

**Sustainable Communities Grants  
(State)**

**Restricted Grant Agreement**

This Restricted Grant Agreement (RGA), between the State of California acting by and through its Department of Transportation, referred to herein as **CALTRANS**, and the **CITY OF ALAMEDA**, hereinafter referred to as **AGENCY**, will commence on **November 1, 2022**, or upon approval by **CALTRANS**, whichever occurs later. This RGA is of no effect unless approved by **CALTRANS**. **AGENCY** shall not receive payment for work performed prior to approval of the RGA and before receipt by **AGENCY** of Notice to Proceed from **CALTRANS** Contract Manager. This RGA shall expire on **February 28, 2025**.

**Attachments:**

The following attachments are incorporated into and are made a part of this RGA by this reference and attachment.

- I. **AGENCY** Resolution
- II. Scope of Work and Project Cost and Schedule
- III. Grant Application Guide

**Recitals**

1. Under this RGA, **CALTRANS** intends to convey State restricted grant funds to **AGENCY**, pursuant to Budget Act Line Item 2660-102-0042, who will conduct transportation studies and planning within the regional area under the jurisdiction of **AGENCY** under the terms, covenants, and conditions of this RGA.
2. **CALTRANS** and **AGENCY** intend that only funds that are authorized as restricted grants will be subject to this RGA, and that no funds that should be the subject of a Joint Powers Agreement, Interagency Agreement, or other non-grant agreement, shall be subject to this RGA.

**Now, therefore**, based upon the terms, covenants, and conditions, the parties agree as follows:

**Section I**

**AGENCY Responsibility:**

To timely and satisfactorily complete all Project work described in **Attachment II** within the project budget and in accordance with the items of this RGA.

**Section II**

**CALTRANS Responsibility:**

That when conducting an audit of the costs claimed by **AGENCY** under the provisions of this RGA, to conduct the audit in accordance with applicable laws and regulations.

**Section III**

**Parties' Mutual Responsibilities:**

1. Under this RGA, **CALTRANS** will convey State grant restricted funds to **AGENCY**, pursuant to Budget Act Line Item 2660-102-0042, and **AGENCY** will conduct transportation studies and planning within the regional area described in **Attachment II**. The funds subject to this RGA must

be (a) identified as available for a restricted grant in **CALTRANS'** budget and (b) for the purpose of conducting transportation studies or planning and (c) to a public entity that is responsible for conducting transportation studies or planning.

2. Details of the Grant Program, Funds, Project, and Program Guidelines and the governing State and Federal law are fully described in **Attachment III**, which is attached to and made a part of this RGA.
3. Under this restricted grant, funds may be only used for the purpose set forth in this RGA, **Resolution (Attachment I)**, **Scope of Work and Cost and Schedule (Attachment II)**, and the applicable **Grant Application Guide (Attachment III)**, and funds may only be used for costs and expenses that are directly related to such purpose.
4. **AGENCY** shall perform all the duties and obligations described in the Oakland-Alameda Estuary Adaptation Project, hereinafter the Project, subject to the terms and conditions of this RGA and the Approved Project Grant Application (**Scope of Work and Cost and Schedule**), which are attached hereto as **Attachment II**.
5. The **RESOLUTION** authorizing **AGENCY** to execute this RGA pertaining to the above described Project is attached hereto as **Attachment I**.
6. All services performed by **AGENCY** pursuant to this RGA shall be performed in accordance with all applicable Federal, State, and Local laws, regulations, ordinances, all applicable **CALTRANS** policies and procedures, and all applicable **CALTRANS** published manuals, including, but not limited to, the applicable **Grant Application Guide (Attachment III)**.

In case of conflict between any applicable Federal, State, and Local laws, regulations, and ordinances, and/or any applicable policies, procedures, or published manuals of either **CALTRANS** or **AGENCY**, the order of precedence of the applicability of same to this RGA shall be established in this order: 1) Federal laws and regulations; 2) California laws and regulations; 3) **CALTRANS** policies, procedures, and published manuals; 4) Local ordinances; and 5) **AGENCY** policies, procedures, and published manuals. This RGA may not include any Federal funds.

7. Project funding is as follows:

Fund Source: STATE	Fund Source: AGENCY				Total Project Cost
State Highway Account (SHA) Grant Funds	Local Match (Cash)	Local Match (In-Kind)	Total Local Match	% Local Match	
\$425,000.00	\$75,000	\$0.00	\$75,000.00	15%	\$500,000.00

No in-kind contributions may be made unless the amount and type of the contribution is identified above.

8. This RGA is exempt from legal review and approval by the Department of General Services (DGS), pursuant to applicable law.
9. **Notification of Parties**
  - a. **AGENCY's** Project Manager for Project is Gail Payne, [gpayne@alamedaca.gov](mailto:gpayne@alamedaca.gov), (510) 747-6892

- b. **AGENCY's** Financial Manager for the Project is N/A.
- c. **CALTRANS** Contract Manager is Jasmine Stitt, [jasmine.stitt@dot.ca.gov](mailto:jasmine.stitt@dot.ca.gov), (510) 849-7958. "Contract Manager" as used herein includes his/her designee.
- d. All notices herein provided to be given, or which may be given, by either party to the other, shall be deemed to have been fully given when made in writing and received by the parties at their respective addresses:

**City of Alameda**

Attention: Gail Payne, Senior Transportation Coordinator  
Phone Number: (510) 747-6892  
Email: [gpayne@alamedaca.gov](mailto:gpayne@alamedaca.gov)  
Address: 2263 Santa Clara Avenue  
Alameda, California, 94501

**California Department of Transportation**

District 4 / Pedestrian and Bicycle  
Attention: Jasmine Stitt, Contract Manager  
Phone Number: (510) 849-7958  
Email: [jasmine.stitt@dot.ca.gov](mailto:jasmine.stitt@dot.ca.gov)  
Address: 111 Grand Avenue, MS-10D  
Oakland, California, 94612

**10. Period of Performance**

- a. Reimbursable work under this RGA shall begin no earlier than on **November 1, 2022**, following the written approval of **CALTRANS** and **AGENCY's** receipt of the Notice to Proceed letter of this RGA by the **CALTRANS** Contract Manager, and will expire on **February 28, 2025**.
- b. **AGENCY** will attend a kickoff meeting with **CALTRANS** to be scheduled within one (1) week from receipt of Notice to Proceed letter by **CALTRANS** Contract Manager.

**11. Changes in Terms/Amendments**

This Agreement may only be amended or modified by mutual written agreement of the parties. Any proposed modification to this agreement that requires a formal amendment must be submitted by **AGENCY** to **CALTRANS** no less than ninety (90) days prior to the expiration of this RGA.

**12. Cost Limitation**

- a. The maximum total amount granted and reimbursable to **AGENCY** pursuant to this RGA by **CALTRANS** shall not exceed **\$425,000.00**.
- b. It is agreed and understood that this RGA fund limit is an estimate and that **CALTRANS** will only reimburse the cost of services actually rendered in accordance with the provisions of this RGA and as authorized by the **CALTRANS** Contract Manager at or below that fund limitation established herein.

**13. Termination**

- a. If the applicable law and the Grant Program guidelines provide for such termination, **CALTRANS** reserves the right to terminate this RGA for any or no reason upon written notice to **AGENCY** at least 30 days in advance of the effective date of such termination in the event **CALTRANS** determines (at its sole discretion) that **AGENCY** failed to proceed with Project

work in accordance with the terms of this RGA. In the event of termination for convenience, **CALTRANS** will reimburse **AGENCY** for all allowable, authorized, and non-cancelled costs up to the date of termination.

- b. This RGA may be terminated by either party for any or no reason by giving written notice to the other party at least 30 days in advance of the effective date of such termination. In the event of termination for convenience, **CALTRANS** will reimburse **AGENCY** for all allowable, authorized, and non-cancelled costs up to the date of termination.
- c. **AGENCY** has 60 days after the Termination Date to submit accurate invoices to **CALTRANS** to make final allowable payments for Project costs in accordance to the terms of this RGA. Failure to submit accurate invoices within this period of time shall result in a waiver by **AGENCY** of its right to reimbursement of expended costs.

#### 14. Budget Contingency Clause

- a. It is mutually agreed that if the US Congress or the State Legislature fail to appropriate or allocate funds during the current year and/or any subsequent years covered under this RGA and do not appropriate sufficient funds for the program, this RGA shall be of no further force and effect. In this event, **CALTRANS** shall have no liability to pay any funds whatsoever to **AGENCY** or to furnish any other considerations under this RGA and **AGENCY** shall not be obligated to perform any provisions of this RGA.
- b. If funding for any fiscal year is reduced or deleted by the US Congress or the State Legislature for purposes of this program, **CALTRANS** shall have the option to either terminate this RGA with no liability occurring to **CALTRANS**, or offer an RGA Amendment to **AGENCY** to reflect the reduced amount.

#### 15. Payment and Invoicing

**AGENCY**, its contractors, subcontractors and sub-recipients shall establish and maintain an accounting system and records that properly accumulate and segregate incurred Project costs and matching funds by line. The accounting system of **AGENCY**, its contractors, all subcontractors, and sub-recipients shall conform to Generally Accepted Accounting Principles (GAAP) and any standards specified by the source of funds, to enable the determination of incurred costs at interim points of completion, and to provide support for reimbursement payment vouchers or invoices.

- a. The method of payment for this RGA will be based on the actual allowable costs that are incurred in accordance with the provisions of this RGA and in the performance of the Project Work. **CALTRANS** will reimburse **AGENCY** for expended actual allowable direct costs and including, but not limited to, labor costs, travel, and contracted consultant services costs incurred by **AGENCY** in performance of the Project work. Indirect costs are reimbursable only if the **AGENCY** has identified the estimated indirect cost rate in **Attachment II** and an approved Indirect Cost Allocation Plan or an Indirect Cost Rate Proposal as set forth in **Section III–Cost Principles, Paragraph 17d**. The total cost shall not exceed the cost reimbursement limitation set forth in **Section III–Cost Limitation, Paragraph 12a**. Actual costs shall not exceed the estimated wage rates, labor costs, travel, and other estimated costs and fees set forth in **Attachment II** without an amendment to this RGA, as agreed between **CALTRANS** and **AGENCY**.
- b. Reimbursement of **AGENCY** expenditures will be authorized only for those allowable costs actually incurred by **AGENCY** in accordance with the provisions of this RGA and in the performance of Project Work. **AGENCY** must not only have incurred the expenditures on or



after the start date and the issuance of Notice to Proceed letter for this RGA and before Expiration Date but must have also paid for those costs to claim any reimbursement.

- c. Travel expenses and per diem rates are not to exceed the rate specified by the State of California Department of Human Resources for similar employees (i.e. non-represented employees) unless written verification is supplied that government hotel rates were not then commercially available to **AGENCY**, its sub-recipients, contractors, and/or subcontractors, at the time and location required as specified in the California Department of Transportation's Travel Guide Exception Process at the following link: <https://travelpocketguide.dot.ca.gov/>.  
Also see website for summary of travel reimbursement rules.
- d. **AGENCY** shall submit invoices to **CALTRANS** at least quarterly, but no more frequently than monthly, in arrears for completion of milestones in accordance with the **PROJECT** Cost and Schedule in **Attachment II** to the satisfaction of **CALTRANS** Contract Manager. Invoices shall reference this RGA Number and shall be signed and submitted to **CALTRANS** Contract Manager at the following address, as stated in **Section III–Notification of Parties, Item 9c**. One-time lump sum invoices for grant amount is not allowed.
- e. Invoices shall include the following information:
  - 1) Names of the **AGENCY** personnel performing work
  - 2) Dates and times of Project Work
  - 3) Locations of Project Work
  - 4) Itemized costs as set forth in **Attachment II**, including identification of each employee, contractor, or subcontractor staff who provided services during the period of the invoice, the number of hours and hourly rates for each employee, contractor, sub-recipient, or subcontractor staff member, authorized travel expenses with receipts, receipts for authorized materials or supplies, and contractor, sub-recipient and subcontractor invoices.
- f. Incomplete or inaccurate invoices shall be returned to the **AGENCY**, unapproved, for correction. Failure to submit invoices on a timely basis may be grounds for termination of this RGA for material breach per **Section III–Termination, Paragraph 13**.
- g. **CALTRANS** will reimburse **AGENCY** for all allowable Project costs at least quarterly, but no more frequently than monthly, in arrears as promptly as **CALTRANS** fiscal procedures permit upon receipt of an itemized signed invoice.
- h. The RGA Expiration Date refers to the last date for **AGENCY** to incur valid Project costs or credits and is the date the RGA expires. **AGENCY** has 60 days after that Expiration Date to make final allowable payments to Project contractors or vendors and submit the Project's Final Product(s) as defined in **Attachment II** and a final accurate invoice to **CALTRANS** for reimbursement for allowable Project costs. Any unexpended Project funds not invoiced by the 60th day will be reverted and will no longer be accessible to reimburse late Project invoices.

## 16. Local Match Funds

- a. **AGENCY** shall contribute not less than its specified local match amount toward the services described herein by the grant expiration date identified in Paragraph 1 of this RGA. **AGENCY** can provide less than their percentage local match contribution in each invoice submittal, but **AGENCY** must fully satisfy the local cash and in-kind match amount and percentage identified in **Section III, Paragraph 7**, with the final invoice.

- b. If Agency fails to provide the contractual local match identified in **Section III, Paragraph 7**, it is grounds for contract termination as identified in **Section III, Paragraph 13**.

### 17. Quarterly Progress Reporting

**AGENCY** shall submit written quarterly progress reports to **CALTRANS** Contract Manager to determine if **AGENCY** is performing to expectations, is on schedule, is within funding cost limitations, to communicate interim findings, and to afford occasions for airing difficulties respecting special problems encountered so that remedies can be developed.

### 18. Cost Principles

- a. **AGENCY** agrees to comply with Title 2, Code of Federal Regulations (CFR), Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.
- b. **AGENCY** agrees, and will assure that its contractors, sub-recipients, and subcontractors will be obligated to agree, that (a) Contract Cost Principles and Procedures, 48 CFR, Federal Acquisition Regulations System, Chapter 1, Part 31, et seq., shall be used to determine the allowability of individual Project costs and (b) all parties shall comply with Federal administrative procedures in accordance with 2 CFR, Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. Every sub-recipient receiving Project funds as a sub-recipient, contractor, or subcontractor under this RGA shall comply with Federal administrative procedures in accordance with 2 CFR, Part 200, Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards to the extent applicable.
- c. Prior to **AGENCY** seeking reimbursement of indirect costs, **AGENCY** must have identified the estimated indirect cost rate in **Attachment II**, prepare and submit annually to **CALTRANS** for review and approval an indirect cost rate proposal and a central service cost allocation plan (if any) in accordance with 2 CFR, Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards and Chapter 5 of the Local Assistance Procedures Manual which may be accessed at: <https://dot.ca.gov/-/media/dot-media/programs/local-assistance/documents/lapm/ch05.pdf>.
- d. **AGENCY** agrees and shall require that all its agreements with consultants and sub-recipients contain provisions requiring adherence to this section in its entirety.

### 19. Repayment of Unallowable Costs

Any Project costs for which **AGENCY** has received payment or credit that are determined by subsequent audit to be unallowable under 2 CFR, Part 200, and/or Part 48, Chapter 1, Part 31, are subject to repayment by **AGENCY** to **CALTRANS**. Should **AGENCY** fail to reimburse moneys due **CALTRANS** within 30 days of discovery or demand, or within such other period as may be agreed in writing between the parties hereto, **CALTRANS** is authorized to intercept and withhold future payments due **AGENCY** from **CALTRANS** or any third-party source, including, but not limited to, the State Treasurer, the State Controller, or any other fund source.

### 20. Americans with Disabilities Act

By signing this Agreement, **LOCAL AGENCY** assures **CALTRANS** that in the course of performing Project Work, it will fully comply with the applicable provisions of the Americans with Disabilities Act (ADA) of 1990, as amended, which prohibits discrimination on the basis of disability, as well as all applicable regulations and guidelines issued pursuant to the ADA (42 USC Section 12101 et seq.).

## 21. Indemnification

Neither **CALTRANS** nor any officer or employee thereof is responsible for any injury, damage, or liability occurring by reason of anything done or omitted to be done by **AGENCY**, its officers, employees, agents, contractors, sub-recipients, or subcontractors under or in connection with any work, authority, or jurisdiction conferred upon **AGENCY** under this RGA. It is understood and agreed that **AGENCY** shall fully defend, indemnify, and save harmless **CALTRANS** and all of **CALTRANS'** officers and employees from all claims, suits or actions of every name, kind, and description brought forth under, including, but not limited to, tortious, contractual, inverse condemnation or other theories or assertions of liability occurring by reason of anything done or omitted to be done by **AGENCY**, its officers, employees, agents, contractors, sub-recipients, or subcontractors under this RGA.

## 22. Nondiscrimination Clause (2 CCR 11105 Clause b)

- a. During the performance of this RGA, the **AGENCY** contractors, sub-recipients, and subcontractors shall not deny the contract's benefits to any person on the basis of race, religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition, genetic information, marital status, sex, gender, gender identity, gender expression, age, sexual orientation, or military and veteran status, nor shall they discriminate unlawfully against any employee or applicant for employment because of race, religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition, genetic information, marital status, sex, gender, gender identity, gender expression, age, sexual orientation, or military and veteran status. **AGENCY** shall ensure that the evaluation and treatment of employees and applicants for employment are free of such discrimination.
- b. **AGENCY** shall comply with the provisions of the Fair Employment and Housing Act (Gov. Code Sections 12900 et seq.), the regulations promulgated thereunder (Cal. Code Regs., Tit. 2, Sections 11000 et seq.), the provisions of Article 9.5, Chapter 1, Part 1, Division 3, Title 2 of the Government Code (Gov. Code Sections 11135-11139.5), and the regulations or standards adopted by **CALTRANS** to implement such article.
- c. **AGENCY** shall permit access by representatives of the Department of Fair Employment and Housing and **CALTRANS** upon reasonable notice at any time during normal business hours, but in no case less than 24 hours' notice, to such of its books, records, accounts, and all other sources of information and its facilities as said Department or **CALTRANS** shall require to ascertain compliance with this clause.
- d. **AGENCY** and contractors, sub-recipients, and subcontractors shall give written notice of their obligations under this clause to labor organizations with which they have a collective bargaining or other agreement.
- e. **AGENCY** shall include the nondiscrimination and compliance provisions of this clause in all agreements with its sub-recipients, contractors, and subcontractors, and shall include a requirement in all agreements with all of same that each of them in turn include the nondiscrimination and compliance provisions of this clause in all contracts and subcontracts they enter into to perform work under the RGA.

## 23. Retention of Records/Audits

- a. **AGENCY**, its contractors, subcontractors and sub-recipients, agree to comply with Title 2, Code of Federal Regulations (CFR), Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.

- b. All accounting records and other supporting papers of **AGENCY**, its contractors, subcontractors and sub-recipients connected with Project performance under this RGA shall be maintained for a minimum of three (3) years from the date of final payment to **AGENCY** and shall be held open to inspection, copying, and audit by representatives of **CALTRANS**, the California State Auditor, and auditors representing the federal government. Copies thereof will be furnished by **AGENCY**, its contractors, its subcontractors and sub-recipients upon receipt of any request made by **CALTRANS** or its agents. In conducting an audit of the costs and match credits claimed under this RGA, **CALTRANS** will rely to the maximum extent possible on any prior audit of **AGENCY** pursuant to the provisions of State and **AGENCY** law. In the absence of such an audit, any acceptable audit work performed by **AGENCY's** external and internal auditors may be relied upon and used by **CALTRANS** when planning and conducting additional audits.
- c. For the purpose of determining compliance with applicable State and **AGENCY** law in connection with the performance of **AGENCY's** agreements with third parties pursuant to Government Code Section 8546.7, **AGENCY**, **AGENCY's** sub-recipients, contractors, subcontractors, and **CALTRANS**, shall each maintain and make available for inspection all books, documents, papers, accounting records, and other evidence pertaining to the performance of such contracts, including, but not limited to, the costs of administering those various contracts. All the above referenced parties shall make such materials available at their respective offices at all reasonable times during the entire Project period and for three (3) years from the date of final payment to **AGENCY** under this RGA. **CALTRANS**, the California State Auditor, or any duly authorized representative of **CALTRANS** or the United States Department of Transportation, shall each have access to any books, records, and documents that are pertinent to a Project for audits, examinations, excerpts, and transactions, and **AGENCY** shall furnish copies thereof if requested.
- d. **AGENCY**, its sub-recipients, contractors, and subcontractors will permit access to all records of employment, employment advertisements, employment application forms, and other pertinent data and records by the State Fair Employment Practices and Housing Commission, or any other **AGENCY** of the State of California designated by **CALTRANS**, for the purpose of any investigation to ascertain compliance with this RGA.
- e. Additionally, all grants may be subject to a pre-award audit prior to execution of the RGA to ensure **AGENCY** has an adequate financial management system in place to accumulate and segregate reasonable, allowable, and allocable costs.
- f. Any contract with a contractor, subcontractor, or sub-recipient entered into as a result of this RGA shall contain all the provisions of this article.

#### **24. Adjudication of Facts in Disputes**

- a. Any dispute concerning a question of fact arising under this RGA that is not disposed of by agreement shall be decided by the **CALTRANS** Contract Officer, who may consider any written or verbal evidence submitted by **AGENCY**. The **CALTRANS** Contract Officer shall issue a written decision within 30 days of receipt of the dispute. If **AGENCY** rejects the decision of the **CALTRANS** Contract Officer, **AGENCY** can pursue any and all remedies authorized by law. Neither party waives any rights to pursue remedies authorized by law.

- b. Neither the pendency of a dispute nor its consideration by **CALTRANS** Contract Officer will excuse **AGENCY** from full and timely performance in accordance with the terms of the RGA.
- c. Voluntary Resolution: Reference to Other Means of Resolution. In recognition of the government-to-government relationship of the **AGENCY** and **CALTRANS**, the parties shall make their best efforts to resolve disputes that occur under this RGA by good faith negotiations whenever possible. Therefore, without prejudice to the right of either party to seek injunctive relief against the other when circumstances are deemed to require immediate relief, the parties hereby establish a threshold requirement that disputes between the **AGENCY** and **CALTRANS** first be subjected to a process of meeting and conferring in good faith in order to foster a spirit of cooperation and efficiency in the administration and monitoring of performance and compliance by each other with the terms, provisions, and conditions of this RGA, as follows:
  - 1) Either party shall give the other, as soon as possible after the event giving rise to the concern, a written notice setting forth, with specificity, the issues to be resolved.
  - 2) The parties shall meet and confer in a good faith attempt to resolve the dispute through negotiation not later than 10 days after receipt of the notice, unless both parties agree in writing to an extension of time.
  - 3) If the dispute is not resolved to the satisfaction of the parties within 30 working days after the first meeting, then either party may seek to have the dispute resolved by alternative dispute resolution methods, including, but not limited to, non-binding arbitration, mediation, or the use of a technical advisor.
  - 4) Disagreements that are not otherwise resolved by mutually acceptable means as provided herein may be resolved in the Superior Court of the State of California located within the same county where a Project is located. The disputes to be submitted to the court include claims of breach or violation of this RGA. This RGA shall be interpreted under the laws of the State of California without regard to any conflict of laws' provisions. In no event may **AGENCY** be precluded from pursuing any arbitration or judicial award or remedy against **CALTRANS** on the grounds that **AGENCY** has failed to exhaust its state administrative remedies. The parties agree that, except in the case of imminent threat to public health or safety, reasonable efforts will be made to explore alternative dispute resolution avenues prior to initiating judicial proceedings.

## 25. Third-Party Contracts

- a. All State-government funded procurements must be conducted using a fair and competitive procurement process. AGENCY may use its own procurement procedures as long as the procedures comply with the local AGENCY's laws, rules, and ordinances governing procurement and all applicable provisions of State law, including, without limitation, the requirement that the AGENCY endeavor to obtain at least three (3) competitive bids for solicitation of goods, services, and consulting services.

Resources for Third Party Contracts, which are not inconsistent with this Paragraph 25, Third Party Contracts:

- 1) Part 2, Chapter 2, Articles 3 and 4 of the Public Contract Code
- 2) State Contracting Manual (SCM), Chapter 5

- 3) Caltrans Local Assistance Procedures Manual (LAPM) Chapter 10
- b. Any contract entered into as a result of this RGA shall contain all the provisions stipulated in this RGA to be applicable to **AGENCY's** subrecipients, contractors, and subcontractors. Copies of all agreements with subrecipients, contractors, and subcontractors must be submitted to the **CALTRANS** Contract Manager.
- c. **CALTRANS** does not have a contractual relationship with the **AGENCY's** subrecipients, contractors, or subcontractors and the **AGENCY** shall be fully responsible for all work performed by its sub-recipients, contractors, or subcontractors.
- d. Prior authorization in writing by **CALTRANS** Contract Manager shall be required before **AGENCY** enters into any non-budgeted purchase order or sub-agreement for supplies, or consultant services. **AGENCY** shall provide an evaluation of the necessity or desirability of incurring such costs. **AGENCY** shall retain all receipts for such purchases or services and shall submit them with invoices per **Section III–Payment and Invoicing, Paragraph 15(e)(4), above.**
- e. Any contract entered into by **AGENCY** as a result of this RGA shall mandate that travel and per diem reimbursements and third-party contract reimbursements to subrecipients, contractors, and subcontractors, will be allowable as Project costs only after those costs are incurred and paid for by the subrecipients, contractors, and subcontractors. Travel expenses and per diem rates for subcontractors shall be reimbursed pursuant to **Section III–Payment and Invoicing, Paragraph 15c, above.**

## 26. Drug-Free Workplace Certification

By signing this RGA, **AGENCY** hereby certifies under penalty of perjury under the laws of California that **AGENCY** will comply with the requirements of the Drug-Free Workplace Act of 1990 (Gov. Code Sections 8350 et seq.) and will provide a Drug-Free workplace by doing all the following:

- A. Publish a statement notifying employees that unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance is prohibited and specifying actions to be taken against employees for violations, as required by Government Code Section 8355(a)(1).
- B. Establish a Drug-Free Awareness Program as required by Government Code Section 8355(a)(2) to inform employees about all the following:
  - 1) The dangers of drug abuse in the workplace;
  - 2) The person's or organization's policy of maintaining a Drug-Free workplace;
  - 3) Any available counseling, rehabilitation, and employee assistance programs; and
  - 4) Penalties that may be imposed upon employees for drug abuse violations.
- C. Provide, as required by Government Code Section 8355(a)(3), that every employee who works on the proposed contract or grant:
  - 1) Will receive a copy of the company's Drug-Free Policy Statement, and
  - 2) Will agree to abide by the terms of the company's statement as a condition of employment on the contract or grant.

- D. Failure to comply with these requirements may result in suspension of payments under this RGA or termination of this RGA or both, and **AGENCY** may be ineligible for the award of any future State contracts if **CALTRANS** determines that any of the following has occurred: (1) **AGENCY** has made a false certification or, (2) **AGENCY** violates the certification by failing to carry out the requirements as noted above.

## 27. Relationship of Parties

It is expressly understood that this agreement is executed by and between two (2) independent governmental entities and is not intended to, and shall not be construed to, create the relationship of agent, servant, employee, partnership, joint venture or association, or any other relationship whatsoever other than that of an independent party.

## 28. State-Owned Data

- A. **AGENCY** agrees to comply with the following requirements to ensure the preservation, security, and integrity of State-owned data on portable computing devices and portable electronic storage media:
- 1) Encrypt all State-owned data stored on portable computing devices and portable electronic storage media using government-certified Advanced Encryption Standard (AES) cipher algorithm with a 256-bit or 128-bit encryption key to protect **CALTRANS** data stored on every sector of a hard drive, including temp files, cached data, hibernation files, and even unused disk space.
  - 2) Data encryption shall use cryptographic technology that has been tested and approved against exacting standards, such as FIPS 140-2 Security Requirements for Cryptographic Modules.
  - 3) Encrypt, as described above, all State-owned data transmitted from one computing device or storage medium to another.
  - 4) Maintain confidentiality of all State-owned data by limiting data sharing to those individuals contracted to provide services on behalf of the State, and limit use of State information assets for State purposes only.
  - 5) Install and maintain current anti-virus software, security patches, and upgrades on all computing devices used during the course of the Agreement.
  - 6) Notify **CALTRANS** Contract Manager immediately of any actual or attempted violations of security of State-owned data, including lost or stolen computing devices, files, or portable electronic storage media containing State-owned data.
  - 7) Advise the owner of the State-owned data, the **AGENCY** Information Security Officer, and the **AGENCY** Chief Information Officer of vulnerabilities that may present a threat to the security of State-owned data and of specific means of protecting that State-owned data.
- B. **AGENCY** agrees to use the State-owned data only for State purposes under this Agreement.
- C. **AGENCY** agrees to not transfer State-owned data to any computing system, mobile device, or desktop computer without first establishing the specifications for information integrity and security as established for the original data file(s). (State Administrative Manual (SAM) Section 5335.1)

## 29. Assumption of Risk and Indemnification Regarding Exposure to Environmental Health Hazards

In addition to, and not a limitation of, Contractor's indemnification obligations contained elsewhere in this RGA, Contractor hereby assumes all risks of the consequences of exposure of Contractor's employees, agents, subrecipients, contractors, and subcontractors, subcontractors' employees, and any other person, firm, or corporation furnishing or supplying work services, materials, or supplies in connection with the performance of this Agreement, to any and all environmental health hazards, local and otherwise, in connection with the performance of this Agreement. Such hazards include, but are not limited to, bodily injury and/or death resulting in whole or in part from exposure to infectious agents and/or pathogens of any type, kind or origin. Contractor also agrees to take all appropriate safety precautions to prevent any such exposure to Contractor's employees, agents, subrecipients, contractors, and subcontractors, subcontractors' employees, and any other person, firm or corporation furnishing or supplying work services, materials, or supplies in connection with the performance of this Agreement. Contractor also agrees to indemnify and hold harmless Caltrans, the State of California, and each and all of their officers, agents and employees, from any and all claims and/or losses accruing or resulting from such exposure. Except as provided by law, Contractor also agrees that the provisions of this paragraph shall apply regardless of the existence or degree of negligence or fault on the part of Caltrans, the State of California, and/or any of their officers, agents and/or employees.

## 30. Mandatory Organic Waste Recycling

It is understood and agreed that pursuant to Public Resources Code Sections 42649.8 et seq., if Contractor generates two (2) cubic yards or more of organic waste or commercial solid waste per week, Contractor shall arrange for organic waste or commercial waste recycling services that separate/source organic waste for organic waste recycling. Contractor shall provide proof of compliance, i.e. organic waste recycling services or commercial waste recycling services that separate/source organic waste recycling, upon request from Caltrans Contract Manager.

## 31. ADA Compliance

All entities that provide electronic or information technology or related services that will be posted online by Caltrans must be in compliance with Government Code Sections 7405 and 11135 and the Web Content Accessibility Guidelines (WCAG) 2.0 or subsequent version, published by the Web Accessibility Initiative of the World Wide Web Consortium at a minimum Level AA success. All entities will respond to and resolve any complaints/deficiencies regarding accessibility brought to their attention.

## 32. Project Close Out/Final Product

- a. **AGENCY** will provide an electronic version, preferable ADA accessible of the Final Product(s) to the **CALTRANS** Contract Manager.
- b. **CALTRANS** reserves the right to withhold final payment to **AGENCY** pending receipt of Final Product(s) to **CALTRANS** Contract Manager.

## 33. Ownership of Proprietary Property

### a. Definitions

- 1) **Work**: The work to be directly or indirectly produced by **AGENCY** under this RGA.
- 2) **Work Product**: All deliverables created or produced from **Work** under this RGA including, but not limited to, all **Work** and Deliverables conceived or made, or made hereafter conceived or made, either solely or jointly with others during the term of this RGA and



during a period of six (6) months after the termination thereof, which relates to the **Work** commissioned or performed under this RGA. "**Work Product**" includes all deliverables, inventions, innovations, improvements, or other works of authorship **AGENCY**, its subrecipients, a third-party contractor or subcontractor may conceive of or develop in the course of this RGA, whether or not they are eligible for patent, copyright, trademark, trade secret, or other legal protection.

- 3) **Inventions:** Any idea, methodologies, design, concept, technique, invention, discovery, improvement or development regardless of patentability made solely by **AGENCY** or jointly with the **AGENCY's** contractor, subcontractor and/or subrecipient and/or the **AGENCY's** contractor, subcontractor and/or subrecipient's employees with one or more employees of **CALTRANS**, during the term of this RGA and in performance of any Work under this RGA, provided that either the conception or reduction to practice thereof occurs during the term of this RGA and in performance of **Work** issued under this RGA.

b. **Ownership of Work Product and Rights**

- 1) **Copyright Ownership of Work Product:** Except in regard to Pre-existing Works, all **Work Product** derived by the **Work** performed by the **AGENCY**, its employees, or by any of the **AGENCY's** contractor's, subcontractor's, and/or sub-recipient's employees under this RGA, shall be owned by **CALTRANS** and **AGENCY** and shall be considered to be works made for hire by the **AGENCY** and **AGENCY's** contractor, subcontractor, and/or sub-recipient for **CALTRANS** and **AGENCY**. **CALTRANS** and **AGENCY** shall own all United States and international copyrights in the **Work Product**.

As such, all **Work Product** shall contain, in a conspicuous place, a copyright designation consisting of a "c" in a circle followed by the four-digit year in which the Work Product was produced, followed by the words "California Department of Transportation and **AGENCY**. All Rights Reserved." For example, a Work Product created in the year 2012 would contain the copyright designation © 2012 California Department of Transportation and **AGENCY**. All Rights Reserved.

- 2) **Vesting of Copyright Ownership:** **AGENCY**, its employees, and all of **AGENCY's** contractor's, subcontractor's, and sub-recipient's employees, agrees to perpetually assign, and upon creation of each Work Product automatically assigns, to **CALTRANS** and **AGENCY**, its successors and assigns, ownership of all United States and international copyrights in each and every **Work Product**, insofar as any such **Work Product**, by operation of law, may not be considered work made for hire by the **AGENCY's** contractor, subcontractor, and/or sub-recipient, from **CALTRANS**. From time to time, **CALTRANS** and the **AGENCY** shall require its contractors, subcontractors, and/or sub-recipients, and their respective employees, to confirm such assignments by execution and delivery of such assignments, confirmations, or assignment, or other written instruments as **CALTRANS** and the **AGENCY** may request. **CALTRANS** and the **AGENCY**, its successors, and assigns, shall have the right to obtain and hold in its or their own name(s) all copyright registrations and other evidence of rights that may be available for **Work Product**. **AGENCY** shall require contractors, including subcontractors, to waive all moral rights relating to identification of authorship restriction or limitation on use, or subsequent modifications of the **Work**.

c. **Inventions**

- 1) **Vesting of Patent Ownership:** **AGENCY** agrees to require sub-recipients, contractors, subcontractors, and their respective employees, to assign to **CALTRANS** and **AGENCY**,

its successors, and assigns, all Inventions, together with the right to seek protection by obtaining patent ownership rights and the right to claim all rights or priority there under, and the same shall become and remain **CALTRANS'** property regardless of whether such protection is sought. The **AGENCY**, its employees, and **AGENCY's** contractor, subcontractor, and sub-recipient, shall promptly make a complete written disclosure to **CALTRANS** of each Invention not otherwise clearly disclosed to **CALTRANS** in the pertinent **Work Product**, specifically pointing out features or concepts that the **AGENCY**, its employees, and/or **AGENCY's** contractor, subcontractor, and/or sub-recipient believes to be new or different. The **AGENCY**, its employees, and **AGENCY's** contractor, subcontractor, and subrecipient, shall, upon **CALTRANS'** and **AGENCY's** request and at **CALTRANS'** and **AGENCY's** expense, cause patent applications to be filed thereon, through solicitors designated by **CALTRANS** and **AGENCY**, and shall sign all such applications over to **CALTRANS** and **AGENCY**, its successors, and assigns. The **AGENCY**, its employees, and **AGENCY's** contractor, subcontractor, and sub-recipient, shall give **CALTRANS** and **AGENCY** and its solicitors all reasonable assistance in connection with the preparation and prosecution of any such patent applications and shall cause to be executed all such assignments or other instruments or documents as **CALTRANS** and **AGENCY** may consider necessary or appropriate to carry out the intent on this RGA.

- 2) **Agency:** In the event that **CALTRANS** and **AGENCY** are unable for any reason whatsoever to secure the **AGENCY's**, its employees', and/or **AGENCY's** contractor's, subcontractor's, and/or sub-recipient's signature to any lawful or necessary document required or desirable to apply for or prosecute any United States application (including renewals or divisions thereof), **AGENCY**, its employees, and **AGENCY's** contractor, subcontractor, and sub-recipient, hereby irrevocably designates and appoints **CALTRANS** and **AGENCY** and its duly authorized officers and agents, as its agent and attorney-in-fact, to act for and on **AGENCY**, its employees, and **AGENCY's** contractor's, subcontractor's, and sub-recipient's behalf and stead, to execute and file such applications and to do all other lawfully permitted acts to further the prosecution and issuance of any copyrights, trademarks, or patents, thereon with the same legal force and effect as if executed by **AGENCY**, its employees, and **AGENCY's** contractor, subcontractor, and subrecipient. **CALTRANS** and **AGENCY** shall have no obligations to file any copyright, trademark, or patent applications.

d. **Additional Provisions**

- 1) **Avoidance of infringement:** In performing services under this RGA, **AGENCY** and its employees agree to avoid designing or developing any items that infringe one (1) or more patents or other intellectual property rights of any third party. If **AGENCY** or its employees becomes aware of any such possible infringement in the course of performing any Work under this RGA, **AGENCY** or its employees shall immediately notify **CALTRANS** in writing.
- 2) **Pre-existing Works and License:** **AGENCY** agrees to require contractors, subcontractors, and subrecipients, to acknowledge that all **Work Product** shall be the sole and exclusive property of **CALTRANS** and **AGENCY**, except that any **Pre-existing Works** created by **AGENCY** and third parties outside of the RGA but utilized in connection with the RGA (the "**Pre-existing Works**") shall continue to be owned by **AGENCY** or such parties. **AGENCY** agrees to notify **CALTRANS** in writing of any **Pre-existing Works** used in connection with any **Work Product** produced under this RGA and hereby grants to

**CALTRANS** a non-exclusive, irrevocable, worldwide, perpetual, royalty-free license to utilize the **Pre-existing Works** in connection with the **Work Product**.

- 3) **Contractors, Subcontractors, and Subrecipients:** Through contract with its sub-recipients, contractors, and subcontractors, **AGENCY** shall affirmatively bind by contract all of its contractors, subcontractors, subrecipients, and service vendors (hereinafter "**AGENCY's Contractor/Subcontractor/Subrecipient**") providing services under this RGA to conform to the provisions of this Exhibit. In performing services under this RGA, **AGENCY's Contractor/Subcontractor/Subrecipient** shall agree to avoid designing or developing any items that infringe one (1) or more patents or other intellectual property rights of any third party. If **AGENCY's Contractor/Subcontractor/Subrecipient** becomes aware of any such possible infringement in the course of performing any Work under this RGA, **AGENCY's Contractor/Subcontractor/Subrecipient** shall immediately notify the **AGENCY** in writing, and **AGENCY** will then immediately notify the Department in writing.

e. **Ownership of Data**

- 1) Upon completion of all **Work** under this RGA, all intellectual property rights, ownership, and title to all reports, documents, plans, specifications, and estimates, produced as part of this RGA will automatically be vested in **CALTRANS** and **AGENCY** and no further agreement will be necessary to transfer ownership to **CALTRANS** and **AGENCY**. The **AGENCY**, its contractors, subcontractors, and subrecipients, shall furnish **CALTRANS** all necessary copies of data needed to complete the review and approval process.
- 2) It is understood and agreed that all calculations, drawings, and specifications, whether in hard copy or machine-readable form, are intended for one-time use in the Project for which this RGA has been entered into.
- 3) **AGENCY**, its contractors, subcontractors, and subrecipients, are not liable for claims, liabilities or losses arising out of, or connected with, the modification or misuse by **CALTRANS** of the machine readable information and data provided by **AGENCY**, its contractors, subcontractors, and subrecipients, under this RGA; further, **AGENCY**, its contractors, subcontractors, and subrecipients, are not liable for claims, liabilities or losses arising out of, or connected with, any use by **CALTRANS** of the Project documentation on other projects, for additions to this Project, or for the completion of this project by others, excepting only such use as may be authorized, in writing, by **AGENCY**, its contractors, subcontractors, and subrecipients.
- 4) Any sub-agreement in excess of \$25,000.00 entered into as a result of this RGA shall contain all of the provisions of this clause.

**34. Electronic Signatures**

Each party agrees that the electronic signatures, whether digital or encrypted, of the parties included in this Agreement are intended to authenticate this writing and to have the same force and effect as manual signatures for this Agreement. Documents that are referenced by this Agreement may still require manual signatures.

**35. Executive Order N-6-22 – Russia Sanctions**

On March 4, 2022, Governor Gavin Newsom issued Executive Order [N-6-22](#) (the EO) regarding Economic Sanctions against Russia and Russian entities and individuals. "Economic Sanctions" refers to sanctions imposed by the U.S. government in response to Russia's actions in Ukraine, as well as any sanctions imposed under state law. The EO directs state agencies to terminate contracts with, and to refrain from entering any new contracts with, individuals or entities that are

determined to be a target of Economic Sanctions. Accordingly, should the State determine Contractor is a target of Economic Sanctions or is conducting prohibited transactions with sanctioned individuals or entities, that shall be grounds for terminations of this agreement. The State shall provide Contractor advance written notice of such termination, allowing Contractor at least 30 calendar days to provide a written response. Termination shall be at the sole discretion of the State.

**Section IV**

In Witness Whereof, the parties hereto have executed this RGA on the day and year first herein above written:

**STATE OF CALIFORNIA**

**CITY OF ALAMEDA**

**DEPARTMENT OF TRANSPORTATION**

By:   
Kathleen Stone-takai (Nov 14, 2022 15:57 PST)

By: 

Printed Name: Kathleen Stone-takai

Printed Name: Nancy Bronstein

Title: Contract Officer

Title: Interim City Manager

Date: 11/14/2022

Date: 10/25/2022

By:

Printed Name:

Title:

Date:

By: 

Printed Name: Celena H. Chen

Title: Chief Planning Counsel

Date: 10/25/2023

CITY OF ALAMEDA RESOLUTION NO. 15921

AUTHORIZING THE INTERIM CITY MANAGER TO EXECUTE ALL NECESSARY DOCUMENTS WITH THE CALIFORNIA DEPARTMENT OF TRANSPORTATION (CALTRANS) TO COMPLETE THE OAKLAND-ALAMEDA ESTUARY ADAPTATION PROJECT FOR \$500,000 TO DEVELOP AN ADAPTATION CONCEPT

WHEREAS, the City of Alameda is eligible to receive Federal or State funding for certain transportation planning related plans, through the California Department of Transportation; and

WHEREAS, the City of Alameda submitted a grant application to the California Department of Transportation (Caltrans) for funds from the Sustainable Transportation Planning grant program; and

WHEREAS, the Oakland-Alameda Estuary Adaptation Project will develop a holistic adaptation concept for the estuary that works for both Oakland and Alameda, and seeks input and active participation from community-based organizations to ensure the concept is responsive to community needs; and

WHEREAS, the project will allow the cities to prepare a sea level rise strategy for the estuary as part of a regional strategy to address rising water levels in the San Francisco Bay, and to coordinate with broader climate adaptation efforts; and

WHEREAS, a Restricted Grant Agreement is needed to be executed with the California Department of Transportation before such funds can be claimed through the Transportation Planning Grant Programs; and

WHEREAS, the City of Alameda wishes to delegate authorization to execute these agreements and any amendments thereto.

NOW, THEREFORE, BE IT RESOLVED, by the Alameda City Council that the Interim City Manager is authorized to execute all necessary documents including the Restricted Grant Agreements and any amendments thereto with the California Department of Transportation; and

BE IT FURTHER RESOLVED that a certified copy of this Resolution and its attachments, and any accompanying supporting materials shall be forwarded to the California Department of Transportation.

\*\*\*\*\*

I, the undersigned, hereby certify that the foregoing Resolution was duly and regularly adopted and passed by the Council of the City of Alameda in a regular meeting assembled on the 21<sup>st</sup> day of June 2022, by the following vote to wit:


AYES: Councilmembers Daysog, Herrera Spencer, Knox White, Vella and Mayor Ezzy Ashcraft – 5.

NOES: None.

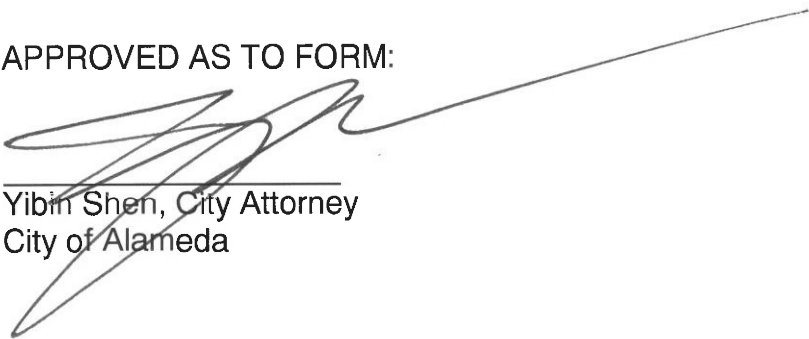
ABSENT: None.

ABSTENTIONS: None.

IN WITNESS, WHEREOF, I have hereunto set my hand and affixed the seal of said City this 22<sup>nd</sup> day of June 2022.

  
\_\_\_\_\_  
Lara Weisiger, City Clerk  
City of Alameda

APPROVED AS TO FORM:

  
\_\_\_\_\_  
Yibin Shen, City Attorney  
City of Alameda

# SCOPE OF WORK

Project Information	
Grant Category	Sustainable Communities Competitive
Grant Fiscal Year	2022/23
Project Title	Oakland-Alameda Estuary Adaptation Project
Organization	City of Alameda in partnership with City of Oakland

## Introduction

The purpose of this two-year grant is to **develop a concept** in coordination with community members, stakeholders, and the City Councils of Oakland and Alameda to protect both the downtown Oakland shoreline and Alameda's northern shoreline by Marina Village - including the Posey/Webster Tubes, which is Caltrans State Route 260 property, and the San Francisco Bay Trail - from expected sea level rise and to reduce the impacts of flooding. This Oakland-Alameda Estuary Adaptation Project will piggyback on work done by the Alameda County Transportation Commission for the Oakland Alameda Access Project, which is an improvement project for the Posey/Webster Tubes, and involves many of the same community members and stakeholders in both Oakland and Alameda. The Oakland-Alameda Estuary Adaptation Project will ensure long-term use of this multi-modal transportation system including the Caltrans' tubes, State Route 260, the SF Bay Trail and the adjacent areas for these two diverse communities including disadvantaged populations in both west Alameda and Oakland Chinatown/Downtown Oakland. Webpage: [www.alamedaca.gov/ShorelineWebsterPoseyTubes](http://www.alamedaca.gov/ShorelineWebsterPoseyTubes)

## Project Stakeholders

The City of Alameda is the grantee/applicant and the City of Oakland and community-based organizations are sub-applicants for this two-year grant. Consistent with Caltrans' Strategic Management Plan, stakeholders will be involved using a variety of in-person and online events and meetings, a project webpage, a project email list, community surveys, fact sheets in multiple languages and one-on-one follow-up emails/phone calls to ensure transparency, accountability and innovation. A stakeholder list includes the following:

- **Community based organizations:** Asian Pacific Environmental Network, Community Action for a Sustainable Alameda, East Oakland Collective, Oakland Chinatown Chamber of Commerce, The Sogorea Te Land Trust, West Oakland Environmental Indicators Project and Brower Dellums Institute for Sustainable Policy Studies
- **Adjacent properties:** Marina Village Business Park, College of Alameda, West Alameda Business Association, Jack London Improvement District, Oakland Chinatown Chamber of Commerce, Oakland Heritage Alliance, Alameda Architectural Preservation Society, Alameda Transportation Management Association, and the cities of Oakland and Alameda
- **Bicycling/Walking:** Bike East Bay, Bike Walk Alameda, Walk Oakland-Bike Oakland, and San Francisco Bay Trail
- **Estuary:** California Natural Resources Agency, East Bay Regional Park District, S.F. Bay Conservation and Development Commission, San Francisco Bay Regional Water Control Board, U.S. Army Corps, U.S. Coast Guard, San Francisco Estuary Institute, and Port of Oakland



- **Transportation:** Caltrans, BART, Capitol Corridor, Amtrak, Union Pacific, Port of Oakland, Alameda County Transportation Commission, and AC Transit
- **Utilities:** East Bay Municipal Utility District, Pacific, Gas & Electric, Alameda Municipal Power, Alameda County Flood Control and Water Control District, AT&T, Verizon and Comcast.

The project protects the Posey/Webster Tubes, the SF Bay Trail and Oakland and Alameda streets from flooding allowing for continued use in these disadvantaged communities. AC Transit runs Lines 19, 20, 51A, 96, 851, O and W through the tubes and the adjacent local streets, and transports a disproportionately higher number of lower-income community members and people of color totaling 400 buses daily through the tubes. The areas around the north and south tube portals also have a higher proportion of people with limited English proficiency at 24.8 percent. The demographic data for the study area adjacent to the tubes is as follows according to Census data:

- Individuals Below Poverty Threshold: up to 12.5 percent in Alameda and up to 56 percent in Oakland;
- Asian: up to 48.3 percent in Alameda and up to 84.8 percent in Oakland; and
- Total Minority Population: up to 83.5 percent in Alameda and up to 97.6 percent in Oakland.

## Overall Project Objectives

The purpose of this Oakland-Alameda Estuary Adaptation Project is for the cities of Oakland and Alameda to work together to **develop a holistic adaptation concept for the estuary by downtown Oakland and Alameda's Marina Village area including the Webster/Posey Tubes**, which works for both jurisdictions and seeks input and active participation from community-based organizations to ensure the concept is responsive to community needs. This project will serve as a proof of concept for multi-jurisdictional adaptation planning with active community-based organization involvement for the remaining areas of the estuary and San Leandro Bay.

The **City of Alameda's Climate Action and Resiliency Plan (2019)** includes an adaptation project for this northern shoreline area to protect the critical transportation infrastructure and the adjacent properties from a 100-year flood event and expected sea level rise. The City's Climate Plan was developed in close collaboration with Alameda partners, stakeholders and community members. A long-term solution requires continued involvement to ensure that the project will serve multiple functions as follows:

- Act as a barrier to the current 100-year coastal flood entry on the Alameda side;
- Protect adjacent commercial and residential properties within the flood zone;
- Act as a barrier using a conservative sea level rise scenario;
- Ensure interior drainage and projected emergent groundwater levels; and
- Become a FEMA-accredited project as a first step toward enabling the flood zone removal in this area.

The rate of sea level rise is dependent on global carbon dioxide emissions and other factors so it is not possible to determine exactly when the bay will rise by a certain amount. Following guidance from the State of California, the City of Alameda is using a high tide (mean higher high water, or MHHW) elevation of 10 feet North American Vertical Datum (NAVD) 88, which is approximately 3.5 feet above today's high tide (MHHW) for planning purposes to estimate future sea level rise and more extreme scenarios also will be considered in coordination with the City of Oakland. With 3.5 feet of sea level rise, the northern shoreline at the foot of Mariner Square Drive is likely to overtop on a daily basis due to sea level rise and so are portions of the Oakland shoreline, especially by Lake Merritt. Overtopping at this location is linked to projected inundation that is expected to extend along Webster Street and nearby roads and into the Webster and Posey

Tubes as well as to adjacent commercial buildings, the San Francisco Bay Trail and residential facilities.

The **City of Oakland's Draft Downtown Oakland Specific Plan** recommends the development of the following suite of protection measures to ensure that the city is prepared to face rising sea levels:

- Build a shoreline protection system to accommodate a mid-term rise in sea level of 3.5 feet, with development setbacks to allow for further adaptation for higher sea level rise.
- Develop a long-term adaptive management strategy to protect against even greater levels of sea level rise of up to 6.9 feet, plus future storm surge scenarios and consideration of increased magnitude of precipitation events.
- Consider designing temporary floodways within parking lots, walkways and roadways.
- Construct the storm drainage system to be gravity drained for sea level rise up to 3.5 feet and pumped thereafter. Pumping should be secondary to protection.
- Require that all critical infrastructure sensitive to inundation be located above the projected 3.5 feet rise in base flood elevation including Amtrak facilities, goods movement rail lines and BART infrastructure.
- Design buildings to withstand periodic inundation and prohibit below-grade habitable space in inundation zones.
- Where feasible, construct building pads and vital infrastructure at elevations 3 feet higher than the present-day 100-year flood event water level.
- Re-evaluate both Bay flooding and watershed flooding potential at key milestones in the Downtown Specific Plan's 20-year implementation horizon, to manage for changing sea level rise projections.

The grant will allow the City of Oakland to prepare a sea level rise strategy for the downtown area as part of a regional strategy to address rising water levels in the San Francisco Bay, and coordinate with the City's broader climate adaptation efforts.

## Summary of Project Tasks

01	Project Administration w/CBOs + Oakland/Alameda
02	Consultant Procurement w/CBOs + Oakland/Alameda
1	Existing Conditions w/CBOs + Oakland/Alameda
2	Analysis w/CBOs + Oakland/Alameda
3	Public Outreach w/CBOs as Leads
4	Advisory Committee Meetings w/CBOs + Oakland/Alameda
5	Draft and Final Concept w/CBOs + Oakland/Alameda
6	City Council - Cities of Alameda and Oakland

### Task 01: Project Administration

This task includes the following administrative activities and deliverables to be led by the City of Alameda in partnership with the City of Oakland and community-based organizations:

- Finalizing and onboarding the community-based organizations as sub-applicants to ensure awareness campaigns will occur in all the key areas of Oakland – west, downtown, Chinatown and east – as well as west Alameda and the Marina Village area
- Completing project kick-off meeting between the grantee and Caltrans at the start of the grant
- Invoicing and quarterly reporting to Caltrans

- Managing project according to the Grant Application Guidelines, Regional Planning Handbook, and the executed grant contract between Caltrans and the grantee
- DBE Reporting (federal grants only)

<b>Task 01 Deliverables</b>
Finalized list of CBOs as sub-applicants, Kick-off meeting with Caltrans - Meeting Notes, quarterly invoices and progress reports, DBE reporting (federal grants only).

### **Task 02: Consultant Procurement**

The City of Alameda in partnership with the City of Oakland and community-based organizations will procure a consultant, consistent with state and federal requirements, Local Assistance Procedures Manual for procuring non-Architectural and Engineering consultants, the Grant Application Guide, Regional Planning Handbook and the executed grant contract between Caltrans and the City of Alameda. This task is not for consultant charges.

<b>Task 02 Deliverables</b>
City of Alameda's current procurement procedures, copy of the Request for Proposal/Qualifications, copy of the contract between Consultant and City, copies of all amendments to the Consultant contract, meeting notes from project kick-off with Consultant.

### **Task 1: Existing Conditions**

The City staff/CBO/Consultant team will first familiarize themselves with the project by reviewing available studies and documents of the project areas and issues facing the project areas. The City staff/CBO/Consultant team will conduct site visits of the project areas to understand the project approach, concept and constraints to be considered in the design. Potential locations within the watershed for green infrastructure, nature-based solutions, and storm water retention/detention will be identified and reviewed. The City staff/CBO/Consultant team will refine the base maps to fully capture the extent of the project and to include any additional information useful to the project. The City staff/CBO/Consultant team will refine and finalize an existing condition memorandum to document site conditions.

<b>Task 1 Deliverables</b>
Field Visit Documents, Refined Base Map, Draft and Final Existing Condition Memorandum.

### **Task 2: Analysis**

This analysis task involves City staff/CBO/Consultant team completing the following:

- **Analyze alternatives** to identify the types of shoreline protection appropriate for each project area based on feasibility, project goals and sea level rise adaptability. This analysis includes "living levees," vegetated berms, sheet pile walls, concrete walls or hybrid combinations, and specifies which options are feasible in specific locations along the project alignment.
- **Develop green infrastructure alternatives** for the project watershed drainage area and promote multi-benefit designs to add resiliency to the communities. This analysis will

develop alternatives within the watershed to reduce peak discharge rates, reduce required storm drain system capital improvements, and improve water quality.

- **Conduct first round of outreach**, and present existing conditions and preliminary alternative options under consideration to the general public and the advisory committee as stated in Task 3 (Public Outreach).
- **Develop structural/nature-based alternatives** for berm and floodwall types, alignments and methods of adaptability.
- **Conduct second round of outreach** on the preliminary concept to the general public and the advisory committee as stated in Task 3 (Public Outreach).

<b>Task 2 Deliverables</b>
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Alternatives Memorandum with Matrix, Preliminary Concept Drawings and Cost Estimate.
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### Task 3: Public Outreach

The City staff/CBO/Consultant team will use a variety of formal and informal community engagement methods to facilitate grassroots community input and to build awareness of the project, including:

- **CBO Coordination:** Quarterly meetings to build capacity of local CBOs, which will increase technical capabilities within the specific neighborhoods and will help gain trust among these disparate groups to ensure environmental justice and high-quality outcomes;
- **CBO-led Community Meetings:** Focus group community meetings to ensure high-priority needs are met on both sides of the estuary. The meetings will piggyback on existing CBO neighborhood networks and will occur throughout the two-year project and at the following project stages: 1) kick-off, 2) existing conditions/preliminary alternative options, 3) preliminary concept, 4) draft concept, and 5) final concept;
- **Outreach Materials:** A designer will create materials such as fact sheets, infographics and posters in English, Chinese and Spanish to reach a broad audience in the project area;
- **Website/Email/Advertisement/Media Distributions:** Website, press releases, advertisements and email blasts will occur of the project materials throughout the two-year project and with special focus during the following project stages: 1) existing conditions/preliminary alternative options, 2) preliminary concept, 3) draft concept, and 4) final concept. Advertisements could include on-line media such as YouTube ads, Twitter and Instagram as well as print newspapers such as local Chinese newspapers;
- **Community Workshops:** Two community workshops either in person or virtual to present 1) existing conditions/preliminary alternative options; and 2) preliminary concept. If in person, the workshops will be held in project area neighborhoods to minimize travel and to ensure community member participation;
- **Public Venues:** Two rounds of public venues to present 1) existing conditions/preliminary alternative options; and 2) preliminary concept. Potential locations include the farmers markets in Old Oakland, Jack London District and in west Alameda as well as Liberation Park at Akoma Market in east Oakland;
- **Language Translations/Blind Services:** The project materials will be translated into Chinese and Spanish, and language interpreters will be available upon request at the community workshops and advisory committee meetings. Tactile maps will be available for blind community members; and

- **Community Surveys:** Two rounds of community surveys will be conducted in-person and on-line to obtain input on 1) existing conditions/preliminary alternative options; and 2) preliminary concept, in conjunction with community workshops to gauge effectiveness of outreach and for community members who missed an event.

The City staff/CBO/Consultant team will develop an alternatives selection matrix that includes public input, and will refine the alternatives based on comments received from the outreach effort to provide guidance on a draft and final concept.

#### Task 3 Deliverables

Outreach Materials including Multi-lingual Versions; Meeting presentations, notes/action items, receipts of light snacks and sign-in sheets from meetings, workshops and public venues; Press releases; Social Media Posts/Advertisements; Webpage links; Tactile maps; Email List Summary; Questionnaires and Survey Results.

#### Task 4: Advisory Committee Meetings

The City/CBO/Consultant team will host up to five Advisory Committee meetings, and also will coordinate with Caltrans and other regulatory agencies to ensure transparency and communication at the following project stages: 1) kick-off, 2) existing conditions/preliminary alternative options, 3) preliminary concept, 4) draft concept, and 5) final concept. Regulatory compliance requirements and strategies will be investigated and identified. All necessary steps, actions or requirements to fulfill compliance will be provided in the Basis of Design/Next Steps memo in Task 5.

The City staff/Consultant team intends to include a full list of stakeholders in the Advisory Committee meetings to ensure a comprehensive approach that considers a broad perspective as follows:

- **Community based organizations:** Asian Pacific Environmental Network, Community Action for a Sustainable Alameda, East Oakland Collective, Oakland Chinatown Chamber of Commerce, The Sogorea Te Land Trust, West Oakland Environmental Indicators Project and Brower Dellums Institute for Sustainable Policy Studies
- **Adjacent properties:** Marina Village Business Park, College of Alameda, West Alameda Business Association, Jack London Improvement District, Oakland Chinatown/Chamber of Commerce, Oakland Heritage Alliance, Alameda Architectural Preservation Society, Alameda Transportation Management Association, and the cities of Oakland and Alameda
- **Bicycling/Walking:** Bike East Bay, Bike Walk Alameda, Walk Oakland-Bike Oakland and San Francisco Bay Trail
- **Estuary:** Alameda County Flood Control District, California Natural Resources Agency, East Bay Regional Park District, S.F. Bay Conservation and Development Commission, San Francisco Bay Regional Water Control Board, U.S. Army Corps, U.S. Coast Guard, and Port of Oakland
- **Transportation:** Caltrans, BART, Capitol Corridor, Amtrak, Union Pacific, Port of Oakland, Alameda County Transportation Commission, and AC Transit
- **Utilities:** East Bay Municipal Utility District, Pacific Gas & Electric, Alameda Municipal Power, Alameda County Flood Control and Water Control District, AT&T, Verizon and Comcast.

#### Task 4 Deliverables

Advisory Committee meeting agendas, minutes/action items/attendees and documents for up to five meetings with the full group of stakeholders as well as a sub-set of the committee to cover Caltrans and regulatory compliance coordination.

### **Task 5: Draft and Final Concept**

The City/CBO/Consultant team will perform the following so as to document the concept:

- Develop a Basis of Design/Next Steps Report to document necessary information and specification required for design including a shoreline concept, the use of inland detention facilities, green infrastructure and nature-based solutions.
- Develop 10 percent design drawings, planning level cost estimates and project schedule. These documents will be made available for public, Advisory Committee and agency review for further comments and input.

<b>Task 5 Deliverables</b>
Basis of Design/Next Steps Report, 10% Design Drawings, 10% Cost Estimates, and 10% Schedule, which credit Caltrans and is submitted to Caltrans in ADA accessible electronic formats.

### **Task 6: City Council - Cities of Alameda and Oakland**

The City/CBO/Consultant team will present the recommended concept to the City Councils of Oakland and Alameda for direction. Along with the recommended concept, the City Councils also will review the other completed deliverables from this grant effort such as the finalized existing conditions memo, the alternatives analysis, the Basis of Design/Next Steps memo and a summary of community member and stakeholder involvement and comments. The City Councils also will be asked to weigh in on the next steps, which will be to seek additional funds to complete the environmental clearance and permitting, the plans, specifications and estimate (PS&E) and then construction. Each of these phases is expected to take at least one year to complete with expected project completion by 2028 at the earliest possible date.

<b>Task 6 Deliverables</b>
City Council Agendas, presentation materials, meeting minutes with City Council direction.





California Department of Transportation  
Division of Transportation Planning

## Sustainable Transportation Planning Grant Program

Fiscal Year 2022-23

# GRANT APPLICATION GUIDE

Sustainable Communities and  
Strategic Partnerships

## Grant Application Deadline

Wednesday, October 27, 2021 at 5:00 P.M.

Submit Applications to: [Regional.Planning.Grants@dot.ca.gov](mailto:Regional.Planning.Grants@dot.ca.gov)





**ADA Notice:** For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.

Updated September 2021

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# 1. GRANT PROGRAM OVERVIEW

The Sustainable Transportation Planning Grant Program was created to support the California Department of Transportation's (Caltrans) Mission: Provide a safe and reliable transportation network that serves all people and respects the environment.

The California Legislature passed, and Governor Edmund G. Brown Jr. signed into law, Senate Bill 1 (SB 1, Beall, Chapter 5, Statutes of 2017), the Road Repair and Accountability Act of 2017, a transportation funding bill that will provide a reliable source of funds to maintain and integrate the State's multi-modal transportation system. In addition to the \$9.5 million in traditional State and federal grants, approximately \$25 million in SB 1 funds for Sustainable Communities Grants is available for the Fiscal Year (FY) 2022-23 grant cycle. The period of grant fund availability spans over three FYs and approximately 27 months for grant project activities after the grant agreement is executed and Caltrans issues a Notice to Proceed. Refer to Chapter 8.2 for details regarding the anticipated grant project start and expiration dates.

The SB 1 grant funding is intended to support and implement Regional Transportation Plan (RTP) Sustainable Communities Strategies (SCS) (where applicable) and to ultimately achieve the State's greenhouse gas (GHG) reduction target of 40 and 80 percent below 1990 levels by 2030 and 2050, respectively.

Eligible planning projects must have a transportation nexus per Article XIX Sections 2 and 3 of the California Constitution. Therefore, successful planning projects are expected to directly benefit the multi-modal transportation system. These grants will also improve public health, social equity, environmental justice, the environment, and provide other important community benefits.

## 1.1 Sustainable Transportation Planning Grant Summary Chart

Grant	Fund Source	Purpose	Who May Apply	Local Match
Sustainable Communities Competitive	<p><b>Budget</b></p> <p>RMRA and SHA</p> <p>State funds</p> <p>Approx. \$17 million</p> <p>Approx. \$3 million will be set-aside for technical projects such as data acquisition or travel model updates</p> <p>Goal: 50% of grants should benefit Disadvantaged Communities***</p> <p><b>Grant Minimum</b></p> <p>\$50,000 for Disadvantaged Communities, including Native American Tribal Governments and rural communities;</p> <p>\$100,000 for all others</p> <p><b>Grant Maximum</b></p> <p>\$700,000</p>	<p>Funds local and regional multimodal transportation and land use planning projects that further the region's RTP SCS (where applicable), contribute to the State's GHG reduction targets, and assist in achieving the Caltrans Mission and Grant Program Objectives (See Chapter 1.2).</p>	<p><b>The following are eligible to apply as a primary applicant:</b></p> <ul style="list-style-type: none"> <li>• MPOs <b>with sub-applicants</b></li> <li>• RTPAs</li> <li>• Transit Agencies;</li> <li>• Cities and Counties with compliant Housing Elements and completed Annual Progress Reports;</li> <li>• Native American Tribal Governments</li> <li>• Other Public Transportation Planning Entities</li> </ul> <p><b>The following are eligible to apply as a sub-applicant:</b></p> <ul style="list-style-type: none"> <li>• MPOs/RTPAs</li> <li>• Transit Agencies</li> <li>• Universities and Community Colleges</li> <li>• Native American Tribal Governments</li> <li>• Cities and Counties with compliant Housing Elements and completed Annual Progress Reports</li> <li>• Community-Based Organizations</li> <li>• Non-Profit Organizations (501.C.3)</li> <li>• Other Public Entities**</li> </ul>	<p>11.47% minimum (in cash or an in-kind* contribution).</p> <p>The entire minimum 11.47% local match may be in the form of an eligible in-kind contribution.</p> <p>Staff time from the primary applicant counts as cash match.</p>
	<p><b>Budget</b></p> <p>RMRA</p> <p>State funds</p> <p>\$12.5 million</p>			
Sustainable Communities Formula	<p><b>Budget</b></p> <p>RMRA</p> <p>State funds</p> <p>\$12.5 million</p>	<p>Funds local and regional multimodal transportation and land use planning projects that further the region's RTP SCS (where applicable), contribute to the State's GHG reduction targets, and assist in achieving the Caltrans Mission and Grant Program Objectives (See Chapter 1.2).</p>	<p><b>The following are eligible to apply as a primary applicant:</b></p> <ul style="list-style-type: none"> <li>• MPOs</li> </ul>	<p>11.47% minimum (in cash or an in-kind* contribution).</p> <p>The entire minimum 11.47% local match may be in the form of an eligible in-kind contribution.</p> <p>Staff time from the primary applicant counts as cash match.</p>

\* For third party in-kind contribution requirements, refer to Chapter 5.4 of this Guide.  
 \*\* Public entities include state agencies, the Regents of the University of California, district, public authority, public agency, and any other political subdivision or public corporation in the State (Government Code Section 811.2).  
 \*\*\* For purposes of this grant program, disadvantaged communities are the most vulnerable places that are facing disproportionate rates of economic, environmental, and health burdens, and are defined according to the tools in Appendix A.

Caltrans Sustainable Transportation Planning Grant Program

Grant	Fund Source	Purpose	Who May Apply	Local Match
Strategic Partnerships	<b>Budget</b> FHWA SPR, Part I Federal funds \$1.5 million <b>Grant Minimum</b> \$100,000 <b>Grant Maximum</b> \$500,000	Funds transportation planning studies in partnership with Caltrans that address the regional, interregional and statewide needs of the State highway system, and also assist in achieving the Caltrans Mission and Grant Program Objectives (See Chapter 1.2).	<b>The following are eligible to apply as a primary applicant:</b> <ul style="list-style-type: none"> <li>• MPOs</li> <li>• RTPAs</li> </ul> <b>The following are eligible to apply as a sub-applicant:</b> <ul style="list-style-type: none"> <li>• MPOs/RTPAs</li> <li>• Transit Agencies</li> <li>• Universities and Community Colleges</li> <li>• Native American Tribal Governments</li> <li>• Cities and Counties</li> <li>• Community-Based Organizations</li> <li>• Non-Profit Organizations (501.C.3)</li> <li>• Other Public Entities**</li> </ul>	20% minimum (in non-federal funds or an in-kind* contribution). The entire minimum 20% local match may be in the form of an eligible in-kind contribution. Staff time from the primary applicant counts as cash match.
	<b>Budget</b> FTA Section 5304 Federal funds \$3 million <b>Grant Minimum</b> \$75,000 for rural RTPAs; \$100,000 for MPOs <b>Grant Maximum</b> \$500,000			
<p>* For third party in-kind contribution requirements, refer to Chapter 5.4 of this Guide.            ** Public entities include state agencies, the Regents of the University of California, district, public authority, public agency, and any other political subdivision or public corporation in the State (Government Code Section 811.2).</p>				

## 1.2 Grant Program Objectives and Considerations

Successful grant applications address and articulate how the project relates to the Caltrans Mission, Grant Program Objectives, and Grant Program Considerations. The Grant Specific Objectives identified in Chapters 2.1, 3.1, and 4.1 indicate the specific purpose of the Sustainable Communities Grants and Strategic Partnership Grants, respectively, and must also be considered when preparing an application.

### Grant Program Objectives

The following Grant Program Objectives are focused on achieving the Caltrans Mission and are intended to inform application development, including:

Objective	Description
<b>Sustainability</b>	Promote reliable and efficient mobility for people, goods, and services, while meeting the State's GHG emission reduction goals, preserving the State's natural and working lands, and preserving the unique character and livability of California's communities.
<b>Preservation</b>	Preserve the transportation system through protecting and/or enhancing the environment, promoting energy conservation, improving the quality of life, and/or promoting consistency between transportation improvements and State and local planning growth and economic development patterns.
<b>Accessibility</b>	Increase the accessibility of the system and mobility of people, inclusive of those with disabilities, and freight.
<b>Safety</b>	Increase the safety and/or security of the transportation system for motorized and active transportation users.
<b>Innovation</b>	Promote the use of technology and innovative designs to improve the performance and social equity of our transportation system and provide sustainable transportation options.
<b>Economy</b>	Support the economic vitality of the area (i.e. enables global competitiveness, enables increased productivity, improves efficiency, increases economic equity by enabling robust economic opportunities for individuals with barriers to employment and for Disadvantaged Business Enterprise (DBE), etc.).
<b>Health</b>	Decrease exposure to local pollution sources, reduce serious injuries and fatalities on the transportation system, and promote physical activity across the lifespan, inclusive of those with disabilities, especially through transportation means.
<b>Social Equity</b>	Promote transportation solutions that focus on and prioritize the needs of disadvantaged communities most affected by poverty, air pollution and climate change, and promote solutions that integrate community values with transportation safety and performance while encouraging meaningful public involvement in the transportation decision making process.

## Grant Program Considerations

The Grant Program supports related State and federal mandated initiatives. The Plans and Programs listed below should be considered in grant application development. Definitions and links to these resources can be found in Appendix A.

### Caltrans Strategic Plan

The purpose of the Strategic Plan is to be a roadmap of Caltrans' role, expectations, and operations as we meet the challenges of modernizing Caltrans into a world-class Department of Transportation. The tools we use to implement this Plan are performance management, transparency, accountability, sustainability, and innovation. The Plan serves a number of functions:

- Provides clear direction for meeting statewide objectives;
- Creates and deepens strategic partnerships; and
- Provides performance measures that monitor success

This roadmap is used to guide and inform the development of the Sustainable Transportation Planning Grant Program.



### California Transportation Plan 2050

The California Transportation Plan (CTP) 2050 is the State's statutorily fiscally unconstrained long-range transportation roadmap for positive change that:

- Provides a unifying and foundational policy framework for making effective, transparent, and transformational transportation decisions in California
- Addresses the varied transportation needs of urban, suburban, rural, and Tribal communities
- Emphasizes implementation and identifies a timeline, roles, and responsibilities for each plan recommendation.

The CTP does not contain projects, but policies and strategies required to close the gap between what the regional transportation plans (RTP) aim to achieve and how much more is required to meet 2050 goals. Competitive applications will discuss how proposed projects will assist in achieving the CTP 2050.



### Modal Plans that Support the California Transportation Plan

The CTP is the umbrella plan that informs and pulls together the State's long-range modal plans, described below, to envision the future system:

- Interregional Transportation Strategic Plan
- California Freight Mobility Plan
- California State Rail Plan
- California State Bicycle and Pedestrian Plan
- California High-Speed Rail Business Plan
- Statewide Transit Strategic Plan
- California Aviation System Plan



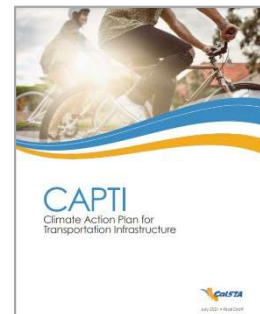
## Title VI and Environmental Justice

Title VI of the U.S. Civil Rights Act prohibits discrimination on the basis of race, color, or national origin in programs or activities receiving federal financial assistance. A similar prohibition applies to recipients of state funds under California Government Code section 11135, which prohibits discrimination on the basis of race, color or national origin, as well as ethnic group identification, religion, age, sex, sexual orientation, genetic information, or disability.

Caltrans integrates Title VI as well as environmental justice in all activities. In the past, low-income and minority communities disproportionately bore many of the negative impacts of transportation projects. It is the goal of environmental justice to ensure that when transportation decisions are made, low-income and minority communities have a full opportunity to participate in the decision-making process, and they receive an equitable distribution of benefits and not a disproportionate share of burdens, which contribute to poor health outcomes.

## Climate Action Plan for Transportation Infrastructure

The Climate Action Plan for Transportation Infrastructure (CAPTI) details how the state recommends investing billions of discretionary transportation dollars annually to aggressively combat and adapt to climate change while supporting public health, safety and equity. CAPTI builds on executive orders signed by Governor Gavin Newsom in 2019 and 2020 targeted at reducing greenhouse gas (GHG) emissions in transportation, which account for more than 40 percent of all emissions, to reach the state's ambitious climate goals. Competitive grant applications will discuss how proposed projects will assist in achieving CAPTI.



## 2. SUSTAINABLE COMMUNITIES COMPETITIVE AND TECHNICAL

Approximately \$12 million in State Road Maintenance and Rehabilitation Account (RMRA) funds and \$5 million in State Highway Account (SHA) funds, or a combined total of \$17 million will be distributed through a competitive program to Metropolitan Planning Organizations (MPOs) with a sub-applicant(s), Regional Transportation Planning Agencies (RTPAs), cities and counties, transit agencies, and Native American Tribal Governments. MPOs can apply to the Sustainable Communities Competitive Grants only in collaboration with a sub-applicant(s).

Approximately \$3 million will be set-aside for a technical project sub-category. In accordance with the recent release of the guidance documents for the implementation of Senate Bill 743 (SB 743, Chapter 386, Statutes of 2013), there is a current need for improved tools to measure VMT and induced travel.

Funding distribution for the competitive program will depend on the quality and number of applications.

### 2.1 Purpose and Specific Objectives

The purpose of the Sustainable Communities grants is to fund local and regional multimodal transportation and land use planning projects that further the region's RTP SCS (where applicable), contribute to the State's GHG reduction targets, and assist in achieving the Caltrans Mission and Grant Program Objectives, and must be considered when preparing the grant application.

A minimum threshold of 50 percent of Sustainable Communities Competitive and Technical Grants has been identified for projects that benefit disadvantaged communities, which includes Native American Tribal Governments and rural communities (for transportation planning purposes, rural is defined as all areas of the State that are not included in urbanized areas of 50,000 in population or greater; refer to Appendix C. Caltrans/Regional Agency Boundaries Map, which indicates rural areas). For purposes of the grant program, acceptable disadvantaged communities definitions are described in Appendix A and include:

- Rural communities of 50,000 or less and outside of urbanized areas
- Native American Tribal Governments
- Regionally/locally defined disadvantaged communities
- At or below 80% Assembly Bill 1550 (Gomez, Statutes of 2016)
- At or above 75% California Department of Education, Free or Reduced Priced Meals Data
- At or above 75% CalEnviroScreen Version 3.0
- At or below 25% California Healthy Places Index (HPI)

Sustainable Communities Competitive applicants must demonstrate how the project fits every aspect of the Grant Specific Objective, as appropriate for the applicant and project type. The grant specific objectives for Sustainable Communities grants are listed below. Detailed information on how to achieve these objectives can be found in Appendix A:

- Encourage local and regional multimodal transportation and land use planning that furthers the region's RTP SCS (where applicable)

## Caltrans Sustainable Transportation Planning Grant Program

- Contribute to the State's GHG reduction targets and other State goals, including but not limited to, the goals and best practices cited in the 2017 RTP Guidelines
- Address the needs of disadvantaged communities
- Assist in achieving the Caltrans Mission and Grant Program Objectives (See Chapter 1.2).

Sustainable Communities Technical project types do not require public engagement due to their technical nature, but applicants should explain how the public will be involved at later stages of the planning process. However, applicants are required to collaborate with and involve appropriate stakeholders with technical expertise. Technical applications are scored under the same criteria as all other project types, they are grouped with other technical projects, and they compete at the same level. Refer to Chapter 2.2 for Example Technical Project Types. Caltrans will screen applications submitted under this category to ensure they are in-fact technical projects. If it is found that the project is not one of a technical nature, it will compete with the other Sustainable Communities Competitive applicant pool.

Applicants must demonstrate how the project fits every aspect of the Grant Specific Objective, as appropriate for the applicant and project type. The following guidance, tools, and resources are provided to assist applicants in preparing a competitive grant application consistent with the grant program and specific objectives and the Plans and Programs outlined in the Grant Program Considerations. Guidance, tools, and website links for the list below are provided in Appendix A of this document.

- Advance Transportation Related GHG Reduction Project Types/Strategies
- Addressing the Needs of Disadvantaged Communities
- Public Health Resources
- Active Community Engagement
- Integrated Housing, Land Use and Transportation Planning
- Promote the Region's RTP/SCS and State Planning Priorities, and Climate Adaptation Goals
- Climate-Ready Transportation

## 2.2 Example Project Types

The examples below are organized in the following grant project types: Active Transportation; Climate Change; Corridor and Freight; Social Equity; Integrated Housing, Land Use, and Transportation; Multimodal; Safety; Technical; and, Transit.

### Active Transportation

- Active transportation plans, including bicycle, pedestrian and trail master plans
- Plans for bike parking facilities
- Rural planning studies or plans that provide rural counties the ability to develop active transportation plans with a rural context-sensitive focus and allow for rural regions to contribute to the State's GHG reduction targets
- Studies or plans that include a temporary built environment demonstration, e.g., tactical urbanism

### Climate Change

- Studies, plans or planning methods that advance a community's effort to address the impacts of climate change, such as sea level rise, flooding, wildfires, and mudslides, which may include the use of natural infrastructure to reduce the impacts of climate change
- Climate change adaptation plans for transportation facilities

## Corridor and Freight

- Corridor enhancement studies
- Studies or plans related to zero emissions vehicle goods movement
- Freight/goods movement plans and studies
- Local or regional corridor plans
- Studies and plans that can help to quantify and highlight the value and importance of the rural State transportation system which connects large urban centers to rural open space, State and federal lands, and recreation and agriculture hubs.
- Studies and plans to mitigate for impacts to the rural transportation system due to increased interregional tourism and visitor traffic
- Modeling improvements that address SB 743 implementation and induced travel (see Sustainable Communities – Technical grant-specific objectives in Chapter 2.1)
- Complete Streets plans that consider last-mile freight
- Curbside freight management plans
- Sustainable freight plans
- Agriculture goods movement plans
- Freight/supply chain resiliency studies

## Social Equity

- Community Needs Assessments
- Health and transportation studies, including health equity transportation studies and other plans that incorporate health into transportation planning
- Studies to improve access to social services and other community destinations for disadvantaged communities
- Studies, plans or planning methods that address environmental justice issues in a transportation related context
- Congestion pricing studies including plans that enhance social equity and avoid inequitable cost burdens
- Planning to remove or reduce barriers created by transportation infrastructure such as highways, overpasses and underpasses, that create disconnected communities
- Studies or plans to ensure that infill and transit-oriented development benefits existing residents and businesses, low-income and disadvantaged communities, and minimizes displacement
- Outreach to educate disadvantaged communities on mode shifts to electric forms of transportation, as part of a plan or study as appropriate
- Student internships for rural agencies and/or disadvantaged communities

## Integrated Housing, Land Use, and Transportation

- Studies, plans or planning methods that assist transportation agencies in creating sustainable communities and transit-oriented development
- SCS development

## Caltrans Sustainable Transportation Planning Grant Program

- Studies that promote greater access between affordable housing and job centers
- Station area planning
- Integration of transportation and environmental planning
- First Mile/Last Mile project development planning
- An update to a general plan land use element or zoning code that increases development opportunities around key transportation corridors or nodes
- Creation of a Transit-Oriented Development overlay zone or other special zoning district around key transportation corridors or nodes
- Studies, plans, and policies that address land use conflicts with major transportation corridors such as major highways, ports, shipping and freight corridors, etc. that are near sensitive land uses such as homes, schools, parks, etc. or potentially impacted by climate change

### Multimodal

- Complete Streets plans
- Long range transportation plans for tribal governments
- Studies, plans or planning methods that advance a community's effort to reduce single occupancy vehicle trips and transportation related GHG through strategies including, but not limited to, advancing mode shift, demand management, travel cost, operational efficiency, accessibility, and coordination with future employment and residential land use
- Context-sensitive streetscapes or town center plans
- Studies that evaluate accessibility and connectivity of the multimodal transportation network
- Shared mobility services planning studies
- Community outreach plans for park-and-ride lots

### Safety

- Bike and pedestrian plans with a safety enhancement focus, including Vision Zero plans
- Community to school studies or safe routes to school plans
- Traffic calming and safety enhancement plans

### Technical

- Transportation modeling studies that address SB 743 implementation and induced travel, active transportation, emerging technology, public health, VMT and other impacts
- Planning for zero or near zero emission vehicles
- Electric vehicle charging infrastructure network planning
- Transit planning for zero emission bus fleets
- Planning for autonomous vehicles
- Road or parking pricing studies
- Transportation Demand Management studies
- Commute trip reduction studies and plans
- Data collection/data sharing initiatives

## Caltrans Sustainable Transportation Planning Grant Program

- Integration of transit, new emerging technologies, and shared mobility services
- Educational outreach for mode shifts to electric forms of transportation, as part of a plan or study as appropriate

### Transit

- Identification of policies, strategies, and programs to preserve transit facilities and optimize transit infrastructure
- Transit planning studies related to accessible transit, paratransit, mobility management, etc.
- Studies, plans, or outreach for school public transit, school pool ridesharing
- Strategies to increase transit ridership
- Studies or plans that evaluate commuter rail or multi-modal connectivity
- Studies or plans that evaluate first and last mile transit connectivity

## 2.3 Eligible and Ineligible Activities and Expenses

### Eligible Activities and Expenses

Eligible activities must have a transportation nexus per the California Constitution, Article XIX Section 2 and 3. Applicants need to consult with Caltrans district staff for more information on whether costs are eligible for funding.

Some examples of eligible costs include:

- Data gathering and analysis
- Planning consultant procurement
- Advertising for consultant procurement
- Advertising for public workshops, e.g., flyers, paid media ads
- Travel expenses (See Chapter 5.4 for details)
- Up to 30 percent design or conceptual drawings
- Equipment (as defined in 2 CFR Part 200.33)<sup>1</sup> purchases must remain under \$5,000 or depreciation will need to be taken in to account when the grant project is completed since equipment could have future uses. 2 CFR Part 200.436<sup>2</sup> provides the criteria for depreciation.
- Community surveys, meetings, public workshop room rental, charrettes, focus groups
- Virtual outreach activities and on-line meetings
- Bilingual services for interpreting and/or translation services for meetings
- Community/stakeholder advisory groups

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<sup>1</sup> Electronic Code of Federal Regulations, 2 Code of Federal Regulations, Part 200.33, 2020, <https://www.ecfr.gov/cgi-bin/text-idx?SID=c16296aecfef71d582e0634cf6658cf1&node=2:1.1.2.2.1.1.28.34&rgn=div8>

<sup>2</sup> Govinfo, 2 Code of Federal Regulations, Part 200.436, 2014, <https://www.govinfo.gov/app/details/CFR-2014-title2-vol1/CFR-2014-title2-vol1-sec200-436>

## Caltrans Sustainable Transportation Planning Grant Program

- Light snacks and refreshments for public workshops (no full meals), subject to Caltrans approval
- Project administration (up to 5 percent of the grant is allowed, i.e., quarterly reports, invoicing, and kick-off meeting with Caltrans)

### Ineligible Activities and Expenses

Some activities, tasks, project components, etc. are not eligible under these grant programs. If an application has any of the following elements, it will be disqualified.

Ineligible activities and expenses include:

- Environmental studies, plans, or documents normally required for project development under the National Environmental Policy Act or the California Environmental Quality Act
- Engineering plans and design specification work
- Project Initiation Documents
- Program or project implementation
- Repurposing unspent grant funds (not applicable to Sustainable Communities Formula)
- Application development to pursue construction funds/project implementation
- RTPs or updates to the RTP, excluding SCS development
- Construction projects, capital costs, such as the building of a facility, or maintenance
- Office furniture purchases, or other capital expenditures
- Decorations, e.g., for public workshop events
- Acquisition of vehicles or shuttle programs
- Organizational membership fees
- Incentives for public participation, e.g., full meals, prizes, freebies, promotional/marketing items
- Charges passed on to sub-recipient for oversight of awarded grant funds
- Other items unrelated to the project

## 2.4 Tips for Successful Sustainable Communities Grant Applications

### Criteria for Successful Sustainable Communities Grant Applications:

Some guidance is provided below however, it is not intended to be all inclusive.

- Integrate Grant Program Considerations (See Chapter 1.2)
- Advance transportation related GHG emission reduction project types/strategies (i.e., mode shift, demand management, travel cost, operational efficiency, accessibility, and coordination with future employment and residential land use, etc.)
- Identify and address deficiencies in the multimodal transportation system, including the needs of environmental justice and disadvantaged communities, including Native American Tribal Governments and rural communities
- Encourage stakeholder collaboration
- Involve active community engagement



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- Coordinate transportation, housing, and land use planning
- Promote the region's RTP SCS (where applicable), State planning priorities (Government Code Section 65041.1, and climate adaptation goals (Safeguarding California)
- Result in funded and programmed multimodal transportation system improvements

### General Tips

- Some sections of the grant application may seem redundant when discussing disadvantaged community engagement, overall public engagement, and stakeholder involvement. Although the general public and disadvantaged communities are stakeholders for any project, for application purposes, the strategy and methods for engaging these groups will be different, as described below.
  - Overall public engagement will describe the general strategy to engage the public at large;
  - Disadvantaged communities engagement will explain how the project will go above and beyond business as usual to address the specific needs of disadvantaged communities and use unique methods to involve these groups in the decision-making process.
  - Stakeholder engagement will explain how partner agencies, businesses, and/or non-profit community-based organizations will be involved throughout the project.
- Consult with your district representative for technical assistance before the application deadline.
- Use the Samples and Checklists provided for the Application, Scope of Work, and Cost and Schedule.
- Include Caltrans as an active partner in the study.
- Provide tailored letters of support and project area photographs to enhance the application. If applicants/supporters do not have the time/resources to provide tailored letters of support, a petition signed by supporters in a simple table format that lists the supporters **and** specifically how supporters will benefit the proposed project will suffice.

### Project Description

Concisely describe the project. Explain "What parties are involved, the proposed major milestones, and why the project is necessary."

### Project Justification

- Clearly define and explain the transportation problem or deficiency that the project will attempt to address and how the project will address the problem. Why is it critical to address the problem now? Make the case for a critical need that the project will address and support it with verifiable data, if available.
- Explain how the project area or portions of the project area are a disadvantaged community. The tools in Appendix A are intended to help applicants define a disadvantaged community. Please cite data sources, the tools used, and include a comparison to the statewide thresholds that are established in each tool.



## Caltrans Sustainable Transportation Planning Grant Program

- If the applicant is a Native American Tribal Government or a rural area (outside of the urbanized areas with 50,000 in population or greater) of the State, include population characteristics.

### Grant Specific Objectives

Demonstrate how the project fits every aspect of the Grant Specific Objective, as appropriate for the applicant and project type. Some guidance is provided below; however, it is not intended to be all inclusive. Applications should reference Appendix A for Resources to Advance Sustainable Communities Grant Specific Objectives.

Successful applications should include:

#### Planning for Housing and Housing Element Compliance

- In order to avoid a deduction of 5 points, applicants must demonstrate how they integrate housing planning into their policies, programs and project, or commit to coordinate housing and transportation in future policies and programs throughout the application (e.g. narrative and scope of work). See Chapter 2.2 for a list of example projects that coordinate housing, land use, and transportation.
- City and county primary/sub-grant applicants are required to submit a housing element adopted by the local government to HCD by the application due date.

To be eligible for a funding award, HCD must find the adopted housing element in substantial compliance with state housing element law pursuant to Government Code Section 65585 by the date of award recommendation.

- City and county primary/sub-grant applicants are also required to submit completed Annual Progress Reports (APRs) to HCD for at least the previous two years, 2019 and 2020.

**Note:** Charter cities are not exempt from this specific program requirement and must submit an Annual Progress Report for the calendar years mentioned above.

#### Community Engagement

- Refer to Appendix A for Community Engagement Best Practices
- Evidence of additional public outreach measures that promote access to decision-making and program implementation for all segments of the community, including special needs populations, disadvantaged communities, and a variety of socio-economic groups (e.g. households across the income and employment spectrum, ethnically and racially diverse households).
- The application narrative should outline specific outreach strategies that will be utilized, considering the current COVID-19 environment.

#### IMPORTANT TIPS:

- ✓ City and county primary/sub-grant applicants are required to submit a housing element adopted by the local government to HCD by the application due date.

## Caltrans Sustainable Transportation Planning Grant Program

- Tailored letters of support with electronic signatures from community-based organizations or public advocacy groups to demonstrate their support or involvement in identifying the issues that the proposed project is attempting to address.
- If applicants/supporters do not have the time/resources to provide tailored letters of support, a petition electronically signed by supporters in a simple table format that indicates specifically how supporters will benefit the proposed project will suffice.

### Integrated Housing, Land Use, and Transportation Planning

- Application narrative and any relevant supporting or illustrative data should describe how the proposed project integrates land use and transportation, including how transportation and land use agencies or jurisdictions are actively collaborating on the project in all project phases.
- Competitive grant applications should demonstrate how the project furthers this coordinated and integrated approach to planning.

### Project Management

- **Scope of Work:** Refer to the Scope of Work Checklist in Appendix B.
- **Cost and Schedule (Project Timeline):** Refer to the Cost and Schedule Checklist in Appendix B.

#### HELPFUL TIPS:

Tailored letters of support from local agencies that not only provide support for the project, but also confirms that the proposed project:

- ✓ Helps to implement the RTP SCS and/or State priorities
- ✓ Involves a coordinated approach to integrating land use and transportation in all phases of project planning and implementation.

### 3. SUSTAINABLE COMMUNITIES FORMULA


\$12.5 million will be distributed to the MPOs on a formula basis. The formula funds for the MPOs will reflect the same formula used to distribute Federal Highway Administration (FHWA) Metropolitan Planning PL funds.

The FHWA PL formula has three components:

1. A base allocation
2. A two-part population component which distributes funds by the proportion of the total population of each MPO based on California Department of Finance estimates each January
3. An Air Quality component based on the proportion of federal Congestion Mitigation Air Quality funds to total programmatic FHWA PL funds

#### 3.1 Purpose and Specific Objectives

The purpose of the Sustainable Communities Formula is to fund local and regional multimodal transportation and land use planning projects that further the region's RTP SCS (where applicable), contribute to the State's GHG reduction targets, and assist in achieving the Caltrans Mission and Grant Program Objectives (See Chapter 1.2).



**The intent of the Sustainable Communities Formula Grants is to carry out the objectives of the region's RTP SCS (where applicable) and the RTP Guidelines Appendices K and L.**

The specific objectives, eligibility requirements, and performance considerations for the Sustainable Communities Formula Grants awarded to MPOs are consistent with the Sustainable Communities Competitive Grants.

The intent of the Sustainable Communities Formula Grants is to carry out the objectives of the region's RTP SCS (where applicable) and the RTP Guidelines Appendices K and L. In addition, MPOs are strongly encouraged to administer Sustainable Communities Formula funding in a transparent manner and maintain non-profit eligibility, consistent with the legislative intent of SB 1 - The Road Repair and Accountability Act of 2017.

## 3.2 Guidance, Tools, and Resources

### Minimum Eligibility Criteria

MPOs should meet the following minimum eligibility criteria to apply for Sustainable Communities Formula grants:

- Of the Consolidated Planning Grant, FHWA PL carryover is at or below 100 percent of the annual FHWA PL allocation
- Have an RTP SCS that meets the SB 375 GHG reduction targets
- Meet civil rights and environmental justice obligations, as summarized in Section 4.2 of the RTP Guidelines

If an MPO does not meet the minimum eligibility criteria listed above, their allocation will be redistributed to the remaining MPOs that are eligible and apply for the Sustainable Communities Formula Grants.

#### IMPORTANT NOTE:

- ✓ If an MPO does not meet the minimum eligibility criteria, their allocation will be redistributed to the remaining MPOs that are eligible and apply for the Sustainable Communities Formula Grants.

### Annual Draft Overall Work Program (OWP) Development and Approval Process

Sustainable Communities Formula Grants are part of the annual draft Overall Work Program (OWP) development and approval process. The draft OWP process includes meaningful consultation with Caltrans district staff and the Headquarters Office of Regional and Community Planning (ORCP). MPOs are responsible for including a draft Work Element(s) for Sustainable Communities Formula Grant funds in the draft FY 2022-23 OWP and sending a list of activities using the provided template to Caltrans, no later than March 1, 2022. Draft OWPs are submitted to the district Regional Planning Liaison who will coordinate with ORCP. The draft Work Element(s) should include an explanation of how the project supports the Sustainable Communities Grant Specific Objectives and provide the same level of detail included in the grant application Scope of Work and Cost and Schedule for the Sustainable Communities Competitive Grants. The Work Element name and number must remain unchanged until the project(s) is completed. If Work Elements do not provide enough detail, MPOs will need to submit the competitive grant application Scope of Work and Cost and Schedule. More information and detailed requirements are outlined in the *SB 1 Guidance for OWPs and Requests for Reimbursements*, available upon request.

## 3.3 Example Project Types

MPOs have flexibility for how the Formula Grant allocation is administered. For example, MPOs may use these funds for a regional competitive grant program, integrated land use and transportation planning activities related to developing their SCS, carrying out the best practices cited in the RTP Guidelines, or a combination thereof. If an MPO uses Formula Grant funds to administer a regional grant program, the MPO must submit their grant program criteria and list of eligible applicants and sub-applicants to the Caltrans district and ORCP. This step is to ensure the MPO's grant program aligns with the Caltrans Sustainable Communities Competitive Grants, including city and county housing element compliance. MPOs will also submit a list of awarded grants to the Caltrans district and ORCP. MPOs should coordinate the submittal of this information with the Caltrans district and ORCP to avoid delays for releasing the call-for-projects and grant awards. For additional example project types, refer to Chapter 2.2.

### 3.4 Eligible and Ineligible Activities and Expenses

Refer to Chapter 2.3 for eligible and ineligible activities and expenses.

### 3.5 Formula Grant Allocations

The following funding table estimates how formula funds may be distributed to each MPO, contingent upon meeting the minimum eligibility criteria:

Sustainable Communities Formula Grants	
Metropolitan Planning Organization	Total Formula Grant Allocation
Tahoe Metropolitan Planning Organization	\$160,750
Madera County Transportation Commission	\$164,209
Kings County Association of Governments	\$162,943
Shasta Regional Transportation Agency	\$163,172
Butte County Association of Governments	\$180,569
Merced County Association of Governments	\$197,424
San Luis Obispo Council of Governments	\$195,962
Tulare County Association of Governments	\$246,944
Santa Barbara County Association of Governments	\$224,579
Stanislaus Council of Governments	\$291,053
San Joaquin Council of Governments	\$341,671
Kern Council of Governments	\$374,899
Association of Monterey Bay Area Governments	\$315,537
Fresno Council of Governments	\$407,484
Sacramento Area Council of Governments	\$774,991
San Diego Association of Governments	\$1,021,553
Metropolitan Transportation Commission	\$2,106,140
Southern California Association of Governments	\$5,170,390
<b>Total</b>	<b>\$12,500,000</b>

## 4. STRATEGIC PARTNERSHIPS

\$1.5 million in FHWA State Planning and Research (SPR) Part 1 funds and \$3 million in Federal Transit Administration (FTA) Section 5304 funds, or a combined total of \$4.5 million, will be distributed through a competitive program to MPOs and RTPAs. Funding distribution for the competitive program will depend on the quality and number of applications.

### 4.1 Purpose and Specific Objectives

Strategic Partnerships are intended to fund planning projects that partner with Caltrans to address needs on the State Highway System (SHS), while the transit sub-category will address multimodal planning projects that focus on transit.

The objectives of the Strategic Partnerships and Strategic Partnerships - Transit grants are to:

- Accomplish the Federal Planning Factors
- Achieve the Caltrans Mission and the Grant Program Objectives

### 4.2 Federal Planning Factors

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 stormwater impacts of surface transportation
10. Enhance travel and tourism

## 4.3 Example Project Types

### Example Project Types - Strategic Partnerships

- Studies that identify interregional, inter-county, and/or statewide mobility and access needs
- Corridor studies and corridor performance/preservation studies
- Studies that evaluate transportation issues involving ground access to international borders, seaports, airports, intermodal facilities, freight hubs, and recreational sites
- Development of planning activities intended to result in investment in sustainable transportation projects
- Enhanced tools to capture GHG benefits of Operations and System Management projects
- Integration of transportation and economic development
- Planning for sustainable freight
- Planning for transportation safety
- Studies for relinquishment of state routes
- Statewide or interregional research or modeling tools
- Transportation demand management plans
- System investment prioritization plans
- Assessment and integration of new technology
- Complete street plans that consider last-mile freight
- Curbside freight management plans
- Agriculture goods movement plans
- Freight/supply chain resiliency studies

### Example Project Types - Strategic Partnerships Transit

- Identification of policies and procedures to integrate transit into the transportation system and planning process
- Statewide transit planning surveys and research
- Identification of policies, strategies, and programs to preserve transit facilities and optimize transit infrastructure
- Projects that evaluate accessibility and connectivity of the multi-modal transportation network
- Transit technical planning studies to optimize system performance
- Studies or plans that evaluate commuter rail or multi-modal connectivity
- Studies or plans that evaluate first and last mile transit connectivity Eligible and Ineligible Activities and Expenses

## 4.4 Eligible and Ineligible Activities and Expenses

### Eligible Activities and Expenses

Eligible activities must have a transportation nexus per the California Constitution, Article XIX Section 2 and 3. Please consult with Caltrans district staff for more information on whether costs are eligible for funding.

Some examples of eligible costs include:

- Data gathering and analysis
- Planning consultant procurement
- Advertising for consultant procurement
- Advertising for public workshops, e.g., flyers, paid media ads
- Virtual outreach activities and on-line meetings
- Travel expenses (See Chapter 5.4 for details)
- Up to 30 percent conceptual drawings and design
- Equipment (as defined in 2 CFR Part 200.33)<sup>3</sup> purchases must remain under \$5000 or depreciation will need to be taken in to account when the grant project is completed since equipment could have future uses. 2 CFR Part 200.436<sup>4</sup> provides the criteria for depreciation, at the Govinfo website.
- Community surveys, meetings, public workshop room rental, charrettes, focus groups
- Bilingual services for interpreting and/or translation services for meetings
- Community/stakeholder advisory groups
- Light snacks and refreshments for public workshops (no full meals), subject to Caltrans and federal approval
- Project administration (up to 5 percent of the grant is allowed, i.e., quarterly reports, invoicing, and kick-off meeting with Caltrans)

### Ineligible Activities and Expenses

Some activities, tasks, project components, etc. are not eligible under these grant programs. If an application has any of the following elements, it will be disqualified. Ineligible activities and expenses include:

- Environmental studies, plans, or documents normally required for project development under the National Environmental Policy Act or the California Environmental Quality Act
- Engineering plans and design specification work
- Project Initiation Documents

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<sup>3</sup> Electronic Code of Federal Regulations, 2 Code of Federal Regulations, Part 200.33, 2020, <https://www.ecfr.gov/cgi-bin/text-idx?SID=c16296aecfef71d582e0634cf6658cf1&node=2:1.1.2.2.1.1.28.34&rgn=div8>

<sup>4</sup> Govinfo, 2 Code of Federal Regulations, Part 200.436, 2014, <https://www.govinfo.gov/app/details/CFR-2014-title2-vol1/CFR-2014-title2-vol1-sec200-436>



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- Program or project implementation
- Repurposing unspent grant funds
- Consultant mark-ups
- Application development to pursue construction funds/project implementation
- RTPs or updates to the RTP
- Economic development plans or studies
- Land use plans or studies
- General Plans or updates to elements
- Construction projects, capital costs, such as the building of a facility, or maintenance
- Office furniture purchases, or other capital expenditures
- Decorations, e.g., for public workshop events
- Acquisition of vehicles or shuttle programs
- Organizational membership fees
- Incentives for public participation, e.g., full meals, prizes, freebies, promotional/marketing items
- Charges passed on to sub-recipient for oversight of awarded grant funds
- Other items unrelated to the project

### 4.5 Tips for Successful Strategic Partnerships Grant Applications

#### Criteria for successful Strategic Partnerships grant applications:

- Partner with Caltrans to identify and address statewide, interregional, or regional transportation deficiencies in the State highway system (or multimodal transportation system for transit-focused projects)
- Strengthen government-to-government relationships, and
- Result in programmed system improvements

#### General Tips

- Consult with your district representative for technical assistance before the application deadline.
- Use the Samples and Checklists provided for the Application, Scope of Work, and Cost and Schedule.
- Include Caltrans as an active partner in the study.
- Provide tailored letters of support and project area photographs to enhance the application. Project supporters should describe why they support the project and how they would benefit from the project.
- If applicants/supporters do not have the time/resources to provide tailored letters of support, a petition signed by supporters in a simple table format that lists the supporters and specifically how supporters will benefit the proposed project will suffice.

## Project Summary

- Concisely describe the project in less than 150 words. Explain “What parties are involved, the proposed major milestones, and why the project is necessary.”

## Project Justification

- Clearly define and explain the transportation problem or deficiency that the project will attempt to address. Why is it critical to address the problem now? Make the case for a critical need that the project will address and support it with verifiable data, if available.

## Grant Specific Objective

Demonstrate how the project fits every aspect of the Grant Specific Objective, as appropriate for the applicant and project type.

## Project Management

- **Scope of Work:** Refer to the Scope of Work Checklist in Appendix B.
- **Cost and Schedule (Project Timeline):** Refer to the Cost and Schedule Checklist in Appendix B.

## 5. GRANT PROJECT ADMINISTRATIVE REQUIREMENTS

The content of this chapter should be notably considered in the development of grant applications as it lays the foundation for what to expect when applying for these grant funds. Upon award, grantees will receive more specific guidelines including administrative and reporting requirements.

### 5.1 Coordination with Caltrans

Caltrans is committed to be an active partner. If awarded a grant, the applicant should include Caltrans district staff when planning both technical advisory and community meetings. In addition, Caltrans district staff will help to ensure that the approved Scope of Work, Cost and Schedule, and project funding will be maintained throughout the life of the contract. Applicants are also recommended to engage Caltrans district staff throughout the entire grant life, when applicable.

If an agency does not demonstrate adequate performance and timely use of funds, Caltrans may take appropriate actions, which can include termination of the grant.

### 5.2 Third Party Contracts

The agreements between a grantee and a sub-applicant/recipient, consultant, or sub-consultant are often referred to as "third party contracts." An eligible sub-applicant should be identified by an eligible applicant at the onset of the application. Eligible sub-applicants/recipients may be added to an application after award with prior Caltrans approval. If a grantee or a sub-recipient is going to hire a consultant to perform work during the project, then proper procurement procedures must always be used.

Grantees may use their agency's procurement procedures as long as they comply with the State Contracting Manual, Chapter 5, the Local Assistance Procedures Manual, Chapter 10, and the terms of the agreement with Caltrans. In addition, work can only be contracted if it has been stated in the applicant's Scope of Work and Cost and Schedule. A grantee is fully responsible for all work performed by its sub-recipient, consultant, or sub-consultant. Caltrans solely enters into a contract directly with the grantee; therefore, the grantee is responsible to ensure that all third parties adhere to the same provisions included in the contractual agreement between Caltrans and the grantee.

All government funded consultant procurement transactions must be conducted using a fair and competitive procurement process that is consistent with the State Contracting Manual, Chapter 5,<sup>5</sup> the Local Assistance Procedures Manual, Chapter 10,<sup>6</sup> and the terms of the agreement with Caltrans. All documentation of third-party contract procurements must be retained and copies of all agreements must be submitted to Caltrans. For more information on third party contracting, visit the State Contracting Manual and the Local Assistance Procedures Manual Websites.

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<sup>5</sup> California State Contracting Manual Volume 1, Chapter 5, 2018, <https://www.dgs.ca.gov/OLS/Resources/Page-Content/Office-of-Legal-Services-Resources-List-Folder/State-Contracting>

<sup>6</sup> Caltrans Local Assistance Procedures Manual, Chapter 10, 2020, <https://dot.ca.gov/programs/local-assistance/guidelines-and-procedures/local-assistance-procedures-manual-lapm>

### 5.3 Quarterly Reporting

Quarterly Progress Reports (QPR) are required to be submitted for each State FY quarter after the grant recipient has received a Notice to Proceed letter. The table below illustrates the State FY timeframes for submitting the QPR to Caltrans district staff.

Quarterly Progress Report Timeframes			
Quarter 1	Quarter 2	Quarter 3	Quarter 4
July – September	October – December	January – March	April - June

For MPOs and RTPAs, the progress and expenditure of each awarded grant project must be included as part of the OWP Quarterly Progress and Expenditure Report. If this method of reporting is not adequately satisfied, Caltrans staff will require separate quarterly reports for each awarded grant project.

All other primary grant recipients shall submit progress reports every quarter for each awarded grant project. Caltrans district staff will provide the brief report form and due dates.

### 5.4 Invoicing and Financial Requirements

#### Pre-Award Audit

The Sustainable Communities grants are available in amounts up to \$700,000 and Strategic Partnerships grants are up to \$500,000. However, any awarded grant in excess of \$250,000 may require a pre-award audit. The pre-award audit is to ensure that recipients of State or federal funds maintain adequate financial management systems prior to receiving the funds. Pre-award audits may be required of new grantees, agencies that have not recently been audited, agencies that have undergone prior audits with significant weaknesses or deficiencies in their financial management systems, or those determined to be a higher risk to Caltrans. If a pre-award audit is needed, the local Caltrans district office will contact the grantee to facilitate the appropriate action.

#### Accounting Requirements

Grantees and sub-applicants/recipients are required to maintain an accounting system that properly records and segregates incurred project costs and matching funds by line item. The accounting system of the grantee, including its sub-applicants and subcontractors, must conform to Generally Accepted Accounting Principles that enable the determination of incurred costs at interim points of completion and provides support for reimbursement payment vouchers or invoices sent to or paid by Caltrans. Allowable project costs must comply with 2 Code of Federal Regulations (CFR), Part 200. It is the grantee's responsibility, in conjunction with Caltrans district staff, to monitor work and expenses to ensure the project is completed according to the contracted Scope of Work and Cost and Schedule. Grantees must monitor work and costs to ensure invoices are submitted on a regular and timely basis (monthly or quarterly as milestones are completed). Grantees must communicate with their local Caltrans district office to ensure any issues are addressed early during the project period.

#### Local Match

All grants require a local match. Local match is a financial requirement that demonstrates the grantee's/ local agency is vested in the project.

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The local match can be all cash, all third-party in-kind contributions, or a combination of the two. The minimum local match is a percentage of the total project cost (i.e., minimum local match amount plus the grant amount) and is identified in the Cost and Schedule at the Task level.

Beginning with FY 2021-22, grantees can provide a tapered local match, which allows grantees to vary the required local match ratio for each task and with every Request for Reimbursement. Applicants must identify if they will utilize the tapered match on the Cost and Schedule. Grantees agree to satisfy the total local match amount by the grant expiration date.

### Local Match Sources

- **Sustainable Communities Competitive and Technical**

Federal toll credits, FHWA PL, and FTA Section 5303, and Sustainable Communities Formula are ineligible match sources; otherwise, any source of funds may be used if the proposed grant work is an eligible activity for the local match fund source.

- **Sustainable Communities Formula**

Federal toll credits are an ineligible match source; otherwise, any source of funds may be used if the proposed grant work is an eligible activity for the local match fund source. If MPOs are matching with federal Consolidated Planning Grant (CPG) funds (i.e., FHWA PL or FTA Section 5303), the work must all be eligible. However, federal approval is required as CPG objectives may differ and must be aligned with Sustainable Communities Formula specific objectives and 23 CFR Part 450 requirements.<sup>7</sup>

- **Strategic Partnerships and Strategic Partnerships – Transit**

Any non-federal source of funds may be used if the proposed grant work is an eligible activity for the local match fund source. If MPOs are matching with Sustainable Communities Formula funds, the objectives for each grant must be in alignment. Caltrans approval is required.

### Cash Match

- Staff time from the primary applicant counts as cash match. Staff time charged to a specific project that has been funded and or reimbursed, cannot be used to meet the match requirement for another project.
- Revenue sources for local cash match can include local sales tax, special bond measures, private donations, private foundations, etc.

### Third-Party In-Kind Match

Third party in-kind contributions are typically goods and services donated from outside the primary grantee's agency and can be counted towards the minimum local match requirement. Examples of Third-Party In-Kind contributions is the value of donated:

- Public outreach materials
- Interpreter Services
- Facilities
- Equipment
- Advertising
- Student volunteers and other stakeholder staff time

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<sup>7</sup> Title 23, Code of Federal Regulations, Part 450,

<https://www.govinfo.gov/content/pkg/CFR-2004-title23-vol1/pdf/CFR-2004-title23-vol1-part450.pdf>

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- Other goods and services

The Third-Party In-Kind Valuation Plan is required to itemize and place value on donated goods and services.

- The value of third-party in-kind contributions must be directly benefiting and specifically identifiable to the project.
- Minimum wage standards for student workers or Caltrans pay rates for equal-level volunteers are acceptable base values of volunteer time.
- Third-party in-kind contribution information must be identified on the Grant Application Cover Sheet, the Cost and Schedule, and the project specific Work Element in the OWP (if applicable).

If third party in-kind contributions are used to satisfy the local match requirements, a third -party in-kind valuation plan must be submitted to Caltrans for approval as a condition of grant acceptance. The Third-Party In-Kind Valuation Plan Checklist and Sample can be found in Appendix B.

### Minimum Local Match Requirements

Applicants will be held responsible for any local commitments above the minimum requirement included in the grant application and will be made part of the grant agreement with Caltrans. Once the agreement is executed, any decrease to local match commitments above the minimum required amount will require Caltrans approval through an amendment. The example shown in the table below illustrates the minimum local match requirement based on a grant request of \$300,000. The Local Match Calculator is available upon request.

Minimum Local Match Requirements (Percentage of Total Project Cost)			
Grant Program	Grant Request	Local Match	Total Project Cost
Sustainable Communities and Strategic Partnerships –Transit	<b>88.53%</b> Example: \$300,000	<b>11.47%</b> Example: \$38,868	<b>100%</b> Example: \$338,868
Strategic Partnerships	<b>80%</b> Example: \$300,000	<b>20%</b> Example: \$75,000	<b>100%</b> Example: \$375,000

### Indirect and Direct Costs

Direct costs are those costs that can be identified specifically with a particular final cost objective, such as a state award, or other internally or externally funded activity, or that can be directly assigned to such activities relatively easily with a high degree of accuracy. Costs incurred for the same purpose in like circumstances must be treated consistently as either direct or indirect costs, also known as facilities and administrative costs or overhead costs.

Indirect Costs are costs that are incurred for a common or joint purpose. These costs benefit more than one cost objective and cannot be readily identified with a particular final cost objective. Reproduction costs, computer purchase, and office supplies are considered indirect costs, unless they are tied to a specific task or activity then they are considered direct costs.

### Indirect Cost Allocation Plan/Indirect Cost Rate Proposal

If a grantee, including sub-recipients and third-party contractors/consultants, are seeking reimbursement of indirect costs, they must annually submit an Indirect Cost Allocation Plan (ICAP) or

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an Indirect Cost Rate Proposal (ICRP) to Caltrans Independent Office of Audits and Investigations (IOAI) for review and approval prior to reimbursement. An ICAP or ICRP must be prepared and submitted yearly in accordance with 2 CFR, Part 200. Indirect costs may be sought for reimbursement only after the grantee has received ICAP/ICRP approval from (IOAI).

For guidance on the ICAP/ICRP submission process, visit the Independent Office of Audits and Investigations<sup>8</sup> and the Caltrans LAPM Chapter 5 Accounting/ Invoicing.<sup>9</sup>

### Most Common Types of Indirect Cost Rates

The following are the most common types of Indirect Cost Rates:

- Fixed Rate
- Final Rate
- De Minimis Rate

Changes to the De Minimis Rate are outlined in the revised 2 CFR Part 200.414(f)<sup>10</sup> that became effective November 12, 2020.

Applications must include the estimated indirect cost rate at the bottom of the Cost and Schedule.

#### IMPORTANT NOTE

- ✓ Applications must include the estimated indirect cost rate at the bottom of the Cost and Schedule.

### Travel Expenses

Grantees may be eligible to claim travel expenses if they have been approved in the Scope of Work and Cost and Schedule. Travel expenses and per diem rates are not to exceed the rate specified by the State of California Department of Personnel Administration for similar employees (i.e. non-represented employees).

For more information on eligible travel expenses, visit the Caltrans Travel Guide Website.<sup>11</sup>

### Requests for Reimbursements

- Grant payments are made only as reimbursements.
- Grant reimbursements will be based on actual allowable incurred costs.
- Grant costs will be reimbursed if incurred on or after the start date and the issuance of the Notice to Proceed and before the expiration date.
- Request for Reimbursements (RFRs) must be submitted at least quarterly, but no more frequently than monthly.
- A one-time, lump sum invoice or RFR for the entire grant is not allowed.

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<sup>8</sup> Inspector General Independent Office of Audits and Investigation, ICAP/ICRP Submission Process, 2020, <https://ig.dot.ca.gov/resources>

<sup>9</sup> Caltrans Local Assistance Procedures Manual Chapter 5, 2020, <https://dot.ca.gov/-/media/dot-media/programs/local-assistance/documents/lapm/ch05.pdf>

<sup>10</sup> Electronic Code of Federal Regulations, 2 Code of Federal Regulations, Part 200.414(f), 2020, [https://www.ecfr.gov/cgi-bin/text-idx?node=se2.1.200\\_1414&rgn=div8](https://www.ecfr.gov/cgi-bin/text-idx?node=se2.1.200_1414&rgn=div8)

<sup>11</sup> Caltrans Travel Guide, 2020, <https://dot.ca.gov/programs/accounting/travel-guide>



## Caltrans Sustainable Transportation Planning Grant Program

- Grantees must pay sub-recipients and subcontractors prior to submitting an RFR to Caltrans.
- Incomplete or inaccurate RFRs will be returned for correction.
- An accounting management system generated report must accompany all RFRs.
- When requesting reimbursement of indirect costs, the following items are required as part of the submitted RFR package:
  - An approved ICAP/ICRP rate must be on file for the FY in which the costs occurred.
  - A financial management system report that segregates direct/indirect costs by fund source.
  - ICAP support document spreadsheet that identifies direct charges and rate applied to those charges.

## 5.5 Non-Discrimination Requirements

### Title VI Non-Discrimination Requirement

The FHWA and the FTA each have requirements that recipients of Metropolitan Planning federal funds must demonstrate continued compliance with Title VI. Compliance with Title VI includes conducting meetings in a fair and reasonable manner that are open to all members of a community. Compliance reflects not only the law but is also a good policy that builds the kind of trust and information sharing upon which successful planning is done. Even where a city or county may not be receiving federal funding for transportation, the Civil Rights Restoration Act of 1987 also obligates that a city or county comply with Title VI, if it receives any other federal funding for any program. Refer to the Caltrans Title VI website<sup>12</sup> for more information.

### Disadvantaged Business Enterprises

Successful grant applicants are expected to market contracting opportunities to all small businesses, including DBEs and Disabled Veteran Business Enterprises.

Grant recipients of federal funds are required to report any contracting opportunities that may involve DBE participation. DBE reporting is required twice a year: April 1 and October 1.

For details about DBE requirements, visit the Office of Regional Planning website.<sup>13</sup>

## 5.6 Final Product

All final reports funded through the Sustainable Transportation Planning Grant Program shall credit the FHWA, FTA, or Caltrans' financial participation on the cover or title page. An Americans with Disabilities Act of 1994 (ADA)-accessible electronic copy of all final reports shall be forwarded to the Caltrans district office responsible for the administration and oversight of the grant. There are resources to assist with development of ADA compliant documents.<sup>14</sup>

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<sup>12</sup> Caltrans, Title IV of the Civil Rights Act of 1964, 2020,

<https://dot.ca.gov/programs/civil-rights/title-vi>

<sup>13</sup> Office of Regional Planning, Disadvantaged Business Enterprise,

<https://dot.ca.gov/programs/transportation-planning/regional-planning/federal-state-planning-program>.

<sup>14</sup> State of California Accessibility Website: <https://www.ca.gov/accessibility/>



Any technologies or inventions that may result from the use of these grants are in the public domain and may not be copyrighted, sold, or used exclusively by any business, organization, or agency. Caltrans reserves a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use and to authorize others to use for public purposes.

## 5.7 Project Close-Out Survey

Once awarded grant projects are completed, grantees will complete a close-out survey to describe the successes and challenges of their project. The survey will give the opportunity to (1) highlight successes and obstacles in project implementation of the concepts identified by the planning process, (2) identify best practices in transportation planning, with an emphasis in public engagement, and (3) identify studies/plans that have been or will be funded for continued project development. Information from the survey will be compiled into a report to illustrate the value of the grant program and inform planning practitioners in their planning efforts. Caltrans' goal is to provide transparency and accountability for the program, as well as to use the survey feedback to better serve future grant applicants.

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California Department of Rehabilitation Accessibility Website:  
<https://www.dor.ca.gov/Home/Accessibility101>

MS Office Support Video: <https://support.office.com/en-us/article/video-check-the-accessibility-of-your-document-9d660cba-1fcd-45ad-a9d1-c4f4b5eb5b7d>

## 6. APPLICATION SUBMITTAL PROCESS

The Sustainable Transportation Planning Grant Program is highly competitive. This section provides applicants with supplemental information as well as details on required documents that must accompany an application at the time of submittal. All applicants are strongly encouraged to adhere to these requirements in order to score competitively during the application evaluation process.

### 6.1 Early Coordination and Technical Assistance for Primary Applicants

Sub-applicants are encouraged to work far in advance of the application deadline with the appropriate primary applicant to coordinate application development. It is also beneficial for sub-applicants to be informed of the appropriate primary applicant process and schedule, as they may differ slightly from those of Caltrans. RTPAs residing within MPO boundaries should also coordinate application development with the MPO, as it is critical to ensure that proposed studies align with the RTP/SCS for the entire MPO region and do not duplicate efforts being applied for or already awarded to the MPO.

Caltrans district staff (See Appendix D) are available during the application period to answer questions and help interested groups complete their applications.

For questions specific to the Grant Application Guide, applicants are also welcomed to contact:

Contact Information	
<b>Grant Application Guide Technical Assistance</b>	<p><b>Priscilla Martinez-Velez, Grant Management Branch Chief</b>            Caltrans Division of Transportation Planning            Office of Regional and Community Planning            Email: <a href="mailto:Priscilla.Martinez-Velez@dot.ca.gov">Priscilla.Martinez-Velez@dot.ca.gov</a></p>
<b>Questions About Housing Element Compliance</b>	<p><b>Paul McDougall</b>            Department of Housing and Community Development            Email: <a href="mailto:Paul.McDougall@hcd.ca.gov">Paul.McDougall@hcd.ca.gov</a></p>

## 6.2 Application Submittal Instructions

The Grant Application Guide, Application forms, and required templates are available on the Caltrans Sustainable Transportation Planning Grant Program website, at:

<https://dot.ca.gov/programs/transportation-planning/regional-planning/sustainable-transportation-planning-grants>

- All grant application packages are required to be submitted via e-mail.
- An agency may only submit one application package per e-mail.
- An application cannot be submitted to more than one grant category.
- The Caltrans district contact must be copied (refer to Appendix D. Caltrans District Contact List) and the subject line needs to identify the district number, grant program, and *brief* project title (e.g., D1, SC, City of Can Do Planning Project).
- The required items outlined on the Grant Application Checklist in Appendix B must be attached to the e-mail as a single PDF document.
- All application documents must list the applicant's legal name.
- Confirmation of receipt will be sent by the **next business day**.

**Submit applications via E-mail to  
[Regional.Planning.Grants@dot.ca.gov](mailto:Regional.Planning.Grants@dot.ca.gov) no later than  
**WEDNESDAY, OCTOBER 27, 2021 BY 5:00 P.M.****

Hard copies will not be accepted, and late applications will not be reviewed.

**Caltrans anticipated award announcements: [Spring 2022](#)**

Caltrans district staff are available during the application period to answer questions and help interested groups complete their applications. Refer to Appendix D. Caltrans District Contact List for contact information.

Download the latest version of [Adobe Reader DC](#)® to complete the application form. This version of Adobe is available free of charge.

## 6.3 Application Supplemental Documentation

The following documents **are not required, but enhance the overall application and typically result** in a more competitive application during the evaluation process:

### Letters of Support

If submitted, letters of support must be included with the application package. Letters received separate from the application package may not be considered. The letters should be addressed to the applicant. Such letters can come from community-based organizations, local governments, Native American Tribal governments, service agencies, and elected officials.

### Graphics

Clearly labeled photographs, maps, planning diagrams, land use or design illustrations, or other relevant graphic representations of the proposed project area convey existing conditions and help to further explain the need for the grant and the priority of the proposed planning project with respect to community need. Please ensure that graphics include a text description to provide context.

### Safety Data

Statistical data such as pedestrian-vehicle injuries/crashes or fatalities resulting from lack of safe infrastructure, or other road conditions that contribute to possible injuries. This information may be obtained from police reports, transit agencies, National Highway Traffic Administration or the Governor's Highway Safety Association.

### Travel Mode Data

Data on mode share, commute patterns, accessibility for low-income and disadvantaged populations, access to job centers, or other data to show the need and potential for mode shift to non-auto transportation modes.

### Other Data

As applicable, to indicate the need and potential for reducing VMT and GHG, where available.

The following documents are not required, but enhance the overall application and typically result in a more competitive application during the evaluation process:

- Letters of Support
- Graphics
- Safety Data
- Travel Mode Data
- Other Data

## 7. APPLICATION REVIEW PROCESS

### 7.1 Two-Tiered Application Review Process

This chapter provides a brief overview of the grant application review process. Grant application evaluation is a two-tiered process that consists of:

- Caltrans District Review and Evaluation
- Caltrans Headquarters (HQ) Interagency Review Committees Evaluation

Caltrans district staff conducts the first-level review of all applications for content, submission of proper documentation, overall relationship to regional and local planning efforts, and documents their evaluations. Caltrans district staff scores, prioritizes, and recommends the most highly ranked Sustainable Communities and all Strategic Partnerships applications for the next level of review with the Interagency Review Committees. Grant applications from Native American Tribal Governments, Transit Agencies, and proposed projects spanning multiple Caltrans districts or projects having a statewide significance, may also move on directly from Caltrans districts to HQ for review.

The HQ Interagency Review Committees conduct the second-level review and comprise staff from Caltrans HQ, the Federal Highway Administration, the Federal Transit Administration, the California Department of Housing and Community Development, the California Department of Public Health, the Governor's Office of Planning and Research, the Strategic Growth Council, and the California Air Resources. Caltrans HQ also coordinates with internal specialists, depending on the grant application subject matter, to provide high-level reviews of the proposed project to avoid funding duplicative efforts or efforts that are not supportive of State planning efforts. The committees for each grant category convene to develop funding recommendations that are approved by every level of Caltrans management and the California State Transportation Agency.

### 7.2 Application Evaluation/Scoring Process

Grant applications that address every aspect of the grant specific objectives will score higher overall. Caltrans has diverse applicants and project types, which makes it difficult to use a one-size fits all scoring rubric that would not unintentionally put some applicant/project types at a disadvantage. Therefore, applications will be scored based on how well they are able to describe the project, justify need, incorporate the grant specific objectives, and develop a Scope of Work and Cost and Schedule, all in accordance with this grant guide, samples and checklists provided, as applicable and appropriate for the applicant and project type. Once the grant review committees evaluate, rank, and select the best applications for grant funding, final recommendations are presented to Caltrans management and California State Transportation Agency for approval.

### 7.3 Past Performance Award Considerations

Previous Caltrans transportation planning grantee performance will be considered during the evaluation process. Applicants with a history of inadequate performance and/or unresolved past grant performance issues may be at a competitive disadvantage in the application review process. Past performance issues could include the following:

- Poor grant project management
- Lack of communication/coordination with Caltrans
- Failure to achieve grant project milestones
- Untimely invoice submittals

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- Excessive balances and consistently relinquish transportation funds administered by Caltrans Planning
- Unresolved audit issues or findings
- Overall poor quality of the final grant product
- Failure to satisfy the required state and federal planning requirements including submittal and administration of OWPs, RTPs, and Transportation Improvement Programs

If an agency does not demonstrate adequate performance and timely use of funds, Caltrans may take appropriate actions, which can include termination of the grant.

## 8. APPLICATION AWARD PROCESS

### 8.1 Award and Non-Award

Successful grant applicants will receive an award letter via email. A list of award and non-awarded grants will be posted to the Caltrans Sustainable Transportation Planning Grant Program website.

**Caltrans Sustainable Transportation Planning Grant Program Website:**

<https://dot.ca.gov/programs/transportation-planning/regional-planning/sustainable-transportation-planning-grants>

#### Conditional Award Teleconferences

Each grantee will receive a Conditional Award Letter that outlines the grant project cost, important expiration and final invoice dates.

Caltrans district staff will schedule individual teleconferences to provide the specific and general conditions of grant acceptance that are necessary to accept grant funding, including any revisions to the grant application, Scope of Work and Cost and Schedule. Conditions may include revisions to the project Scope of Work to bolster public participation, consider land use and housing, and to coordinate with local housing and community development departments and health departments. Awardees are required to submit all supporting materials and a signed agreement or risk forfeiting the grant award.

#### Non-Award Teleconferences

Unsuccessful grant applicants are encouraged to request a debriefing from Caltrans. Applicants typically receive specific comments from the District/Interagency Review Committee on how to improve applications to re-apply in a future grant cycle. If the application advanced to the second-level review, HQ provides the Interagency Review Committee score, as well as how close the application was relative to the cut-off score for available grant funding. Applicants sometimes apply two or three times before they are successful due to the competitiveness of the grant program.

### 8.2 Contracting with Caltrans

All awarded grant funds must be under an executed agreement with Caltrans during the State FY 2022-23. The project start date depends on the method of contracting with Caltrans.

#### MPOs and Rural RTPAs

All MPOs/RTPAs must have the entire grant award and local match programmed in the FY 2022-23 OWP no later than October 3, 2022. Due to the competitiveness of this grant program, failure to program funds may result in forfeiture of grant funds. MPOs and rural RTPAs with a current Master Fund Transfer Agreement (MFTA)- work may begin as early as July 2022, pending State Budget approval, and Caltrans issuing a formal Notice to Proceed.

#### Non-MPOs/RTPAs

Grantees that do not have a current MFTA with the Caltrans Office of Regional and Community Planning (i.e. cities, counties, transit agencies, Tribal Governments), Caltrans will contract directly with the primary grantees through the Restricted Grant Agreement (RGA) process. For grantees that undergo the RGA contracting process, work may begin as early as November 2022, assuming the grantee has received a fully executed contract and Caltrans district staff send a formal Notice to Proceed which allows grantees to begin work.

## Estimated Project Start/Expiration Dates

It is important for applicants to reflect the estimated project start date in the Scope of Work and Cost and Schedule. Project Timeline constraints for both methods of contracting with Caltrans are provided below. Grantees must consider these dates when developing the Scope of Work and Cost and Schedule:

Master Fund Transfer Agreement Project Timeline (MPOs/RTPAs Only)	
July 2022	<ul style="list-style-type: none"> <li>Anticipated start date</li> </ul>
February 28, 2025	<ul style="list-style-type: none"> <li>Recommended grant project end date</li> <li>Reimbursable work should be completed</li> <li>Only 30-day extensions are allowed for extenuating circumstances</li> </ul>
April 28, 2025	<ul style="list-style-type: none"> <li>All final invoices for State-funded grants awarded to MPOs/RTPAs and federal-funded grants awarded to RTPAs must be submitted to Caltrans for approval and reimbursement. This allows Caltrans sufficient time to comply with the State Controller's Office payment requirements.</li> </ul>
June 30, 2025	<ul style="list-style-type: none"> <li>Grant expiration date for <b>federal-funded grants awarded to MPOs</b></li> <li>Reimbursable work must be completed</li> </ul>
August 30, 2025	<ul style="list-style-type: none"> <li>Final Request for Reimbursements for <b>federal-funded grants awarded to MPOs</b> must be submitted no later than 60 days after the end of the fiscal year to coincide with the submission of the Overall Work Program (OWP) Final Expenditure Report.</li> </ul>
Restricted Grant Agreement Project Timeline (Non-MPO/RTPAs)	
November 2022	<ul style="list-style-type: none"> <li>Anticipated start date</li> </ul>
February 28, 2025	<ul style="list-style-type: none"> <li>Grant expiration date</li> <li>Reimbursable work must be completed</li> <li>Only 30-day extensions are allowed for extenuating circumstances and require a formal amendment.</li> </ul>
April 28, 2025	<ul style="list-style-type: none"> <li>Final Request for Reimbursements and final products must be submitted to Caltrans for approval and reimbursement. This allows Caltrans sufficient time to comply with the State Controller's Office payment requirements.</li> </ul>

## Native American Tribal Governments

Native American Tribal Governments have the following options for contracting with Caltrans:

- (1) **Contracting with Tribes Directly** – The authority Caltrans uses to contract with tribes directly comes from California Streets and Highways Code section 94, and is extremely limited. Caltrans Legal requires tribes to provide a limited waiver of sovereign immunity. However, the Caltrans Native American Liaison Branch makes sure that any waiver is very specifically limited in scope and in time to only applies to the contract itself (and to any possible audits). In an effort to streamline the RGA contracting process, there is a Sustainable Communities RGA boilerplate template for Native American Tribal Governments, available upon request.
- (2) **Partnering with a Regional Agency** – Another mechanism for contracting with Caltrans is to collaborate with an MPO or RTPA. Caltrans can pass through grant funding to tribes for planning projects where options or time are limited. This option uses the three-part contract, MFTA/OWP/OWPA, and is usually the quickest option to allow planning projects to get started.



**(3) Transferring Funds Pursuant to 23 U.S.C. 202(a)(9)** – Section 202(a)(9) of title 23, United States Code encourages cooperation between States and Tribes by allowing any funds received from a State, county, or local government to be credited to appropriations available for the Tribal Transportation Program (TTP). One potential source of such funding is funds apportioned or allocated to a State under title 23. Section 104(f)(3) allows the Secretary of Transportation to, at the request of a State, transfer among States, or to the FHWA, funds that have been so apportioned or allocated. This provision, used in conjunction with the authority under 23 U.S.C. 209(a)(9), allows State funds to be transferred to FHWA, which in turn would provide the funds to the specified Tribe.

For more information visit the FHWA website.<sup>15</sup>

Caltrans has successfully used the federal Section 202(a)(9) process to transfer Sustainable Communities grant funds to a Native American Tribal Government. In order to use this transfer process, an agreement would need to be in place with the FHWA or the Bureau of Indian Affairs, the Tribe, and the State that clearly identifies the project and the roles and responsibilities of all parties. Each interagency fund transfer includes 1) a fund transfer template and 2) an addendum lining out the specifics of the terms. This option requires involvement and approval by Caltrans Legal and the funds must be used for the intended purpose of the awarded Sustainable Communities grant.

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<sup>15</sup> Federal Highway Administration, Office of Tribal Transportation , 2020  
<https://flh.fhwa.dot.gov/programs/ttp/documents/Funds-Transfer-Procedures-Pursuant-to-23-U.S.C.202%28a%29%289%29.pdf>

# APPENDICES

## APPENDIX A. GUIDANCE, TOOLS, AND RESOURCES FOR PREPARING A GRANT APPLICATION

The Grant Application Guide incorporates guidance from many sources. The following links are provided to assist applicants in preparing a competitive grant application consistent with the grant program, specific objectives, and the Grant Program Considerations.

### GRANT PROGRAM CONSIDERATIONS

#### Caltrans Strategic Plan

The purpose of the Strategic Plan is to be a roadmap of Caltrans' role, expectations, and operations as we meet the challenges of modernizing Caltrans into a world-class Department of Transportation. The tools we use to implement this Plan are performance management, transparency, accountability, sustainability, and innovation. The Plan serves a number of functions:

- Provides clear direction for meeting statewide objectives;
- Creates and deepens strategic partnerships; and
- Provides performance measures that monitor success

<https://dot.ca.gov/-/media/dot-media/programs/risk-strategic-management/documents/sp-2020-16p-web-a11y.pdf>

#### California Transportation Plan 2050

The CTP 2050 is the State's statutorily fiscally unconstrained long-range transportation roadmap for positive change that:

- Provides a unifying and foundational policy framework for making effective, transparent, and transformational transportation decisions in California
- Addresses the varied transportation needs of urban, suburban, rural, and Tribal communities
- Emphasizes implementation and identifies a timeline, roles, and responsibilities for each plan recommendation.

The CTP does not contain projects, but policies and strategies required to close the gap between what the regional transportation plans (RTP) aim to achieve and how much more is required to meet 2050 goals. Competitive applications will discuss how proposed projects will assist in achieving the CTP 2050.

<https://dot.ca.gov/programs/transportation-planning/state-planning/california-transportation-plan>

#### Modal Plans that Support the California Transportation Plan

The CTP is the umbrella plan that informs and pulls together the State's long-range modal plans, described below, to envision the future system:

##### Interregional Transportation Strategic Plan (ITSP)

A Caltrans document that provides guidance for the identification and prioritization of interregional transportation improvements to be funded in the Interregional Transportation Improvement Program (ITIP). The ITSP analyzes the entire interregional transportation system including highways and rail. While the ITSP informs the ITIP, the purpose of the plan is to be a guiding document for all investment in the interregional transportation system regardless of funding source.

<https://dot.ca.gov/programs/transportation-planning/multi-modal-system-planning/interregional-transportation-strategic-plan>

### California Freight Mobility Plan

A statewide, long-range plan for California's freight transportation system. Developed in collaboration with our partners, the California Freight Mobility Plan (CFMP) was developed by the California State Transportation Agency (CalSTA) and Caltrans in consultation with the California Freight Advisory Committee.

<https://dot.ca.gov/programs/transportation-planning/freight-planning>

### California State Rail Plan

A statewide plan that provides a framework for planning and implementing California's rail network for the next 20 years and beyond. The Rail Plan is a strategic plan with operating and capital investment strategies that will lead to a coordinated, statewide travel system.

<https://dot.ca.gov/programs/rail-and-mass-transportation/california-state-rail-plan>

### California State Bicycle and Pedestrian Plan

"Toward an Active California," California's first statewide plan that lays out the policies and actions that Caltrans and its partner agencies will take to achieve the Department's ambitious statewide goals to double walking and triple bicycling trips by 2020.

<https://dot.ca.gov/programs/transportation-planning/office-of-smart-mobility-climate-change/smart-mobility-active-transportation/toward-an-active-california-state-bicycle-pedestrian-plan>

### California High-Speed Rail Business Plan

The California High-Speed Rail Authority (Authority) is required by Public Utilities Code 185033 to prepare, publish, adopt and submit a business plan to the California State Legislature (Legislature) every two years. The Authority's business plan is an overarching policy document used to inform the Legislature, the public, and stakeholders of the project's implementation, and assist the Legislature in making policy decisions regarding the project.

[https://hsr.ca.gov/about/business\\_plans/](https://hsr.ca.gov/about/business_plans/)

### Statewide Transit Strategic Plan

The plan allows the State to prepare for the expanding landscape of personal mobility choices and the integration of urban and regional transit systems with the California High Speed Rail project. The Statewide Transit Strategic Plan highlights a sustainable transportation system that supports the outcomes of the CTP, the California State Rail Plan, and the California State Bicycle and Pedestrian Plan.

<https://dot.ca.gov/programs/rail-and-mass-transportation/statewide-transit-strategic-plan>

### California Aviation System Plan

A multi-element plan prepared by Caltrans with the goal of developing and preserving the system of publicly owned, public-use airports and to promote the development of a safe, efficient, and sustainable air transportation system that meets the integrated mobility needs of the state of California.

<https://dot.ca.gov/programs/aeronautics/california-aviation-system-plan>

## Title VI and Environmental Justice

Title VI of the U.S. Civil Rights Act prohibits discrimination on the basis of race, color, or national origin in programs or activities receiving federal financial assistance. A similar prohibition applies to recipients of state funds under California Government Code section 11135, which prohibits discrimination on the basis of race, color or national origin, as well as ethnic group identification, religion, age, sex, sexual orientation, genetic information, or disability. Title VI specifically provides the following:

*No person in the United States shall, on the ground of race, color, national origin, religion, sex, age, or disability be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving financial assistance from the Federal government.*

<https://dot.ca.gov/programs/civil-rights/title-vi>

The following tools are provided to assist grant applicants with integrating environmental justice in their proposed activities:

### EJSCREEN: Environmental Justice Screening and Mapping Tool

EJSCREEN, developed by the United States Environmental Protection Agency, geospatially displays public health and environmental data and allows users to compare local data against state and national averages.

<https://www.epa.gov/ejscreen>

### Environmental Justice Agency Assessment 2017

The California Environmental Justice Alliance recently completed the second Environmental Justice Agency Assessment, which provides an overview of how well environmental justice issues are being integrated or championed at state agencies, and where there are areas for improvement. The assessments in this report are made in the spirit of charting a course to improving agency actions, with the ultimate goal of improving conditions that negatively impact our most vulnerable residents. This progress is needed not just for environmental justice communities, but ultimately to benefit all Californians.

[https://caleja.org/wp-content/uploads/2018/05/CEJA\\_AgencyAssessment\\_2017\\_FinalWeb.pdf](https://caleja.org/wp-content/uploads/2018/05/CEJA_AgencyAssessment_2017_FinalWeb.pdf)

## Climate Action Plan for Transportation Infrastructure

The Climate Action Plan for Transportation Infrastructure (CAPTI) details how the state recommends investing billions of discretionary transportation dollars annually to aggressively combat and adapt to climate change while supporting public health, safety and equity. CAPTI builds on executive orders signed by Governor Gavin Newsom in 2019 and 2020 targeted at reducing greenhouse gas (GHG) emissions in transportation, which account for more than 40 percent of all emissions, to reach the state's ambitious climate goals.

<https://calsta.ca.gov/-/media/calsta-media/documents/capti-july-2021-a11y.pdf>

## REOURCES TO ADVANCE SUSTAINABLE COMMUNITIES GRANT SPECIFIC OBJECTIVES

Applicants must demonstrate how the project fits every aspect of the Grant Specific Objective, as appropriate for the applicant and project type. Some guidance is provided below however, it is not intended to be all inclusive.

### Advance Transportation Related GHG Reduction Project Types/Strategies

#### ARB 2017 Climate Change Scoping Plan, Appendix C

The California Air Resources Board (ARB) adopted the *2017 Climate Change Scoping Plan Update* which includes *Appendix C, Vibrant Communities and Landscapes – A Vision for California in 2050*, to guide how the State develops communities, preserves and protects its landscapes, and ensures that all Californians have equitable access to housing, health care, jobs, and opportunity. Competitive Sustainable Communities grant applications will demonstrate a linkage to this land use vision.

The ARB 2017 Climate Change Scoping Plan (Appendix C), also includes *Potential State-Level Strategies to Advance Sustainable, Equitable Communities and Reduce Vehicle Miles of Travel (VMT)* which outlines a list of potential additional strategies that the State could pursue to help achieve further VMT reduction, support local and regional actions already underway, and advance multiple additional goals.

While this document is intended to guide State-level actions, many of the strategies can also be implemented at a regional and local level. Sustainable Communities grant applicants are encouraged to explore these strategies and apply them, as appropriate, to proposed planning projects.

[https://ww2.arb.ca.gov/sites/default/files/classic/cc/scopingplan/2030sp\\_appc\\_vmt\\_final.pdf](https://ww2.arb.ca.gov/sites/default/files/classic/cc/scopingplan/2030sp_appc_vmt_final.pdf)

For current activities and future updates on Scoping Plan efforts, visit:

<https://ww2.arb.ca.gov/our-work/programs/ab-32-climate-change-scoping-plan>

#### Senate Bill 743

Senate Bill (SB) 743 was signed in 2013, with the intent to “more appropriately balance the needs of congestion management with statewide goals related to infill development, promotion of public health through active transportation, and reduction of greenhouse gas emissions.” When implemented, “traffic congestion shall not be considered a significant impact on the environment” within California Environmental Quality Act (CEQA) transportation analysis. The CEQA guidelines have since established Vehicle Miles Traveled (VMT) as one of the measures of transportation-related environmental impact, beginning December of 2018. A key element of transportation analysis under the new guidance is forecasting induced vehicular travel.

Applicants who wish to pursue model improvements using Sustainable Communities formula or technical grants are encouraged to review available materials relating to forecasting induced travel, including those found on the Caltrans SB 743 implementation website, and refer to the example below. Refer to the Caltrans Traffic Analysis Framework for a detailed list of recommended standards for improved forecasting of induced vehicular travel.

## Caltrans Sustainable Transportation Planning Grant Program

Examples include:

- Integration of land use modeling into travel demand models, improving long-term induced travel modeling capability
- Incorporation of impacts to trip-making behaviors as a result of network improvements
- Improved congestion feed-back into existing models, or pre- and post-processing procedures
- Induced travel case studies

**SB 743:** [http://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill\\_id=201320140SB743](http://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201320140SB743)

### **Caltrans SB 743 Implementation:**

<https://dot.ca.gov/programs/transportation-planning/office-of-smart-mobility-climate-change/sb-743>

## Addressing the Needs of Disadvantaged Communities

Caltrans encourages eligible applicants to apply for Sustainable Communities Competitive Grants to address transportation needs and deficiencies in disadvantaged communities. Supporting planning projects that benefit a disadvantaged community is a priority; therefore, a minimum threshold of 50 percent of Sustainable Communities Competitive Grants has been identified for projects that benefit disadvantaged communities, which includes Native American Tribal Governments and rural communities (for transportation planning purposes, rural is defined as all areas of the State that are not included in urbanized areas of 50,000 in population or greater; see map in Appendix C which indicates rural areas). In sum, acceptable disadvantaged communities definitions include:

- Rural communities of 50,000 or less and outside of urbanized areas
- Native American Tribal Governments
- Regionally/locally defined disadvantaged communities
- At or below 80% Assembly Bill 1550 (Gomez, Chapter 369, Statutes of 2016)
- At or above 75% California Department of Education, Free or Reduced Priced Meals Data
- At or above 75% CalEnviroScreen Version 3.0
- At or below 25% California Healthy Places Index (HPI)

Grant applicants are required to provide a justification in their grant application for how the project area meets the definition of a disadvantaged community and a description of how the project will benefit these communities, as well as how these communities will be engaged throughout the project.

The following tools, related to income level, environmental burden, and health inequities, are intended to help applicants identify the most vulnerable places that are facing disproportionate rates of economic, environmental, and health burdens. These tools must be cited in the grant application, as well as how the project area is compared to the statewide thresholds that are established in each tool.

### **IMPORTANT INFORMATION:**

Grant applicants are required to provide a justification in their grant application for how the project area meets the definition of a disadvantaged community and a description of how the project will benefit these communities, as well as how these communities will be engaged throughout the project.

## Regionally and/or Locally Defined Disadvantaged Communities

Regionally and/or locally defined disadvantaged communities may be acceptable as long as statewide thresholds for the tools below are not circumvented. Applicants that use a regional or local definition should also provide data for their project, using the statewide tools below. Caltrans may not accept the regional/local definition if it is inadequately supported in the justification section of the grant application.

### Assembly Bill (AB) 1550 (Gomez, Chapter 369, Statutes of 2016)

AB 1550 further enhanced the Greenhouse Gas Reduction Fund statutory requirements to invest in disadvantaged communities by requiring a minimum investment of twenty-five percent in disadvantaged communities and another ten percent in low-income households or communities. AB 1550 provides definitions for low-income households and low-income communities that may be considered in application development:

- (1) "Low-income households" are those with household incomes at or below 80 percent of the statewide median income or with household incomes at or below the threshold designated as low income by the Department of Housing and Community Development's list of state income limits adopted pursuant to Section 50093.
- (2) "Low-income communities" are census tracts with median household incomes at or below 80 percent of the statewide median income or with median household incomes at or below the threshold designated as low income by the Department of Housing and Community Development's list of state income limits adopted pursuant to Section 50093.

**AB 1550:** [https://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill\\_id=201520160AB1550](https://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201520160AB1550)

### California Department of Education, Free or Reduced Priced Meals Data (FRMP)

The California Department of Education maintains the complete data files pertaining to students who are eligible for FRMP. FRMP data are collected annually and can also be used to assist Sustainable Communities applicants to define their disadvantaged community. Per SB 99 (Chapter 359, Statutes of 2013), the State's Active Transportation Program disadvantaged community's definition includes low income schools, where at least 75 percent of students are eligible to receive free or reduced meals under the National School Lunch Program.

<https://www.cde.ca.gov/ds/sd/sd/files.asp>

**SB 99:** [https://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill\\_id=201320140SB99](https://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201320140SB99)

### CalEnviroScreen Version 3.0

CalEnviroScreen is a screening methodology that can be used to help identify California communities that are disproportionately burdened by multiple sources of pollution. CalEnviroScreen uses environmental, health, and socioeconomic information to produce a numerical score for each census tract in the state. For purposes of SB 535 (De León, Statutes of 2012), disadvantaged communities are defined as the top 25 percent scoring areas from CalEnviroScreen along with other areas with high amounts of pollution and vulnerable populations.

<http://oehha.maps.arcgis.com/apps/View/index.html?appid=c3e4e4e1d115468390cf61d9db83efc4>

### California Healthy Places Index (HPI)

The California Healthy Places Index (HPI) is an interactive data and mapping tool that provides a detailed snapshot of the social determinants of health across California, mapped down to the Census tract level. HPI provides comparison rankings of Census tracts statewide and an



accompanying policy action guide. Therefore, the HPI can be a useful tool in prioritizing areas with high levels of social and economic disadvantage for funding, policy, and planning interventions.

HPI was developed by the Public Health Alliance of Southern California in collaboration with health departments and data experts across the state. Because the HPI focuses on the social and environmental conditions that contribute to health, policy makers and local agencies can use it to identify actionable policies that would improve health in their community, such as improving transportation access, housing affordability and quality, or access to parks and open space, HPI also incorporates “decision support layers” that can be overlaid to show additional indicators such as the California Department of Public Health’s (CDPH) climate change and health vulnerability indicators (see Appendix A. under Public Health Resources, **CDPH Climate Change and Health Vulnerability Indicators** for more information.).



<https://healthyplacesindex.org/>

## Understanding the HPI Score

The HPI includes a composite score for each Census tract in the State. The higher the score, the healthier the community conditions. Each Census tract's score is converted to a percentile, which allows it to be compared to other California Census tracts. For example, an HPI percentile of 79 indicates that a Census tract has healthier community conditions than 79 percent of the Census tracts in California. HPI percentile rankings are further broken into quartiles, with percentiles below 25 typically used to indicate disadvantaged communities. Thus, lower scores can be used to demonstrate a community, or project/service area, is disadvantaged for purposes of qualifying for the minimum threshold of 50 percent for disadvantaged communities in this program.

In addition to the composite score and percentile ranking, applicants can review the individual domain scores or indicators themselves and explain how their project will improve one or more of these public health challenges. The numeric value and percentile ranking for these component indicators can be found either by using the live map or by accessing the data directly. These tools can be accessed at:

**Live Map:** <https://map.healthyplacesindex.org/>

**Direct Data:** <https://healthyplacesindex.org/data-reports/>

HPI Examples		
Indicator	HDI Percentile	How will the project improve this health challenge?
<b>Policy Action Area (Composite) Scores</b>		
Neighborhood	Percentile ranking of all neighborhood-related indicators	Demonstrate how this plan will address health and transportation challenges related to neighborhood indicators (park access, supermarket access, retail density, alcohol availability and tree canopy)
Transportation	Percentile ranking of all transportation indicators	Demonstrate how this plan will address health and transportation challenges related automobile access and active commuting
<b>Individual Indicators</b>		
Automobile Access	XX percent	Describe how plan will increase and improve transportation access to vital destinations, goods and services for those without auto access.
Active Commuting	XX percent	Describe how the plan will improve transportation options for those without a car, specifically regarding active commuting by foot, bike, and transit in the project area.
Park Access	XX percent	Demonstrate how project will improve transportation access to parks/ open space.

For more information on the HPI, including how to calculate a score for your project area and suggested project types for improving public health, visit <https://healthyplacesindex.org/>.

### Senate Bill 1000 (Leyva, Chapter 587, Statutes of 2016)

SB 1000 requires local jurisdictions to develop environmental justice elements in their next General Plan updates. Specifically, the environmental justice element, or the environmental justice goals, policies, and objectives in other elements, must be adopted or reviewed upon the adoption or next revision of 2 or more elements concurrently on or after January 1, 2018. Grant applicants are encouraged to describe efforts to comply with this new general plan requirement.

[https://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill\\_id=201520160SB1000](https://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201520160SB1000)

### California Environmental Justice Alliance SB 1000 Toolkit

The California Environmental Justice Alliance SB 1000 Toolkit may help applicants describe their efforts to include the Environmental Justice element in their general plan updates.

<https://caleja.org/2017/09/sb-1000-toolkit-release/>

### Displacement/Gentrification

Transportation improvements, especially new rail lines and stations to low-income communities, can increase access to opportunities. But they can also result in much higher property values and an increase in the cost of owning and renting property, inadvertently displacing existing residents and businesses. Being forced to leave a home is a stressful, costly and traumatic life event, especially when affordable housing is so limited. There is a growing recognition of tools and strategies that can be implemented alongside community investments to reduce displacement.

Grant applicants are encouraged to reference the *2017 RTP Guidelines, Appendices K and L*, for best practices in addressing displacement of low income and disadvantaged communities.

### **Transformative Climate Communities Program**

The State's Transformative Climate Communities Program provides a framework for applicants to avoid displacement and may assist Sustainable Communities grant applicants in addressing displacement.

[http://sgc.ca.gov/programs/tcc/docs/20180815-TCC\\_Final\\_GUIDELINES\\_07-31-2018.pdf](http://sgc.ca.gov/programs/tcc/docs/20180815-TCC_Final_GUIDELINES_07-31-2018.pdf).

### **Implementing Senate Bill 350 (De Leon, Chapter 547, Statutes of 2015) and Community Needs Assessments**

Caltrans supports implementation of SB 350, the Clean Energy and Pollution Reduction Act of 2015, which establishes as a State priority the reduction of GHG emissions through the promotion of various clean energy policies, including widespread transportation electrification, for the benefit of all Californians. Transforming the State's transportation sector to support widespread electrification requires increasing access for all Californians, including low-income residents and those living in disadvantaged communities, across a broad spectrum of clean transportation and mobility options to address community specific transportation needs. Caltrans is leading efforts to identify low-income residents and disadvantaged communities' transportation and mobility needs through ongoing and potential future statewide planning processes.

In support of this State goal, Sustainable Communities applicants are encouraged to conduct local Community Needs Assessments of low-income resident and disadvantaged communities' transportation and mobility needs to ensure feedback is incorporated in transportation planning. Community Needs Assessments include an evaluation of the following categories of transportation barriers and opportunities at the community level: (1) Access and Reliability; (2) Convenience; (3) Safety; (4) Demographic Characteristics and Community Setting; and, (5) Planning, Infrastructure and Investments.

**SB 350:** [https://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill\\_id=201520160SB350](https://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201520160SB350)

### **Final Guidance Document, Low-Income Barriers Study, Part B: Overcoming Barriers to Clean Transportation Access for Low-Income Residents**

In February 2018, the California Air Resources Board released the Final Guidance Document, *Low-Income Barriers Study, Part B: Overcoming Barriers to Clean Transportation Access for Low-Income Residents*. This Guidance Document provides background for SB 350 and may assist Sustainable Communities applicants with developing Community Needs Assessments as a standalone project or as part of a proposed project.

<https://ww2.arb.ca.gov/resources/documents/carb-barriers-report-final-guidance-document>

## **Public Health Resources**

The following tools can be used to further describe the community's climate change and health vulnerability, and other needs, including helping to create qualitative descriptions of existing community health risks and vulnerabilities and how the proposal will address them.

### **Community Health Needs Assessments**

Community Health Needs Assessments (CHNA) and implementation strategies are regularly conducted by county public health departments and are newly required of tax-exempt hospitals as a result of the Patient Protection and Affordable Care Act. These assessments and strategies create an important opportunity to improve the health of communities. They ensure that hospitals

have the information they need to provide community benefits that meet the needs of their communities. They also provide an opportunity to improve coordination of hospital community benefits with other efforts to improve community health. By federal statute, the CHNAs must take into account input from “persons who represent the broad interests of the community served by the hospital facility, including those with special knowledge of or expertise in public health.” To avoid duplicative efforts, grant applicants are encouraged to contact and coordinate with local health departments/non-profit hospitals to take advantage of information that may have been collected as part of CHNA efforts, such as low-income resident and disadvantaged communities' transportation and mobility needs. It is important for grant applicants to connect with these public health entities for both partnership building on transportation needs for under-resourced communities, but also to not over-burden those communities with multiple assessments or efforts asking similar questions.

<https://www.astho.org/Programs/Access/Community-Health-Needs-Assessments/>

### **CDPH Climate Change and Health Vulnerability Indicators (CCHVIs)**

CDPH developed the Climate Change and Health Vulnerability indicators, narratives, and data to provide local health departments and partners the tools to better understand the people and places in their jurisdictions that are more susceptible to adverse health impacts associated with climate change, specifically extreme heat, wildfire, sea level rise, drought, and poor air quality. The assessment data can be used to screen and prioritize where to focus deeper analysis and plan for public health actions to increase resilience.

The CCHVIs can be viewed on “CCHViz”, CDPH's interactive data visualization platform: <https://discovery.cdph.ca.gov/ohe/CCHViz/>. The CCHVIs have also been incorporated into the HPI as decision support layers, to better integrate addressing health outcomes associated with climate change and various social determinants of health. See above for more information on the HPI.

<https://www.cdph.ca.gov/Programs/OHE/Pages/CC-Health-Vulnerability-Indicators.aspx>

### **CDPH Climate Change and Health Profile Reports (CHPRs)**

The CDPH Climate Change and Health Profile Reports are designed to help counties in California prepare for the health impacts related to climate change through adaptation planning. The reports present projections for county and regional climate impacts, the climate-related health risks, and local populations that could be vulnerable to climate effects. The information is based on available science compiled from previously published, state-sponsored research and plans.

<https://www.cdph.ca.gov/Programs/OHE/Pages/ClimateHealthProfileReports.aspx>

### **CDPH Healthy Communities Data and Indicators Project (HCI)**

The goal of the HCI is to enhance public health by providing a standardized set of statistical measures, data, and tools that a broad array of sectors can use for planning healthy communities and evaluating the impact of plans, projects, policy, and environmental changes on community health. The Healthy Community Framework identifies 20 key attributes (i.e., “aspirational goals”, such as “Safe, sustainable, and affordable transportation options” or “Access to affordable and safe opportunities for physical activity”) of a healthy community through all stages of life, clustered in five broad categories (i.e., “domains”, such as “Meets the Basic Needs of All” or “Quality and Sustainability of Environment”). HCI data indicators, narratives, and visualizations are found here.

<https://www.cdph.ca.gov/Programs/OHE/Pages/HCI-Search.aspx>

## Active Community Engagement

Sustainable Communities Competitive Grant applications must include an explanation of how local residents and community-based organizations will be meaningfully engaged in developing the final product, especially those from disadvantaged and low-income communities, and how the final product will address community-identified needs. Applicants are encouraged to implement, as applicable and appropriate the tips, best practices, and tools listed below:

### Community Engagement Best Practices

- Utilize a Participatory Budgeting (PB) planning process, as appropriate. PB is a democratic approach to public spending that meaningfully and deeply engages people in government and the community. During PB, community members democratically decide how to spend part of a public budget, enabling them to make the fiscal decisions that affect their lives and the health of their communities.
- Seek existing community-based organizations or agencies that organize vulnerable populations, to be able to reach out and form collaborative relationships.
- Involve local health departments which can provide assistance in reaching community-based organizations and disadvantaged and vulnerable community members.
- Collaborate with disadvantaged and vulnerable communities to design and implement programs, plans and policies. Robust engagement of disadvantaged and vulnerable communities in significant agency decisions brings about better decisions through increased input from different perspectives, increases buy-in and acceptance of decisions and support for their implementation.
- Make opportunities for input accessible in terms of formats (pop-up workshops, temporary built-environment demonstrations, online, in public meetings, one on one, by mail, etc.), venues (at school and community events, community centers, libraries, transit hubs, etc.), hours (evening or weekend), and language (accessible to lay people and translated into the principle languages of the relevant communities, including accessible media such as caption videos).
- Develop a written collaboration agreement or memorandum of understanding that defines respective roles, expectations, desired outcomes, and agreements for how to work together.
- Establish an advisory group of representatives of vulnerable communities, including community leaders and give them worthwhile roles to design the public engagement process, so that community capacity is built during the collaboration process.
- Conduct targeted outreach to community groups representing special needs populations, disadvantaged communities and a variety of socio-economic groups through various methods.
- Use a variety of outreach methods to optimize participation, such as creating and marketing user-friendly survey websites for public feedback, conducting surveys in multiple languages to collect input on local citizens' priorities, and carrying out meetings at accessible times and meeting locations (e.g., using community group buildings, hosting pop-up workshops at public venues, etc.).

**Note:** The applicant should increase efforts beyond basic public noticing and public hearings. Options for demonstrating additional public outreach could include, but not limited to all the above.

## Videos and Training on COVID-19 Public Engagement Best Practices and Strategies

In response to the COVID-19 pandemic, public engagement is adapting to the current environment of social distancing protocols. Applicants will need to consider how to conduct public outreach and engagement during these times. Below are some resources to help applicants evaluate the best strategy for public engagement.

- **Digital Engagement:** Digital engagement can greatly increase the reach of public education and involvement; many public agencies have been surprised by the positive results and substantial increase in participants.

**Caltrans Planning Horizons, “Digital Public Engagement and Transportation: Getting It Right – Theory, Techniques and Best Practices.”**

<https://youtu.be/85t9ibR2U7Q>

- **Public Engagement in Disadvantaged Communities:** Celia McAdam and Natalie Porter of AIM Consulting hosted a WTS seminar where they provided examples and strategies for public outreach during the COVID-19 pandemic.

<https://youtu.be/k2dPVqhlwvc>

## Integrated Housing, Land Use, and Transportation Planning

Development patterns directly impact GHG emissions, including those from transportation between jobs and housing. Improved coordination between housing and transportation can reduce commute times, increase transit ridership, lower vehicle miles traveled, lower pollution and GHG, provide greater economic opportunity, and other positive outcomes.

To support planning for housing California's growing population, the State Department of Housing and Community Development (HCD) reviews each local government's housing element of its general plan.

- The housing element must plan to meet the local government's existing and regional housing needs allocation and quantify and analyze the specific needs and resources available to address the housing needs.
- A housing element can also provide a mechanism to adopt efficient land-use strategies, including those that address climate change and reduce greenhouse emissions. For example, strategies could include the promotion of higher density, infill development, mixed-use development, or transit-oriented development near transit stations or transit corridors.
- Local governments are required to annually submit progress reports on the implementation of the housing element and provide a detail of production toward their projected housing needs.

For more information on:

- Housing element requirements, see the HCD Building Blocks website at <https://www.hcd.ca.gov/community-development/building-blocks/index.shtml>
- Adopted housing element requirements, see the “Housing Element Process” section at <https://www.hcd.ca.gov/community-development/building-blocks/getting-started/before-starting.shtml>
- A local government's housing element compliance, see <http://www.hcd.ca.gov/community-development/housing-element/docs/status.pdf>
- Annual Progress Reports, see the “Annual Progress Report” section at <https://www.hcd.ca.gov/community-development/housing-element/index.shtml>



## Promote the Region's RTP/SCS, State Planning Priorities, and Climate Adaptation Goals

The intent of additional Sustainable Communities grant funding, pursuant to SB 1 - The Road Repair and Accountability Act of 2017, is to encourage local and regional planning that furthers state goals, including but not limited to, the goals and best practices cited in the RTP Guidelines. Competitive applications will incorporate these cutting-edge planning practices into their proposed planning projects.

### **2017 RTP Guidelines (Appendix K, Page 273; Appendix L, Page 309)**

The California Transportation Commission adopted the 2017 RTP Guidelines for RTPAs and 2017 RTP Guidelines for MPOs which includes Appendix K – Promoting Health and Health Equity in MPO RTPs and Appendix L – Planning Practice Examples. These appendices highlight planning practices that are undertaken by large, medium, and small MPOs in both rural and urban areas throughout the State.

<https://dot.ca.gov/programs/transportation-planning/regional-planning/federal-state-planning-program/2017-rtp-guidelines-for-mpos>

### **SB 1 - The Road Repair and Accountability Act of 2017 (Beall, Chapter 5, Statutes of 2017)**

**SB 1:** [https://leginfo.legislature.ca.gov/faces/billTextClient.xhtml?bill\\_id=201720180SB1](https://leginfo.legislature.ca.gov/faces/billTextClient.xhtml?bill_id=201720180SB1)

### **SB 375 (Steinberg, Chapter 728, Statutes of 2008)**

Caltrans supports SB 375 RTP SCS efforts. Successful applications must be compatible with an existing adopted SCS, where applicable, that meets the region's GHG targets, and must strongly support and aim to implement regional SCS efforts. The SCS planning process is intended to help communities reduce transportation related GHG emissions, coordinate land use and transportation planning, and assist local and regional governments in creating sustainable communities for residents throughout the State.

Although most rural areas of the State are not subject to SB 375 SCS requirements, Caltrans still promotes the development of sustainable communities in these areas of the State and efforts to match GHG reduction targets and other goals embodied in SCSs under SB 375. Eligible rural agencies are strongly encouraged to apply for Sustainable Communities Competitive Grants.

#### **Information on SB 375-related planning efforts:**

<https://ww2.arb.ca.gov/our-work/topics/sustainable-communities>.

**SB 375:** [https://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill\\_id=200720080SB375](https://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=200720080SB375)

## Complete Streets and Smart Mobility Framework

Caltrans also supports complete streets and the Smart Mobility Framework (SMF). If applicable, Caltrans encourages applicants to consider the tools and techniques contained in the SMF as well as typical components of complete streets. Specifically, this might include how the project addresses components of community design, regional accessibility, place types, and priority activities to achieve smart mobility outcomes, community transition, and associated multimodal performance measures for the appropriate context of the problem. Information on these efforts can be found at:

### Complete Streets

<https://dot.ca.gov/programs/transportation-planning/office-of-smart-mobility-climate-change/smart-mobility-active-transportation/complete-streets>

### Smart Mobility Framework

<https://dot.ca.gov/programs/transportation-planning/office-of-smart-mobility-climate-change/smart-mobility-active-transportation/smart-mobility-framework>

## Climate Ready Transportation

Through the Grant Program, Caltrans supports the State's broader efforts to help ensure our transportation infrastructure is climate-ready. In order to prioritize these investments, Governor Gavin Newsom signed Executive Order (EO) N-19-19 on September 20, 2019 to redouble the state's "efforts to reduce greenhouse gas emissions and mitigate the impacts of climate change while building a sustainable, inclusive economy." The EO lists California's ambitious and essential climate goals to transition to a healthier, more sustainable and more inclusive economy, including:

- Reducing greenhouse gas emissions 40 percent below 1990 levels by 2030
- Providing 100 percent of the State's electricity from clean energy sources by 2045
- Reducing methane emissions and hydrofluorocarbon gases by 40 percent
- Adding five million zero-emission vehicles to the State's roads by 2030

To help achieve these goals, the EO directs the California State Transportation Agency to leverage over \$5 billion in annual state transportation spending toward transportation construction, operations, and maintenance to lower fuel consumption and greenhouse gas emissions from transportation. This includes strategies for lowering vehicle miles traveled, such as supporting housing development near available jobs, and supporting active modes of transportation such as biking and walking that also benefit public health. The EO specifically requires that the State Transportation Agency also work to mitigate increased transportation costs for low-income communities.

<https://www.gov.ca.gov/wp-content/uploads/2019/09/9.20.19-Climate-EO-N-19-19.pdf>

## Integrated Climate Adaptation and Resiliency Program

Senate Bill 246 (Wieckowski, Chapter 606, Statutes of 2015) established the Integrated Climate Adaptation and Resiliency Program (ICARP) within the Governor's Office of Planning and Research to coordinate regional and local efforts with State climate adaptation strategies

(Public Resources Code Section 71354). Grant applicants may refer to the ICARP website to explore the State Adaptation Clearinghouse, a centralized source of information and resources to assist decision makers at the state, regional, and local levels when planning for and implementing climate adaptation projects to promote resiliency across California.

**ICARP Website:** <http://www.opr.ca.gov/planning/icarp/>



**SB 246:** [https://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill\\_id=201520160SB246](https://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201520160SB246)

## **Community Climate Resiliency**

Grant applicants are encouraged to consider if the surrounding community is experiencing any specific climate vulnerabilities and how the proposed planning project aims to address specific concerns. Grant applicants should also describe how potential climate impacts are taken into consideration in the proposed planning project, such as the incorporation of natural infrastructure, and, if applicable, how the project conforms with the local implementation of SB 379 (Jackson, Statutes of 2015), Government Code Section 65302(g)(4), where cities and counties are required to address climate adaptation and resiliency strategies in the safety element of their general plan.

## **Defining Vulnerable Communities in an Adaptation Context, OPR Resource Guide**

The Governor's Office of Planning and Research, with input from the Integrated Climate Action and Resiliency Program (ICARP) Technical Advisory Council, developed a resource guide for practitioners to use when first considering how to define vulnerable communities in an adaptation context. The document includes: (1) The ICARP Technical Advisory Council's definition of climate-vulnerable communities, (2) A summary of existing statewide assessment tools that can be used to identify vulnerable communities in a climate adaptation context, including a crosswalk with the indicators that are required elements of an SB 1000 (Leyva, Statutes of 2016) analysis; (3) Additional indicators that could be used to assess underlying vulnerability on a case-by-case basis; (4) A list of process guides that can serve to aid agencies undertaking efforts to define vulnerable communities.

<http://opr.ca.gov/planning/icarp/vulnerable-communities.html>

## **Climate Action Plans**

Many California cities and counties are developing Climate Action Plans to reduce their GHG emissions. The website above provides a host of resources, including example Climate Action Plans and templates.

<http://www.ca-ilg.org/climate-action-plans>

## **Safeguarding California**

Safeguarding California is the strategy that organizes state government climate change adaptation activities.

<http://resources.ca.gov/climate/safeguarding/>

## **CalAdapt**

Cal-Adapt provides a view of how climate change might affect California. Find tools, data, and resources to conduct research, develop adaptation plans and build applications.

<http://cal-adapt.org/>

## **California Climate Adaptation Planning Guide**

The Adaptation Planning Guide provides guidance to support regional and local communities in proactively addressing the unavoidable consequences of climate change. It provides a step-by-step process for local and regional climate vulnerability assessment and adaptation strategy development.

<http://resources.ca.gov/climate/safeguarding/local-action/>

## California Sustainable Freight Action Plan

In July 2015, Governor Edmund G. Brown Jr. issued Executive Order B-32-15, which provides a vision for California's transition to a more efficient transport system. This transition of California's freight transport system is essential to supporting the State's economic development in coming decades while reducing harmful pollution affecting many California communities. As a key first step, the Governor's Executive Order directs the California State Transportation Agency, California Environmental Protection Agency, Natural Resources Agency, California Air Resources Board, California Department of Transportation, California Energy Commission, and Governor's Office of Business and Economic Development to develop a California Sustainable Freight Action Plan (Action Plan), by July 2016. This Action Plan is an unprecedented effort, intended to integrate investments, policies, and programs across several State agencies to help realize a singular vision for California's freight transport system. The Action Plan provides a recommendation on a high-level vision and broad direction to the Governor to consider for State agencies to utilize when developing specific investments, policies, and programs related to the freight transport system that serves our State's transportation, environmental, and economic interests. Competitive grant applications will highlight how their planning effort will support this Action Plan.

<https://dot.ca.gov/programs/transportation-planning/freight-planning>



## **APPENDIX B. SAMPLE APPLICATION PACKAGE**

The Grant Application Guide and all fillable application documents can be found on the Sustainable Transportation Planning Grant website.

- Application Checklist, Cover Sheet, and Signature Page
- Application Narrative
- Scope of Work and Checklist
- Cost and Schedule and Checklist
- Third-Party In-Kind Valuation Plan and Checklist
- Local Resolution and Checklist

## Application Checklist

The following documents are required and must be submitted via e-mail in one single PDF document. Keep the file name brief, as files become corrupt when file names are too long. Refer to the Grant Application Guide for additional information and/or samples. Failure to include any of the required documents will result in a reduced application score.

**PDF documents should be submitted in their fillable PDF formats.**

Required Documents	
(✓)	Ensure these items are completed prior to submitting to Caltrans
	Application Cover Sheet
	Signature Page (Electronic signatures accepted)
	Application Narrative
	Scope of Work
	Cost and Schedule
	Third Party In-Kind Valuation Plan (if applicable, required upon award)
	Map of Project Area
Supplemental Documentation (not required)	
	Graphics of Project Area (when applicable)
	Letter(s) of support
	Data

Caltrans Sustainable Transportation Planning Grant Program



PART A. APPLICATION INFORMATION				FY 2022-23	
<b>Grant Category</b> (select only one)					
<b>Sustainable Communities</b> (MPOs with sub-applicant, RTPAs, Transit Agencies, Cities, Counties, Tribes, other Public Transportation Planning Entities)			<b>Strategic Partnerships</b> (MPOs and RTPAs only)		
	Sustainable Communities Competitive (11.47% Local Match requirement)			Strategic Partnerships (FHWA SPR Part I) (20% Local Match requirement)	
	Sustainable Communities Competitive Technical (11.47% Local Match requirement)			Strategic Partnerships Transit (FTA 5304) (11.47% Local Match requirement)	
<b>Application Submittal Type</b> (more than one may be selected)					
<b>New</b>		<b>Prior Phases</b>		<b>Re-Submittal</b>	
	New Application		Continuation of a prior project. If so, list the project title below.	Re-submittal from a prior grant cycle.	
				How many times has an application been submitted for this project?	

PART B. PROJECT INFORMATION					
<b>Project Title and Location</b>					
Project Title					
Project Location (City)		Project Location (County)			
<b>PART D: Funding Information</b>					
1. Is the applicant proposing to meet the minimum local match requirement or an over-match? Use the Match Calculator to determine the appropriate match. <a href="#">Match Calculator</a>					
<input type="checkbox"/> Minimum Local Match <input type="checkbox"/> Over-Match					
2. What is the source of Local Match funds being used? (MPOs – Federal Toll Credits, PL, and FTA 5303 <u>cannot</u> be used to match Sustainable Communities Competitive)					
<input type="checkbox"/> Local Transportation Funds <input type="checkbox"/> Local Sales Tax <input type="checkbox"/> Special Bond Measures					
<input type="checkbox"/> Other, specify: <input type="text"/>					
<b>Grant Funds Requested</b>	<b>Local Match (Cash)</b>	<b>Local Match (In-Kind)</b>	<b>Total Local Match</b>	<b>% Local Match</b>	<b>Total Project Cost</b>
\$	\$	\$	\$		\$



**Sustainable Transportation Planning Grant Program**  
 GRANT APPLICATION COVER SHEET

**PART C. CONTACT INFORMATION\***

	Applicant	Sub-Applicant	Sub-Applicant
Organization (legal name)			
Dept./Division			
Street Address			
City			
Zip Code			
Phone Number			
Executive Director Name			
Title			
Executive Director E-mail			
Contact Person Name			
Contact Person Title			
Contact Phone Number			
Contact E-mail			

\*Use additional pages if necessary.

**PART D. COMPLIANT HOUSING ELEMENT**

City/County Applying for Sustainable Communities Grants	Yes	No
Does the City/County have a compliant Housing Element?		
Has the City/County submitted Annual Progress Report to the California Department of Housing and Community Development for calendar years 2019 and 2020?		



**PART E. LEGISLATIVE INFORMATION**

Use the following link to determine the appropriate legislative members in the Project area.

Search by address: <http://findyourrep.legislature.ca.gov/>

State Senator(s)		Assembly Member(s)	
District	Name	District	Name

**PART F. LETTERS OF SUPPORT**

List all letters of support received for the proposed project.

Name/Agency	Name/Agency



 **Sustainable Transportation Planning Grant Program**  
 GRANT APPLICATION SIGNATURE PAGE

If selected for funding, the information contained in this application will become the foundation of the contract with Caltrans.

To the best of my knowledge, all information contained in this application is true and correct. If awarded a grant with Caltrans, I agree that I will adhere to the program guidelines.

<b>Applicant</b>			
Authorized Official (Applicant)			
Print Full Name			
Title			
Signature		Date	
<b>Sub-Applicant(s)*</b>			
Authorized Official (Sub-Applicant)			
Print Full Name			
Title			
Signature		Date	
Authorized Official (Sub-Applicant)			
Print Full Name			
Title			
Signature		Date	
Authorized Official (Sub-Applicant)			
Print Full Name			
Title			
Signature		Date	

\*Use additional pages if necessary.



**Sustainable Transportation Planning Grant Program**  
 SUSTAINABLE COMMUNITIES - GRANT APPLICATION  
 NARRATIVE

PART G. APPLICATION NARRATIVE		FY 2022-23
<b>Project Information</b>		
Organization (legal name)		
Project Title		
Project Area Boundaries		
<b>Application Narrative</b>		
<p><b>1. Project Description (10 points)</b>            Briefly summarize project in a clear and concise manner, including why the project is necessary, major deliverables, parties involved, and any connections to relevant local, regional, and/or State planning efforts. <b>Do not exceed the space provided.</b></p>		
<p><b>2A. Project Justification (15 points)</b></p> <ul style="list-style-type: none"> <li>• Describe the problems or deficiencies the project is attempting to address, as well as how the project will address the identified problems or deficiencies</li> <li>• List the ramifications of not funding this project</li> <li>• Clearly define the existing issues surrounding the project (e.g., transportation issues, inadequate transit services, impacts of heavy trucking on local streets, air pollution, etc.)</li> <li>• Competitive applications support the need for the project with empirical data</li> <li>• Describe how this project addresses issues raised</li> <li>• Define the public benefit</li> <li>• Explain how the public was involved with identifying issues</li> <li>• Describe the impact of not funding the project</li> <li>• <b>Do not exceed the space provided</b></li> </ul>		

 **Sustainable Transportation Planning Grant Program**  
SUSTAINABLE COMMUNITIES - GRANT APPLICATION  
NARRATIVE

**2B. Disadvantaged Communities Justification (5 points)**

- Explain how the project area or portions of the project area are defined as a disadvantaged community, including Native American Tribal Governments and rural communities
- Explain how the proposed project addresses the needs of the disadvantaged community
- Describe how disadvantaged communities will benefit from the proposed planning project
- The tools in Grant Application Guide, Appendix A, are intended to help applicants define a disadvantaged community
  - Cite data sources, the tools used, and include a comparison to the statewide thresholds that are established in each tool
- **Do not exceed the space provided**

**2C. Disadvantaged Communities Engagement (5 points)**

- Describe how the proposed effort would engage disadvantaged communities, including Native American Tribal Governments and rural communities. Include specific outreach methods for involving disadvantaged communities
- Describe how disadvantaged communities will continue to be engaged during the next phases after the proposed planning project is complete, including project implementation. See Grant Application Guide, Appendix A, for best practices in community engagement
- **Do not exceed the space provided**

**3. Grant Specific Objectives (Total 35 points)**

Integrate the following Grant Program Considerations (Grant Application Guide, Chapter 1.2) in the responses for 3A-G below, as applicable:

- Caltrans Strategic Plan
- California Transportation Plan (CTP)
- Modal Plans that Support the CTP
- Title VI and Environmental Justice
- Climate Action Plan for Transportation Infrastructure

 **Sustainable Transportation Planning Grant Program**  
SUSTAINABLE COMMUNITIES - GRANT APPLICATION  
NARRATIVE

**3A. Grant Specific Objectives (5 points)**

- Explain how the proposal encourages local and regional multimodal transportation, housing and land use planning that furthers the region's RTP SCS (where applicable)
- Demonstrate how the proposed effort would coordinate transportation, housing, and land use planning components of the project to inform one another (i.e., regular coordination meetings between responsible entities, joint community meetings, letters of commitment from all relevant implementing agencies, etc.)
- Explain how the proposed effort would contribute to shifts in land use towards more sustainable and equitable communities, such as more affordable housing near transit or more compact regional development patterns (Reference Grant Application Guide, Chapter 2.2, for example project types)
- **Do not exceed the space provided**

**3B. Grant Specific Objectives (5 points)**

- Explain how the proposal contributes to the State's GHG reduction targets and advances transportation related GHG emission reduction project types/strategies (i.e., mode shift, demand management, travel cost, operational efficiency, accessibility, and coordination with future employment and residential land use, etc.)
- **Do not exceed the space provided**

**3C. Grant Specific Objectives (5 points)**

- Explain how the proposal supports other State goals, including but not limited to:
  - State Planning Priorities (Government Code Section 65041.1)
  - Climate Adaptation Goals (Safeguarding California)
  - Goals and Best Practices cited in the 2017 RTP Guidelines, Appendices K and L.
- **Do not exceed the space provided**

**3D. Grant Specific Objectives (5 points)**

- Explain how the proposal encourages stakeholder involvement
  - List the stakeholders involved in the planning effort (e.g., first responders, community-based organizations, local housing and public health departments, transit agencies, and partners including State, federal, local agencies)
  - Explain how stakeholders will be involved throughout the project
- **Do not exceed the space provided**



**Sustainable Transportation Planning Grant Program**  
 SUSTAINABLE COMMUNITIES - GRANT APPLICATION  
 NARRATIVE

<p><b>3E. Grant Specific Objectives (5 points)</b></p> <ul style="list-style-type: none"> <li>• Explain how the proposal involves active community engagement</li> <li>• Describe the specific public outreach methods/events that will be employed throughout the project</li> <li>• Explain how public input will inform the project</li> <li>• Describe how the effort will survey the public at the end of each outreach event to gauge effectiveness of these activities for the planning effort</li> <li>• <b>Do not exceed the space provided</b></li> </ul>
<p><b>3F. Grant Specific Objectives (5 points)</b></p> <ul style="list-style-type: none"> <li>• Explain how the proposal assists in achieving the Caltrans Mission and Grant Program Objectives (Grant Application Guide, Chapter 1.2)           <ul style="list-style-type: none"> <li>◦ Sustainability, Preservation, Accessibility, Safety, Innovation, Economy, Health, and Social Equity, as applicable</li> </ul> </li> <li>• <b>Do not exceed the space provided</b></li> </ul>
<p><b>3G. Grant Specific Objectives (5 points)</b></p> <ul style="list-style-type: none"> <li>• Explain how the proposal ultimately results in funded and programmed multimodal transportation system improvements. Applicants should discuss next steps for project implementation, including timing for programming improvements that would result from the planning effort</li> <li>• <b>Do not exceed the space provided</b></li> </ul>
<p><b>4. Project Management (Total 30 points)</b></p> <p>See Scope of Work and Cost and Schedule samples and checklists for requirements (Grant Application Guide, Appendix B), also available on the Caltrans grants website:  <a href="https://dot.ca.gov/programs/transportation-planning/regional-planning/sustainable-transportation-planning-grants">https://dot.ca.gov/programs/transportation-planning/regional-planning/sustainable-transportation-planning-grants</a></p>
<p><b>4A. Scope of Work (15 points)</b></p>
<p><b>4B. Cost and Schedule (15 points)</b></p>





**Sustainable Transportation Planning Grant Program**  
 STRATEGIC PARTNERSHIPS - GRANT APPLICATION NARRATIVE

<b>PART G. APPLICATION NARRATIVE</b>		FY 2022-23
<b>Project Information</b>		
Organization (legal name)		
Project Title		
Project Area Boundaries		

<b>Application Narrative</b>	
<b>1. Project Description (10 points)</b> Briefly summarize the project in a clear and concise manner, including why the project is necessary, major deliverables, parties involved, and any connections to relevant local, regional, and/or State planning efforts. <b>Do not exceed the space provided.</b>	
<b>2. Project Justification (30 points)</b> <ul style="list-style-type: none"> <li>Describe the problems or deficiencies the project is attempting to address, as well as how the project will address the identified problems or deficiencies</li> <li>List the ramifications of not funding this project</li> <li>Clearly define the existing issues surrounding the project (e.g., transportation issues, in-adequate transit services, impacts of heavy trucking on local streets, air pollution, etc.)</li> <li>Competitive applications support the need for the project with empirical data</li> <li>Describe how this project addresses issues raised</li> <li>Describe the impact of not funding the project</li> <li><b>Do not exceed the space provided</b></li> </ul>	
<b>3. Grant Specific Objectives (Total 20 points)</b> Integrate the following Grant Program Considerations (Grant Application Guide, Chapter 1.2) in the responses for 3A-3D below, as applicable: <ul style="list-style-type: none"> <li>Caltrans Strategic Plan</li> <li>California Transportation Plan (CTP)</li> <li>Modal Plans that Support the CTP</li> <li>Title VI and Environmental Justice</li> </ul>	



**Sustainable Transportation Planning Grant Program**  
**STRATEGIC PARTNERSHIPS - GRANT APPLICATION NARRATIVE**

<p><b>3A. Grant Specific Objectives (5 points)</b></p> <ul style="list-style-type: none"> <li>List and explain how the proposal would accomplish the Federal Planning Factors (Grant Application Guide, Chapter 4.2), achieve the Caltrans Mission and the Grant Program Objectives (Grant Application Guide, Chapter 1.2.)</li> <li><b>Do not exceed the space provided</b></li> </ul>
<p><b>3B. Grant Specific Objectives (5 points)</b></p> <ul style="list-style-type: none"> <li>Explain how the proposal partners with Caltrans to identify and address statewide, interregional, or regional transportation deficiencies in the State Highway System (or multimodal transportation system for transit-focused projects)</li> <li>Clearly define how Caltrans will be a partner in the proposed project, as appropriate for the project</li> <li><b>Do not exceed the space provided</b></li> </ul>
<p><b>3C. Grant Specific Objectives (5 points)</b></p> <ul style="list-style-type: none"> <li>Explain how the proposal strengthens government-to-government relationships</li> <li>Outline the entities involved with the proposed project and how partnerships will be strengthened as a result</li> <li><b>Do not exceed the space provided</b></li> </ul>
<p><b>3D. Grant Specific Objectives (5 points)</b></p> <ul style="list-style-type: none"> <li>Explain how the proposal results in programmed system improvements</li> <li>Discuss next steps for project implementation, including timing for programming improvements that would result from the planning effort</li> <li><b>Do not exceed the space provided</b></li> </ul>
<p><b>4. Project Management (Total 40 points)</b></p> <p>See Scope of Work and Cost and Schedule samples and checklists for requirements (Grant Application Guide, Appendix B), also available on the Caltrans grants website, <a href="https://dot.ca.gov/programs/transportation-planning/regional-planning/sustainable-transportation-planning-grants">https://dot.ca.gov/programs/transportation-planning/regional-planning/sustainable-transportation-planning-grants</a></p>
<p><b>4A. Scope of Work (20 points)</b></p>
<p><b>4B. Cost and Schedule (20 points)</b></p>

## Scope of Work Checklist

The Scope of Work (SOW) is the official description of the work that is to be completed during the contract. Tasks 1-6 outlined in the SOW are for illustrative purposes only.

**Applications with missing components will be at a competitive disadvantage.** Please use this checklist to make sure your Scope of Work is complete.

Scope of Work Checklist	
(✓)	Ensure these items are completed prior to submitting to Caltrans
	Use the Fiscal Year 2022-23 template provided
	Include the activities discussed in the grant application
	List all tasks using the same title as stated in the Project Cost and Schedule
	Include task numbers in accurate and proper sequencing, consistent with the Cost and Schedule
	Exclude sub-task numbers; only include sub-headings
	Exclude tasks for project management and/or staff/consultant coordination; these activities should be spread among relevant tasks
	Include a thorough Introduction to describe relevant background, related planning efforts, the project and project area demographics, including a description of the disadvantaged community involved with the project, if applicable
	Include a thorough and accurate narrative description of each task
	Task 01 is a required task. It must be titled "Project Administration", it cannot exceed 5% of the grant award amount, and only the grantee and sub-recipient(s) can charge against this Task. This Task must only include the following activities and deliverables: <ul style="list-style-type: none"> <li>• Caltrans and grantee Project kick-off meeting at the start of the grant</li> <li>• Invoicing and quarterly reporting to Caltrans</li> <li>• DBE Reporting (federal grants only)</li> </ul>
	Include Task 02 for the procurement of a consultant (if needed). This task is for the <u>grantee and sub-recipient(s) only</u> .
	Include detailed public participation and services to diverse communities in the Public Outreach Task (excluding technical projects)
	Identify public outreach strategies in a manner that provides flexibility and allows for a diverse range of outreach methods (both in-person and on-line), considering the current COVID-19 environment (excluding technical projects)
	Include a Task(s) for a Draft and Final product. The draft plan must include an opportunity for the public to provide feedback (excluding technical projects).
	Include a summary of next steps your agency will take towards implementing the project in the Final Product
	List achievable project deliverables for each Task
	EXCLUDE environmental, complex design, engineering work, and other ineligible activities outlined in the Grant Application Guide



## SCOPE OF WORK

Project Information	
Grant Category	
Grant Fiscal Year	
Project Title	
Organization (legal name)	

### Introduction

[Provide a detailed summary of the grant project]

### Project Stakeholders

[Provide a detailed summary of who the Project Stakeholders are. Will a consultant be working on the project? If so, what activities/tasks will they be involved with?]

### Overall Project Objectives

[Provide a detailed summary of the Overall Project Objectives]

### Summary of Project Tasks

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

#### Task 01: Project Administration

This is an Administrative Task that shall only be charged against by the Grantee for the Administration of this grant project. Costs for this task cannot exceed 5% of the grant award amount.

Grantee will manage and administer the grant project according to the Grant Application Guidelines, Regional Planning Handbook, and the executed grant contract between Caltrans and the grantee.

[Provide a detailed narrative of activities to be completed in this Task]

Task Deliverables
[The following are the only allowable deliverables for this Task. This Task is not for the management of the consultant or meetings between the grantee and the consultant]
Kick-off meeting with Caltrans - Meeting Notes, quarterly invoices and progress reports, DBE reporting (federal Grants only).

Caltrans Sustainable Transportation Planning Grant Program

**Task 02: Consultant Procurement**

[Provide a detailed narrative of activities to be completed in this Task]

Grantee will procure a consultant, consistent with state and federal requirements, Local Assistance Procedures Manual for procuring non-Architectural and Engineering consultants, the Grant Application Guide, Regional Planning Handbook, and the executed grant contract between Caltrans and the grantee.

<b>Task Deliverables</b>
[List achievable deliverables for this Task]
Examples: Grantees current procurement procedures, copy of the Request for Proposal/Qualifications, copy of the contract between consultant and grantee, copies of all amendments to the consultant contract, meeting notes from project kick-off with consultant

**Task 1: Existing Conditions**

[Provide a detailed narrative of activities to be completed in this Task]

<b>Task Deliverables</b>
[List achievable deliverables for this Task]
Examples: Summary of Existing Conditions

**Task 3: Analysis**

[Provide a detailed narrative of activities to be completed in this Task]

<b>Task Deliverables</b>
[List achievable deliverables for this Task]
Examples: Summary of Analysis

**Task 4: Public Outreach**

[Provide a detailed narrative of activities to be completed in this Task]

<b>Task Deliverables</b>
[List achievable deliverables for this Task]
Examples: PowerPoint Presentations, flyers, website announcements, sign-in sheets, community surveys, conceptual drawings, bilingual services, receipts for light snacks (Caltrans approval required prior to purchase. No full meals)

### Task 5: Advisory Committee Meetings

[Provide a detailed narrative of activities to be completed in this Task]

Task Deliverables
[List achievable deliverables for this Task]
Examples: Agendas, meeting notes, list of attendees, list of action items

### Task 6: Draft and Final Plan

[Provide a detailed narrative of activities to be completed in this Task]

Task Deliverables
[List achievable deliverables for this Task]
Examples: Draft Plan, Public Review – list of comments, Final Plan that includes a summary of next steps towards implementation, credits FHWA, FTA, and/or Caltrans on the cover or title page, submitted to Caltrans in an ADA accessible electronic copy.

### Task 7: Board Review/Approval

[Provide a detailed narrative of activities to be completed in this Task]

Task Deliverables
[List achievable deliverables for this Task]
Examples: Board Agenda, presentation materials, meeting minutes with board acceptance/approval.

## Cost and Schedule Checklist

The Cost and Schedule is the official budget and timeline for the project. Tasks 1-6 outlined in the Cost and Schedule are for illustrative purposes only. **The Cost and Schedule must be consistent with the Grant Application Cover Sheet. Applications with missing components will be at a competitive disadvantage.**

Cost and Schedule Checklist	
(✓) Ensure these items are completed prior to submitting to Caltrans	
	Use the Fiscal Year 2022-23 template provided (do not alter the template)
	List all tasks with the same title as stated in the Scope of Work
	Include task numbers in proper sequencing, consistent with the Scope of Work
	Exclude sub-task numbers and sub-headings
	Exclude tasks for project management and/or staff/consultant coordination; these activities should be spread among relevant tasks
	Task 01 is a required task. It must be titled "Project Administration", it cannot exceed 5% of the grant amount requested, and only the grantee and recipient(s) can charge against this Task. This Task must only include the following activities and deliverables: <ul style="list-style-type: none"> <li>• Project kick-off meeting between the grantee and Caltrans at the start of the grant</li> <li>• Invoicing and quarterly reporting to Caltrans</li> <li>• DBE Reporting (federal grants only)</li> </ul>
	Include Task 02 for procurement of consultants, if consultants are needed. This task is for the <u>grantee and sub-recipient(s) only</u> .
	Complete all budget columns as appropriate: Total Cost, Grant Amount, Local Cash Match, and if applicable, Local In-Kind Match
	Ensure the correct minimum local match amount, calculated as a percentage of the total project cost (grant plus local match), is provided
	Ensure the total Local Match amount meets the minimum required Local Match for the specified Grant Category
	Include a grant amount for each Task (excluding Tasks 01 and 02)
	Identify if a Tapered Local Match approach will be used, which allows grantees to vary the required local match ratio over the life of the grant contract. Grantee agrees to satisfy the total local match amount by the contract expiration date.
	Identify the estimated indirect cost rate if indirect costs will be reimbursed. If FY 2022-23 indirect cost rates are not available, the rate will be an estimate based on the currently approved rate.
	Include a best estimate of the amount of time needed to complete each task
	State a realistic total cost for each task based on the work that will be completed
	Start the timeframe at the beginning of the grant period (July 2022 for MPO/RTPAs; November 2022 for non-MPO/RTPAs)
	Extend the timeframe to the end of the grant period (Project end dates differ based on applicant type (MPO/RTPA or non-MPO/RTPA) <b>and</b> type of funds (State or federal) (See Grant Application Guide, Chapter 8.2, for more details)



## Third Party In-Kind Valuation Plan Checklist

The Third Party In-Kind Valuation Plan is an itemized breakdown by task and serves as documentation for the goods and/or services to be donated. The Third Party In-Kind Valuation Plan must be consistent with the information provided on the Cost and Schedule and Grant Application Cover Sheet. This document is required upon grant award as a condition of grant acceptance. Refer to Grant Application Guide, Chapter 5.4 for a Third-Party In-Kind description and examples.

Third-Party In-Kind Valuation Plan Checklist	
(✓) Ensure these items are completed prior to submitting to Caltrans	
	Use the Fiscal Year 2022-23 template provided (do not alter the template).
	Name the third party in-kind local match provider; this cannot be the Grantee
	Describe how the third party in-kind local match will be tracked and documented for accounting purposes.
	Describe the fair market value of third party in-kind contributions and how the values were determined.
	Include an itemized breakdown by task, consistent with the Cost and Schedule.
	Ensure the in-kind local match amount is consistent with the Grant Application Cover Sheet and Cost and Schedule.

California Department of Transportation  
**Sustainable Transportation Planning Grant Program**  
**THIRD-PARTY IN-KIND VALUATION PLAN**

Grant Category  
 Grant Fiscal Year  
 Project Title  
 Organization  
 (legal name)

Task #	Task Title	Third-Party In-Kind Contribution	Name of Third-Party In-Kind Match Provider	Fair Market Value Determination	Fair Market Value or Hourly Rate	Number of Hours	Estimated Cost
<b>Total In-kind Match:</b>							<b>\$0</b>

Explain how the third party in-kind match will be documented for accounting purposes:



## Local Resolution Checklist

A Local Resolution is NOT required at the grant application stage; however, it is required upon award as a condition of grant acceptance.

Local Resolution Checklist	
(✓)	Ensure these items are completed prior to submitting to Caltrans
	State the title of the project (1)
	State the job title of the person authorized to enter into a contract with Caltrans on behalf of the applicant (2)
	NOT be more than a year old, or it will not be accepted (3)
	Signed by the grant applicant's governing board (4)



# Sample Local Resolution

## CITY OF CAN DO RESOLUTION NO. 009-2012

### RESOLUTION OF THE BOARD OF DIRECTORS OF THE CITY OF CAN DO AUTHORIZING THE EXECUTIVE DIRECTOR TO EXECUTE AGREEMENTS WITH THE

1

### CALIFORNIA DEPARTMENT OF TRANSPORTATION FOR THE CITY OF CAN DO COMPLETE STREET PLAN

**WHEREAS**, the Board of Directors of the City of Can Do is eligible to receive Federal and/or State funding for certain transportation planning related plans, through the California Department of Transportation;

**WHEREAS**, a Restricted Grant Agreement is needed to be executed with the California Department of Transportation before such funds can be reimbursed through the Transportation Planning Grant Program;

**WHEREAS**, the City of Can Do wishes to delegate authorization to execute these agreements and any amendments thereto;

2

**NOW, THEREFORE, BE IT RESOLVED** by the Board of Directors of the City of Can Do, authorize the Executive Director, or designee, to execute all Restricted Grant Agreements and any amendments thereto with the California Department of Transportation.

**APPROVED AND PASSED** this 4th day of October 2021.

3

4

  
\_\_\_\_\_  
John Doe,  
Chair

**ATTEST:**

  
\_\_\_\_\_

Eileen Wright, Executive Director

# APPENDIX C. CALTRANS/REGIONAL AGENCY BOUNDARIES MAP





## **APPENDIX D. CALTRANS DISTRICT CONTACT LIST**

# Caltrans Sustainable Transportation Planning Grants District Contact List

DISTRICT	CONTACT	MPO/RTPA
<b>DISTRICT 1</b> 1656 Union Street P.O. Box 3700 Eureka, CA 95502	Tatiana Ahlstrand (707) 684-6884 Email: <a href="mailto:tatiana.ahlstrand@dot.ca.gov">tatiana.ahlstrand@dot.ca.gov</a>	<ul style="list-style-type: none"> <li>Del Norte LTC</li> <li>Humboldt CAOG</li> <li>Lake CCAPC</li> <li>Mendocino COG</li> </ul>
<b>DISTRICT 2</b> 1657 Riverside Drive Redding, CA 96001	Kathy Grah Office:(530) 229-0517 Cell: (530) 782-3152 Email: <a href="mailto:kathy.grah@dot.ca.gov">kathy.grah@dot.ca.gov</a>	<ul style="list-style-type: none"> <li>Lassen CTC</li> <li>Tehama CTC</li> <li>Modoc LTC</li> <li>Trinity CTC</li> <li>Plumas CTC</li> <li>Siskiyou CLTC</li> <li>Shasta RTA</li> </ul>
<b>DISTRICT 3</b> 703 B Street Marysville, CA 95901	<b>Sacramento and Yolo Counties</b> Alex Padilla (916) 798-1218 Email: <a href="mailto:alex.padilla@dot.ca.gov">alex.padilla@dot.ca.gov</a>  <b>Butte, Colusa, Glenn, Sierra, Sutter, and Yuba Counties</b> Gary Arnold (530) 821-8401 Email: <a href="mailto:gary.arnold@dot.ca.gov">gary.arnold@dot.ca.gov</a>  <b>El Dorado, Nevada, Placer, Tahoe Basin</b> Kevin Yount (530) 513-0584 Email: <a href="mailto:kevin.yount@dot.ca.gov">kevin.yount@dot.ca.gov</a>	<ul style="list-style-type: none"> <li>Butte CAG</li> <li>Sierra LTC</li> <li>Colusa CTC</li> <li>Glenn CTC</li> <li>El Dorado CTC</li> <li>Nevada CTC</li> <li>Placer CTPA</li> <li>Sacramento Area COG</li> <li>Tahoe MPO</li> </ul>
<b>DISTRICT 4</b> 111 Grand Avenue P.O. Box 23660 Oakland, CA 94623-0660	Becky Frank (510) 960-0883 Email: <a href="mailto:becky.frank@dot.ca.gov">becky.frank@dot.ca.gov</a>  Stephen Conteh (510) 960-0887 Email: <a href="mailto:stephen.conteh@dot.ca.gov">stephen.conteh@dot.ca.gov</a>	<ul style="list-style-type: none"> <li>Metropolitan Transportation Commission</li> </ul>
<b>DISTRICT 5</b> 50 Higuera Street San Luis Obispo, CA 93401-5415	Hana Mengsteab (805) 835-6520 Email: <a href="mailto:hana.mengsteab@dot.ca.gov">hana.mengsteab@dot.ca.gov</a>	<ul style="list-style-type: none"> <li>Monterey TAMC</li> <li>Santa Cruz CCRTC</li> <li>San Benito COG</li> <li>Association of Monterey County Bay Area Governments</li> <li>Santa Barbara CAG</li> <li>San Luis Obispo COG</li> </ul>
<b>DISTRICT 6</b> 1352 W. Olive Avenue P.O. Box 12616 Fresno, CA 93778-2616	Lorena Mendibles (559) 445-5421 Email: <a href="mailto:lorena.mendibles@dot.ca.gov">lorena.mendibles@dot.ca.gov</a>  Edgar Hernandez (559) 981-7436 Email: <a href="mailto:edgar.hernandez@dot.ca.gov">edgar.hernandez@dot.ca.gov</a>	<ul style="list-style-type: none"> <li>Fresno COG</li> <li>Tulare CAG</li> <li>Kern COG</li> <li>Kings CAG</li> <li>Madera CTC</li> </ul>

## Caltrans Sustainable Transportation Planning Grants District Contact List - continued

DISTRICT	CONTACT	MPO/RTPA
<b>DISTRICT 7</b> 100 S. Main Street Los Angeles, CA 90012	Jonathan Palacio (213) 265-0341 Email: <a href="mailto:jonathan.palacio@dot.ca.gov">jonathan.palacio@dot.ca.gov</a>  Rebecca Sanchez (213) 265-0273 Email: <a href="mailto:rebecca.sanchez@dot.ca.gov">rebecca.sanchez@dot.ca.gov</a>	<ul style="list-style-type: none"> <li>Southern California Association of Governments</li> </ul>
<b>DISTRICT 8</b> 464 W. 4 <sup>th</sup> Street Mail Station 722 San Bernardino, CA 92401	Ricky Rivers (909) 806-3298 Email: <a href="mailto:ricky.rivers@dot.ca.gov">ricky.rivers@dot.ca.gov</a>  Stephanie Gallegos (909) 383-4057 Email: <a href="mailto:stephanie.gallegos@dot.ca.gov">stephanie.gallegos@dot.ca.gov</a>	<ul style="list-style-type: none"> <li>Southern California Association of Governments</li> </ul>
<b>DISTRICT 9</b> 500 S. Main Street Bishop, CA 93514	Mark Heckman (760) 874-8325 Email: <a href="mailto:mark.heckman@dot.ca.gov">mark.heckman@dot.ca.gov</a>	<ul style="list-style-type: none"> <li>Inyo LTC</li> <li>Mono LTC</li> <li>Eastern Kern (COG)</li> </ul>
<b>DISTRICT 10</b> 1976 E. Dr. Martin Luther King Boulevard P.O. Box 2048 Stockton, CA 95201	<b>Mountain Counties</b> Gregoria Ponce (209) 483-7234 Email: <a href="mailto:gregoria.ponce@dot.ca.gov">gregoria.ponce@dot.ca.gov</a>  <b>Merced, San Joaquin, Stanislaus Counties</b> Tom Dumas (209) 941-1921 Email: <a href="mailto:tom.dumas@dot.ca.gov">tom.dumas@dot.ca.gov</a>	<ul style="list-style-type: none"> <li>Alpine County LTC</li> <li>Amador CTC</li> <li>Calaveras COG</li> <li>Mariposa LTC</li> <li>Merced CAG</li> <li>Tuolumne CTC</li> <li>San Joaquin COG</li> <li>Stanislaus COG</li> </ul>
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<b>DISTRICT 12</b> 1750 E. 4 <sup>th</sup> Street Santa Ana, CA 92705	Irene Hou (424) 413-1165 Email: <a href="mailto:irene.hou@dot.ca.gov">irene.hou@dot.ca.gov</a>  Alyssa Murakami (657) 328-6314 Email: <a href="mailto:alyssa.murakami@dot.ca.gov">alyssa.murakami@dot.ca.gov</a>	<ul style="list-style-type: none"> <li>Southern California Association of Governments</li> </ul>








# 74A1356 Contract Package - Signed

Final Audit Report

2022-11-14

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