms should be submitted with an explanation of specific amendments.

Payment of Claims

TDA claims submitted to EDCTC are reviewed by EDCTC staff. If all claim information is in order, EDCTC staff will place the claim on the next possible EDCTC monthly agenda for approval by the EDCTC Board.

After formal approval, EDCTC staff prepares allocation instructions and submits them to the County Auditor's office. The allocation instructions direct the Auditor's office to issue payment to the appropriate claimant for the requested purposes. Payment is made by the County Auditor to the claimants monthly, as the sales tax revenues are received from the Board of Equalization. Pedestrian and Bicycle funds are paid on a reimbursement basis after the claim with eligible expenditures is approved.

State Transit Assistance (STA) claims will be paid quarterly to EDCTA as the funds are received from the State Controller's Office.

Carryover of TDA funds

The annual fiscal audit for EDCTA will include the calculation of the unearned revenue for the prior year. This amount will be added to the current year apportionment and EDCTA will submit a revised claim to reclaim the deferred revenue in the current year.

Separate Accounting of Operating and Capital Revenue

TDA funds received should be tracked separately by the purpose for which they are claimed. Any payments made to the jurisdiction for transit operations must be kept separate from payments made for transit capital. Similarly, money received for streets and roads projects or pedestrian and bicycle projects should be tracked separately. The primary reason relates to the deferred revenue calculation. This procedure can be ensured by properly completing the Annual Project and Financial Plan with each claim. This will show the fiscal auditors the source and amount programmed to each project for which TDA funds are allocated.

LTF Claims for Transit Capital Projects

When a claim is submitted for capital reserves or capital expenses, EDCTC will specify that these funds be reserved in the LTF for future payment to the claimant for the specific capital project for which the funds were claimed. When the claimant is ready to spend any amount of reserved capital funds within the current fiscal year, prompt payment will be made to the claimant when EDCTC receives written request (letter or email) from the claimant for use of the funds.

Capital project reserves in the LTF that are not authorized for payment within three years, including any interest earned on these funds, will cease to be allocated or reserved. These funds may be reallocated to the same claimant for the same purpose, to the same claimant for a different purpose, or to a different claimant. At least 30 days before the end of any three-year reserve period, EDCTC will provide

written notice to the claimant specifying the date on which the moneys cease to be allocated. At any time during the three-year period, EDCTC, with the consent of the claimant, may change the allocation of the reserved funds to make them available for a different purpose.

LTF Claims for Bicycle and Pedestrian Facilities

At the discretion of the Board, EDCTC typically allocates 2% of the LTF for pedestrian and bicycle facilities pursuant to PUC Section 99233.3 and CCR Section 6655.2. Allocations are made based on need for matching funds on pedestrian and bicycle facility grant applications.

Using the TDA Claim in Appendix A for pedestrian and bicycle funds, jurisdictions may submit claims for projects that have been approved by an EDCTC resolution. The claim form must be accompanied by a resolution from the claimant's governing board approving the claim and its submittal to EDCTC. As the jurisdiction expends funds in implementing the projects, it should submit invoices, accompanied with appropriate documentation, to EDCTC. EDCTC will then forward allocation instructions to the County Auditor's office, which will reimburse the jurisdiction up to the maximum amount of the original allocation. If a jurisdiction does not claim its allocation of pedestrian and bicycle funds within three years, the funds will revert to the LTF for apportionment.

Unallocated Apportionments

EDCTC may allocate less than the total amount apportioned to a jurisdiction. A jurisdiction may end up with an unallocated apportionment under the following scenarios:

- The claimant has not met the required farebox recovery ratio for two consecutive years.
- The claimant did not spend its total LTF or STA fund payments from the previous year and has accumulated a local fund balance.
- The jurisdictions did not file a claim, or the claim did not meet all requirements.
- The jurisdiction did not claim its entire apportionment.
- EDCTC must hold the unallocated apportionment in the LTF for future allocation to that jurisdiction. It cannot be reapportioned to another jurisdiction.

**APPENDIX A
TDA CLAIM**



2828 Easy Street Suite 1 | Placerville CA 95667 | tel: 530.642.5260 | fax: 530.642.5266 | www.edctc.org

**TRANSPORTATION DEVELOPMENT ACT
CLAIM PACKET**

<p>TRANSPORTATION DEVELOPMENT ACT CLAIM CHECKLIST</p>
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Please check the following items as included with the attached TDA claim package:

ITEM	CLAIMANT	ATTACHED	ON FILE
TDA - 1: Annual Transportation Development Act Claim	All claimants		N/A
TDA - 2: Project and Expenditure Plan (for the fiscal year of the claim)	All claimants		N/A
TDA - 3: Status of Previously Approved Projects (Operating and capital)	All claimants		N/A
TDA - 4: Statement of Conformance	All claimants		N/A
TDA - 5: TDA Claim Certification	All claimants		N/A
TDA - 6: Standard Assurances	All claimants		N/A
Resolution by governing body that authorizes filing of claim	All claimants		N/A
CHP Safety Compliance Report (completed within past 13 months)	Claimants for transit service		
Statement of projected or estimated revenues and expenditures for the prior fiscal year	Claimants for transit service		
Adopted or proposed budget for the fiscal year of claim and the prior fiscal year	Claimants for transit service		
Signed copy of transit service contract	Claimants for transit service		
Area-wide transfer agreement, resolution	Claimants that allow intersystem transfers		
Information establishing eligibility under efficiency criteria	Claimants for revenue-based STA funds		
Certification that claim is consistent with Capital Improvement Program	Claimants for bike/pedestrian facilities		
Compliance with PUC Sections 99155 and 99155.5	Claimants for transit service		
STA Operator Qualifying Criteria calculation based on Section 99314.6	Claimants for transit service		

**TDA – 1
TRANSPORTATION DEVELOPMENT ACT CLAIM**

To: El Dorado County Transportation Commission
2828 Easy Street, Suite 1
Placerville, California 95667-3907
Attn: Administrative Services Officer

From: Claimant _____
Address _____

Contact _____
Phone _____

The above claimant hereby requests, in accordance with authority granted under the Transportation Development Act and applicable rules and regulations adopted by the El Dorado County Transportation Commission, that its request for funding be approved as follows:

Local Transportation Fund/State Transit Assistance Fund:

LTF or STA	Amount	Fiscal Year

Submitted by: _____

Title: _____

Date: _____

EDCTC Date of Approval: _____

EDCTC Resolution #: _____

**TDA – 2
ANNUAL PROJECT AND EXPENDITURE PLAN**

Claimant:		Fiscal Period:		
Project Title & TDA Article Number	SOURCES OF FUNDING			
	TDA/LTF	Transit Fares	Other	TOTAL
TOTAL REQUEST	\$	\$	\$	\$

**TDA – 3
STATUS OF PREVIOUSLY APPROVED PROJECTS**

INSTRUCTIONS

Describe the status of all prior fiscal year TDA claim projects and any projects from previous years that are still active, as follows:

- Include both operating and capital projects.
- Approved amounts should be as specified in TDA claims approved by EDCTC.
- Expenditures should be to date.
- Projects status should be "Completed" or "Active".

Fiscal Year	Project Title	Amount Approved	Expenditure	Project Status
		LTF	LTF	
TOTAL		\$	\$	\$

TDA – 4 STATEMENT OF CONFORMANCE

Form TDA – 4 must be completed and signed by the Fiscal Officer of the submitting claimant.

The _____ hereby certifies that the Transportation Development Act claim for fiscal year(s) _____ in the amount of \$_____ Local Transportation Funds conforms with the requirements of the Transportation Development Act and applicable rules and regulations. (See TDA - 6 for listing of conformance requirements.)

Certified by: _____

Title: _____

Date: _____

TDA – 5
TDA CLAIM CERTIFICATION FORM

Form TDA – 5 must be completed and signed by the Fiscal Officer of the submitting claimant.

I, _____, Chief Financial Officer (or other applicable title) for the _____ do hereby attest, as required under the California Code of Regulations, Title 21, Division 3, Chapter 2, Section 6632, to the reasonableness and accuracy of the following:

- a. The attached budget or the proposed budget for FY _____
- b. The attached certification by the Department of the California Highway Patrol verifying that EDCTA is in compliance with Section 1808.1 of the Vehicle Code, as required in Public Utilities Code Section 99251
- c. The estimated amount of _____ maximum eligibility for moneys from the Local Transportation Fund and State Transit Assistance Fund, as defined in Section 6634 is \$ _____

Certified by: _____

Title: _____

Date: _____

TDA – 6
CONFORMANCE REQUIREMENTS FOR TDA CLAIMANTS
(Standard Assurances)

1. 180-Day Certified Fiscal Audit (*Applies to all claims, however EDCTC administers fiscal audits for all operators in the region*) Assurance that the claimant has submitted a satisfactory independent fiscal audit, with required certification, to EDCTC and to the State Controller not more than 180 days after the end of the prior fiscal year (Sections 99245 and 6664).
2. 90-Day Annual State Controller Reports (*Applies to all transit claims*) Assurance that claimant has submitted this report to the State Controller in conformance with the uniform system of accounts and records not more than 90 days after end of the prior fiscal year (Section 99243).
3. Use of Federal Funds (*Applies to all Article 4 claims*)
 - a. Claimant filing a claim for TDA funds for capital intensive projects pursuant to Section 99268.7 certifies that is has made every effort to obtain federal funding for any project which is funded pursuant to Section 99268.7.
 - b. Claimant qualifying for funds pursuant to Section 99268.1 and filing a claim for TDA funds in excess of the amount allowed by Section 99268 certifies that such funds are required in order to obtain maximum federal operating funds in the year such funds are claimed pursuant to Section 6633.1.
4. Elderly/Disabled (*Applies to all transit claims*) That the transit operator in question is in compliance with Section 99155 pertaining to reduced transit fares for elderly and disabled persons and Section 99155.5 pertaining to dial-a-ride and paratransit services.
5. Farebox Recovery Ratio Requirements (*Applies to all transit claims*) Claimant filing a claim for LTF or STA funds certifies that it will maintain for the project that ratio of fare revenues and local support to operating cost required under Sections 99268 (including all sub-parts), 99270.1, 99270.2, as appropriate.
6. 50% Expenditure Limitation (*Applies only to claims for LTF*) Claimant certifies that it was in compliance with Section 99268 certifying that it will not exceed 50% of the amount required to meet operating, maintenance, capital and debt service costs of the transit system after deduction of approved federal grants and STA funds estimated to be received for the system. (A claimant can receive up to 100% of the capital costs for grade-separated mass transit projects under Sections 99268 and 99281, for capital-intensive transit-related projects under Section 99268.7, and for extension of services under Sections 6619.1 and 6633.8.)

7. Extension of Service (*Applies only to claims for LTF*) Claimant who received an allocation of LTF funds for extension of service pursuant to Section 99268.8 certifies that it will file a report of these services pursuant to Section 6633.8(b) within 90 days after close of the fiscal year in which that allocation was granted.
8. Retirement System (*Applies only to claims for LTF*) Claimant certifies that (a) the current cost of its retirement system is fully funded with respect to the officers and employees of its public transportation system; or (b) the operator is implementing a plan approved by EDCTC which will fully fund the retirement system for such officers and employees within 40 years; or (c) the operator has a private pension plan which sets aside and invests, on a current basis, funds sufficient to provide for the payment of future pension benefits and which is fully compliant with the requirements stated in Sections 99272 and 99273.
9. Maximum Use of Local Transportation Funds (*Applies only to claims for STA*) Claimant certifies that the operator is receiving the maximum allowable amount from the Local Transportation Fund.
10. Part-Time Employees (*Applies only to claims for STA*) Claimant certifies that it is not precluded by any contract entered into on or after June 28, 1979 from employing part-time drivers or contracting with common carriers of persons operating under a franchise or license. Claimant further certifies that no person who was a full-time employee on June 28, 1979 shall have his/her employment terminated or his/her regular hours of employment, excluding overtime, reduced as a result of it employing part-time drivers or contracting with such common carriers.
11. Conformance with the Regional Transportation Plan (*Applies only to claims for STA*) Claimant certifies that all of the purposes for claim expenditures are in conformance with the Regional Transportation Plan.
12. Full Use of Federal Funds (*Applies only to claims for STA*) Claimant certifies that it is making full use of federal funds available under the Urban Mass Transportation Act of 1964, as amended.
13. Implementation of Productivity Improvements (*Applies only to claims for STA*) Claimant certifies that the operator has made a reasonable effort to implement the productivity improvements recommended pursuant to Section 99244.

SGR – 1
TRANSPORTATION DEVELOPMENT ACT
STATE OF GOOD REPAIR PROGRAM CLAIM

To: El Dorado County Transportation Commission
 2828 Easy Street, Suite 1
 Placerville, California 95667-3907
 Attn: Administrative Services Officer

From: Claimant: _____
 Address: _____
 Contact: _____
 Phone: _____

The above claimant hereby requests, in accordance with authority granted under the Transportation Development Act and applicable rules and regulations adopted by the El Dorado County Transportation Commission, that its request for funding be approved as follows:

State of Good Repair:

SGR	Amount	Fiscal Year

EDCTC Date of Approval: _____
 EDCTC Resolution #: _____

SGR – 2
ANNUAL PROJECT AND EXPENDITURE PLAN

State of Good Repair Program:

- 1) Project Title: _____
- 2) Detailed Project Description (Scope of Work):

- 3) Updated Project Schedule of Completion: _____
- 4) Project Location: _____
- 5) Useful Life of the Project Improvement: _____
- 6) Description of Projected Benefit Outcome:

- 7) Actual Expenditures per Project: _____
- 8) Unexpended Balance: _____
- 9) Fiscal Year Funds Allocated: _____

**SGR – 3
STATUS OF PREVIOUSLY APPROVED PROJECTS**

INSTRUCTIONS

Describe the status of all prior fiscal year SGR claim projects and any projects from previous years that are still active, as follows:

- Include both operating and capital projects.
- Approved amounts should be as specified in SGR claims approved by EDCTC.
- Expenditures should be to date.
- Projects status should be "Completed" or "Active".

Fiscal Year	Project Title	Amount Approved	Expenditure	Project Status
		SGR	SGR	
TOTAL		\$	\$	\$

SGR – 4
STATEMENT OF CONFORMANCE

Form SGR – 4 must be completed and signed by the Fiscal Officer of the submitting claimant.

The _____ hereby certifies that the State of Good Repair claim for fiscal year(s) _____ in the amount of \$_____ State of Good Repair Funds conforms with the requirements of the Transportation Development Act and applicable rules and regulations.

Certified by: _____

Title: _____

Date: _____

SGR – 5
SGR CLAIM CERTIFICATION FORM

Form SGR – 5 must be completed and signed by the Fiscal Officer of the submitting claimant.

I, _____, Chief Financial Officer (or other applicable title) for the _____ do hereby attest, as required under the California Code of Regulations, Title 21, Division 3, Chapter 2, Section 6632, to the reasonableness and accuracy of the following:

- a. The attached budget or the proposed budget for FY _____
- b. The attached certification by the Department of the California Highway Patrol verifying that EDCTA is in compliance with Section 1808.1 of the Vehicle Code, as required in Public Utilities Code Section 99251
- c. The estimated amount of _____ maximum eligibility for moneys from the State of Good Repair is \$_____

Certified by: _____

Title: _____

Date: _____