

CALTRANS SUSTAINABLE TRANSPORTATION PLANNING GRANT PROGRAM



FY 2017-18 Grant Application Guide

Additional Sustainable Communities Grants from
Senate Bill 1–The Road Repair and
Accountability Act of 2017



Application Deadline

October 20, 2017 at 5:00 PM

California Department of Transportation
Division of Transportation Planning

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Sustainable Transportation Planning Grant Program

The Sustainable Transportation Planning Grant Program was created to support the California Department of Transportation's (Caltrans) Mission: *Provide a safe, sustainable, integrated and efficient transportation system to enhance California's economy and livability.*

The California Legislature recently passed, and Governor Edmond G. Brown Jr. signed into law, Senate Bill (SB) 1 - 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. As a result of this new transportation funding, approximately \$25 million in additional Sustainable Communities Grants is available for the Fiscal Year (FY) 2017-2018 grant cycle. The additional 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. Sustainable Communities Grants will also improve public health, social equity, environmental justice, and provide other important community benefits.

Sustainable Communities - Competitive Grants

Approximately \$12.38 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). Funding distribution for the competitive program will depend on the quality and number of applications.

Sustainable Communities - Formula Grants

\$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

Sustainable Transportation Planning Grant Summary Chart

GRANT	FUND SOURCE	PURPOSE	WHO MAY APPLY	LOCAL MATCH
Sustainable Communities Competitive	<p style="text-align: center;">Budget Road Maintenance and Rehabilitation Account (RMRA)</p> <p style="text-align: center;">State funds Approx. \$12.38 million</p> <p style="text-align: center;">Grant Min. \$50,000 for Disadvantaged Communities; \$100,000 for All Others</p> <p style="text-align: center;">Grant Max. \$1,000,000</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 also assist in achieving the Caltrans Mission and Grant Program Overarching Objectives (See Page 3).</p>	<p>The following are eligible to apply as a primary applicant:</p> <ul style="list-style-type: none"> • MPOs with sub-applicants • RTPAs • Transit Agencies; • Cities and Counties; • Native American Tribal Governments <p>The following are eligible to apply as a sub-applicant:</p> <ul style="list-style-type: none"> • MPOs/RTPAs • Transit Agencies • Universities and Community Colleges • Native American Tribal Governments • Cities and Counties • Community-Based Organizations • Non-Profit Organizations (501.C.3) • Other Public Entities** 	<p style="text-align: center;">11.47 percent minimum (in cash or an in-kind* contribution). The entire minimum 11.47 percent local match may be in the form of an eligible in-kind contribution. Staff time from the primary applicant counts as cash match.</p>
Sustainable Communities Formula	<p style="text-align: center;">Budget Road Maintenance and Rehabilitation Account (RMRA)</p> <p style="text-align: center;">State funds \$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 also assist in achieving the Caltrans Mission and Grant Program Overarching Objectives (See Page 3).</p>	<p>The following are eligible to apply as a primary applicant:</p> <ul style="list-style-type: none"> • MPOs 	<p style="text-align: center;">11.47 percent minimum (in cash or an in-kind* contribution). The entire minimum 11.47 percent local match may be in the form of an eligible in-kind contribution. Staff time from the primary applicant counts as cash match.</p>

* For in-kind contribution requirements, refer to Page 20 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).

Integrating Objectives and Considerations

Successful grant applications address and articulate how the project relates to the Caltrans Mission, Grant Program Overarching Objectives, Grant Program Considerations, and the region's RTP SCS (where applicable). The Grant Specific Objectives on Page 11 indicate the specific purpose of the Sustainable Communities Grants, and must also be considered when preparing an application.

Grant Program Overarching Objectives

The following Grant Program Overarching Objectives are provided to guide grant application development, including:

Sustainability – 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.

Preservation – 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.

Mobility – Increase the accessibility of the system and mobility of people and freight.

Safety – Increase the safety and/or security of the transportation system for motorized and active transportation users.

Innovation – Promote the use of technology and innovative designs to improve the performance and social equity of our transportation system and provide sustainable transportation options.

Economy – 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 Enterprises (DBEs), etc.).

Health – Decrease exposure to local pollution sources, reduce serious injuries and fatalities on the transportation system, and promote physical activity especially through transportation means.

Social Equity – All of these overarching objectives should promote transportation solutions that focus on and prioritize the needs of communities most affected by poverty, air pollution and climate change, and promote solutions that integrate community values with transportation safety and performance while encouraging greater than average public involvement in the transportation decision making process.

Grant Program Considerations

The Grant Program also supports related State sustainability initiatives, explained further in the following pages and should be considered in grant application development, including:

- California Transportation Plan (CTP) 2040
- 2017 RTP Guidelines and Promoting Sustainable Communities in California
- Addressing Environmental Justice and Disadvantaged Communities
- Proposed 2017 Climate Change Scoping Plan Update, Appendix C
- Complete Streets and Smart Mobility Framework
- Climate Ready Transportation
- Planning for Housing

California Transportation Plan 2040

The *California Transportation Plan (CTP) 2040* vision is focused on sustainability: California's transportation system is safe, sustainable, universally accessible, and globally competitive. It provides reliable and efficient mobility and accessibility for people, goods, and services while meeting the State's GHG emission reduction goals and preserving the unique character of California's communities. This integrated, connected, and resilient multimodal system supports a thriving economy, human and environmental health, and social equity. *CTP 2040* is the umbrella plan that pulls together the State's long-range modal plans 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

Competitive Sustainable Communities grant applications will integrate the appropriate *CTP 2040 Transportation Greenhouse Gas Reduction Strategies* (CTP 2040, Table 13 and Appendix 7 Technical Analysis). There are four categories of transportation GHG reduction strategies – demand management, mode shift, travel cost, and operational efficiency – that were developed based on input from the CTP 2040 advisory committees, and with input gathered from all of the State's 18 MPOs and 26 RTPAs.

CTP 2040 (CTP 2040 Table 13, Page 75; Appendix 7, Page 40):

<http://www.dot.ca.gov/hq/tp/californiatransportationplan2040/2040.html>

The CTP 2040 also aims to achieve the strategic goal to triple cycling and double walking and transit use statewide by 2020. Competitive grant applications will discuss how proposed projects will assist in reaching this goal established in the *Caltrans Strategic Management Plan*.

Caltrans Strategic Management Plan:

http://www.dot.ca.gov/perf/library/pdf/Caltrans_Strategic_Mgmt_Plan_033015.pdf

2017 RTP Guidelines and Promoting Sustainable Communities in California

The California Transportation Commission recently adopted the *2017 RTP Guidelines for RTPAs and 2017 RTP Guidelines for MPOs* which now 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. 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):

<http://www.dot.ca.gov/hq/tp/offices/orip/rtp/index.html>

Caltrans supports SB 375 (Steinberg, Statutes of 2008) 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. Information on SB 375-related planning efforts can be found at: <http://www.arb.ca.gov/cc/sb375/sb375.htm>.

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.

Addressing Environmental Justice and Disadvantaged Communities^{1,2}

Caltrans integrates environmental justice in all of its 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.

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, also including Native American Tribal Governments and rural communities. Grant applicants are required to provide justification in their grant application for how the project area meets their definition of a disadvantaged community. The optional tools below, related to environmental justice and health, are intended to help applicants define a very context-dependent definition of a disadvantaged community. Regionally and/or locally defined disadvantaged communities are acceptable. Applicants may also include other population characteristics, such as income or level of education. Information about environmental justice and disadvantaged communities can be found at:

Desk Guide – Environmental Justice in Transportation Planning Investments:

http://www.dot.ca.gov/hq/tpp/offices/ocp/documents/ej_titlevi_files/EnvironmentalJusticeDeskGuideJan2003.pdf

Community Primer on Environmental Justice and Transportation Planning:

http://www.dot.ca.gov/hq/tpp/offices/ocp/documents/ej_titlevi_files/EJ_Primer_4_10_WEB.pdf

SB 535 (De Leon, Statutes of 2012):

https://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201120120SB535

Senate Bill 535 tasked the California Environmental Protection Agency with defining disadvantaged communities in order to meet the statutory requirements to invest a quarter of Greenhouse Gas Reduction Fund (GGRF) to projects benefiting disadvantaged communities and ten percent to projects located within a disadvantaged communities. SB 535 may assist applicants with defining disadvantaged communities and the many factors to consider.

Assembly Bill (AB) 1550 (Gomez, Statutes of 2016):

https://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201520160AB1550

AB 1550 further enhanced the GGRF 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 also be considered in application development.

¹ Source: Desk Guide – Environmental Justice in Transportation Planning Investments (2003)

² Source: Community Primer on Environmental Justice and Transportation Planning (2008)

SB 1000 (Leyva, Statutes of 2016):

https://leginfo.ca.gov/faces/billNavClient.xhtml?bill_id=201520160SB1000

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.

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.

CalEnviroScreen Version 3.0:

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

CalEnviroScreen is a screening methodology that can be used to help identify California communities that are disproportionately burdened by multiple sources of pollution.

The tools below provide additional criteria and indicators for climate vulnerability and community health disadvantage that CalEnviroScreen does not. The tools can help reduce health inequities. The tools include:

California Health Disadvantage Index (HDI): <http://phasocal.org/ca-hdi/>

The California Health Disadvantage Index (HDI) 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. HDI provides comparison rankings of Census tracts statewide and an accompanying policy action guide. Therefore, the HDI can be a useful tool in prioritizing areas with high levels of social and economic disadvantage for funding, policy, and planning interventions. HDI was developed by the Public Health Alliance of Southern California in collaboration with health departments and data experts across the state. Because the HDI 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. The tool will soon be updated with a new map and additional indicators, and will be renamed the California Healthy Places Index (HPI).

Understanding the HDI Score

The HDI includes a composite score for each Census tract in the State. The higher the score, the greater the disadvantages to health. Each Census tract's score is converted to a percentile, which allows it to be compared to other California Census tracts. For example, an HDI percentile of 79 indicates that a Census tract would face more cumulative social challenges to health than 79 percent of the Census tracts in California. HDI percentile rankings are further broken into quartiles, with percentiles above 75 typically used to indicate disadvantaged communities. Thus, higher 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](#).

HDI Examples:

Indicator	HDI Percentile	How will project improve this health challenge?
<i>Domain (Composite) Scores</i>		
Complete Communities Score	Percentile ranking of all complete communities-related indicators	Demonstrate how this plan will address health and transportation challenges related to complete communities indicators (park access, supermarket access, retail density and tree canopy)
Economic Resources Score	Percentile ranking of all economic-related indicators	Demonstrate how this plan will address health and transportation challenges related to economic indicators such as households without auto access, median income, high housing costs and unemployment rate
<i>Individual Indicators</i>		
No Auto Access	XX percent	Describe how plan will increase and improve transportation access to vital destinations, goods and services for those without auto access.
Traffic density	XX percent	Describe how the plan will improve traffic safety, including for people walking and bicycling in the project area.
No Park Access	XX percent	Demonstrate how project will improve transportation access to parks/ open space.

For more information on the HDI, including how to calculate a score for your project area and suggested project types for improving public health, visit <http://phasocal.org/ca-HDI/>.

CDPH Climate Change and Health Profile Reports (CHPRs):

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

The 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.

Proposed 2017 Climate Change Scoping Plan Update, Appendix C

The California Air Resources Board (ARB) proposed *2017 Climate Change Scoping Plan Update* 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 proposed 2017 Climate Change Scoping Plan Update, 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 potential 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.

Proposed 2017 Climate Change Scoping Plan Update, Appendix C:

https://www.arb.ca.gov/cc/scopingplan/app_c_vibrant_comm_vmt_measures.pdf

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: http://www.dot.ca.gov/hq/tpp/offices/ocp/complete_streets.html

SMF: <http://www.dot.ca.gov/hq/tpp/offices/ocp/smf.html>

Climate-Ready Transportation

California's six key climate change strategy pillars provide a framework for reducing California's GHG emissions and increasing resiliency to the anticipated effects of global warming:

(1) reducing today's petroleum use in cars and trucks by up to 50 percent; (2) increasing to 50 percent our electricity derived from renewable sources; (3) doubling the efficiency savings achieved at existing buildings and making heating fuels cleaner; (4) reducing the release of short-lived climate pollutants; (5) managing farm and rangelands, forests and wetlands so they can store carbon; and, (6) updating the Safeguarding California Plan - California's climate adaptation strategy. Climate change poses many threats to our communities' health, well-being, environment, and property. Extreme weather, rising sea levels, shifting snowpack, among other impacts will touch every part of peoples' lives in the next century. Planning key actions now will help lessen impacts and cope with changes. Government, at every level, must work together to safeguard our State by taking steps to reduce our own impacts and increase our resilience in the future.

Executive Order B-30-15 specifically addresses the need for all of the State's planning and investments to consider the exposures and risks from a changing climate, anticipating current and future impacts and disruptions that are likely to occur. The order establishes a California GHG emissions reduction target of 40 percent below 1990 levels by 2030, directs state government to take climate change into account in all planning and investment decisions, and employ full life-cycle cost accounting to evaluate and compare infrastructure investments and alternatives.

Executive Order B-30-15 describes four guiding principles when making planning and investment decisions:

- Priority should be given to actions that both build climate preparedness and reduce GHG emissions
- Where possible, flexible and adaptive approaches should be taken to prepare for uncertain climate impacts
- Actions should protect the state's most vulnerable populations
- Natural infrastructure solutions should be prioritized

The Governor's Office of Planning and Research led a Technical Advisory Group to develop guidance to help State agency personnel decide when to take climate change into account when planning infrastructure and investments, and how to do so while implementing the four above principles, including how to increase social equity and health for vulnerable communities in the course of planning and operations. The Guidance to implement Executive Order B-30-15 is available here: [\(to be provided at a later date when complete\)](#).

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.

Climate Action Plans: <http://www.ca-ilg.org/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.

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

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

California Climate Adaptation Planning Guide:

http://resources.ca.gov/climate/safeguarding/adaptation_policy_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.

Planning for Housing

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. Adding coordination with housing planning as part of the Sustainable Communities grants furthers the State's planning goals, including the goals of SB 375, which supports the State's climate action goals to reduce GHG emissions through coordinated transportation and land use planning with the goal of more sustainable communities. Competitive grant applications should demonstrate how their project furthers this coordinated and integrated approach to planning.

To support planning for housing California's growing population, the State's Department of Housing and Community Development (HCD) reviews local housing elements of general plans, which identifies capacity for projected housing needs and addresses governmental constraints on housing supply and cost. Local governments are further required to annually submit progress reports on the implementation the housing element and provide a detail of production toward their projected housing needs.

City and county grant applicants should have a housing element that has been adopted by the jurisdiction's governing body and subsequently determined to be in substantial compliance with State housing element law pursuant to Government Code Section 65585. The jurisdiction's adopted housing element will be deemed to have met this requirement if the adopted element is received by HCD by the grant application deadline; and, HCD subsequently determines the adopted housing element to be in substantial compliance pursuant to Government Code Section 65585 without further amendment by the date of the award recommendation. A jurisdiction's current housing element compliance status can be obtained at <http://www.hcd.ca.gov/community-development/housing-element/docs/status.pdf>.

In order to avoid a deduction in points during the grant evaluation process, the city or county grant applicant must submit to HCD the Annual Progress Report (APR) required by Government Code Section 65400 for calendar years 2013, 2014, 2015, and 2016. For the purposes of the Grant Program, required APRs must be submitted by the date of award recommendation. Please note that charter cities are not exempt from this specific program requirement and must submit an Annual Progress Report for the calendar years mentioned above. More detail on APRs is at

<http://www.hcd.ca.gov/community-development/housing-element/index.shtml> under Housing Elements - Annual Progress Reports.

In order for applicants that are not cities and counties (e.g. MPOs, RTPAs, transit agencies, or tribal governments) to avoid a deduction in points, the applicant 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.

In future grant cycles, Sustainable Communities grant applicants will be required to have a compliant housing element and submit APRs in order to be eligible for Sustainable Communities grant awards.

Sustainable Communities – Grant Specific Objectives

Competitive Grants

The grant specific objective of the Sustainable Communities Competitive Grants is to encourage local and regional multimodal transportation and land use planning that furthers the region's RTP SCS (where applicable), contributes 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, and also assist in achieving the Caltrans Mission and Grant Program Overarching Objectives (See Page 3).

Applicants should demonstrate how the proposed effort would:

- Integrate Grant Program Considerations (See Pages 3-10)
- 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
- 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

Formula Grants

The grant 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 Senate Bill 1–The Road Repair and Accountability Act of 2017. MPOs should meet the following minimum eligibility criteria to apply for Sustainable Communities Formula Grants:

- Consolidated Planning Grant Carryover is at, or below 100% 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.

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 Caltrans Office of Regional Planning (ORP). This step is to ensure it 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 ORP. MPOs should coordinate the submittal of this information with the Caltrans district and ORP to avoid delays for releasing the call-for-projects and grant awards.

MPOs are responsible for drafting a formal amendment to the current Overall Work Program (OWP), including a scope of work and timeline (using the templates provided), for adding Sustainable Communities Formula Grant funds that will serve as the grant application, due October 20, 2017. The draft OWP amendment process includes meaningful consultation with Caltrans district staff and Caltrans Office of Regional Planning. Once Caltrans concurs with the draft OWP amendment, the MPO may seek board approval of the amendment. Caltrans district staff will issue formal approval of the OWP amendment and Caltrans Office of Regional Planning will complete the programming process for these funds. For future years, Sustainable Communities Formula Grants will be a part of the annual draft OWP development and approval process.

The following funding table shows how formula funds will be distributed to each MPO:

MPO	Total 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	\$315,267
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
Total	\$12,500,000

Example Sustainable Communities Grant Project Types

These examples include projects that plan for reductions in GHG and VMT, and/or integrate Land Use and Transportation planning.

- 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
- Studies, plans or planning methods that assist transportation agencies in creating sustainable communities and transit oriented development
- SCS development
- Long range transportation plans for tribal governments
- Community to school studies or safe routes to school plans
- Studies, plans, or outreach for school public transit, school pool ridesharing
- Community mobility needs assessments

- Studies, plans or planning methods that advance a community's effort to address the impacts of climate change and sea level rise
- Studies that promote greater access between affordable housing and job centers
- Context-sensitive streetscapes or town center plans
- Complete street plans
- Active transportation plans, including bicycle, pedestrian and trail master plans
- Bike and pedestrian plans with a safety enhancement focus, including Vision Zero plans
- Plans for bike parking facilities
- Educational outreach for mode shifts to electric forms of transportation
- Traffic calming and safety enhancement plans
- Corridor enhancement studies
- Health and transportation studies, including health equity transportation studies and other plans that incorporate health into transportation planning
- Climate change adaptation plans for transportation facilities
- Identification of policies, strategies, and programs to preserve transit facilities and optimize transit infrastructure
- Studies that evaluate accessibility and connectivity of the multimodal transportation network
- Studies to improve access to social services and other community destinations for disadvantaged communities
- Transit planning studies related to accessible transit, paratransit, mobility management, etc.
- 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 and plans that can help to quantify and highlight the value and importance of the rural State transportation system with 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
- Studies, plans or planning methods that address environmental justice issues in a transportation related context
- Station area planning
- Community outreach plans for park-and-ride lots
- Student internships for rural agencies and/or disadvantaged communities
- First Mile/Last Mile project development planning
- Planning for zero or near zero emission vehicles
- Planning for autonomous vehicles
- Integration of transportation and environmental planning
- Shared mobility services planning studies
- Road or parking pricing studies
- Transportation Demand Management studies
- Congestion pricing studies including plans that enhance social equity and avoid inequitable cost burdens
- Commute trip reduction studies and plans
- 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
- Transportation modeling studies that address active transportation, emerging technology, public health, VMT and other impacts
- Data collection/data sharing initiatives

- Strategies to increase transit ridership
- Integration of transit, new emerging technologies, and shared mobility services
- Temporary built environment demonstration projects, e.g., tactical urbanism
- Studies or plans related to zero emissions vehicle goods movement

Land use planning activities ***in coordination with a transportation project***. Examples include:

- 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

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 consultants
- Conceptual drawings and design
- Community surveys, meetings, charrettes, focus groups
- Bilingual services for interpreting and/or translation services for meetings
- Community/stakeholder advisory groups
- Project administration (up to 5% of the grant is allowed, e.g., quarterly reports, invoicing, project management)

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
- 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
- Unreasonable incentives such as prizes for public participation. The use of incentives and support such as childcare services are subject to Caltrans approval.
- Charges passed on to sub-recipient for oversight of awarded grant funds
- Other items unrelated to the project

General Information and Requirements

This section provides a brief overview of the grant application review process, financial, contracting, subcontracting, and legal requirements pertaining to the competitive grant program. The content of this section 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.

Application Review Process and Evaluation Considerations

Review Process

All applications submitted to the Sustainable Transportation Planning Grant Program go through multiple levels of review including reviews by Caltrans district and HQ staff, and State interagency review committees. District staff reviews all applications for content, submission of proper documentation, and overall relationship to regional and local planning efforts. The district rates each application and provides comments to inform the State interagency review committee. The grant review committees evaluate applications for content, completeness, meeting technical requirements, overall relationship to statewide planning efforts, and compliance with state and federal planning requirements. Grant applications that address every aspect of the grant specific objective 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 project timeline, 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 Agency for approval.

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. Below are some best practices in community engagement that applicants are encouraged to implement, as applicable and appropriate, in their transportation planning projects:

- 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 out 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 vulnerable community members.
- Collaborate with vulnerable communities to design and implement programs, plans and policies. Robust engagement of 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 (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).

- Utilize the International Association for Public Participation (IAP2) tool, a [Spectrum of Public Participation](#) that can help agencies define how much power they are offering communities over decisions.
- 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.

Performance Considerations

Previous grantee performance will be considered during the evaluation process. Applicants with a history of inadequate performance such as poor grant project management, failure to achieve grant project milestones, untimely invoice submittals, or an overall poor quality of the final grant product may be at a competitive disadvantage in the application review process. Grant funds may not be awarded to prior grant recipients with unresolved past grant performance issues. Additionally, applicants that have an excessive balance of or consistently relinquish any transportation funds administered by Caltrans Planning and/or have unresolved audit issues or findings will also be at a competitive disadvantage in the application review process. Applicants that have also failed to satisfy the required state and federal planning requirements, including submittal and administration of the Overall Work Program, RTPs, and Transportation Improvement Program, may not be awarded grants.

Award Terms

Caltrans is committed to being 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, Project Timeline, 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.

Contracting with Caltrans and Project Timelines

Project Start Dates

All awarded grant funds must be programmed during the State FY 2017-2018. The project start date depends on the method of contracting with Caltrans. For MPOs and RTPAs with a current Master Fund Transfer Agreement (MFTA), work may begin as early as January 2018. For awarded grantees that do not have a current MFTA with the Caltrans Office of Regional Planning (i.e. cities, counties, transit agencies, Tribal Governments), Caltrans will contract directly with the primary grant recipients through the Restricted Grant Agreement (RGA) process. For grant recipients that undergo the RGA contracting process, work may begin as early as April 2018, assuming the grantee has received a fully executed contract and has been notified by Caltrans district staff to begin work. It is important for applicants to reflect the estimated project start date in the Scope of Work and Project Timeline. Project Timeline constraints for both methods of contracting with Caltrans are provided below. Awardees are required to submit all supporting materials and a signed agreement or risk forfeiting the grant award.

Restricted Grant Agreement (RGA) Project Timeline

Consider these dates when developing the Scope of Work and Project Timeline:

April 2018

- Anticipated start date

February 28, 2020

- Contract expires (**no time extensions will be granted**)
- Reimbursable work must be completed

April 28, 2020

- All final invoices must be submitted to Caltrans for approval and reimbursement. This allows Caltrans sufficient time to comply with the State Controller's Office payment requirements.

Master Fund Transfer Agreement Project Timeline (MPOs/RTPAs Only)

Consider these dates when developing the Scope of Work and Project Timeline:

January 2018

- Anticipated start date

February 28, 2020

- Project end date (**no time extensions will be granted**)
- Reimbursable work must be completed

April 28, 2020

- A Final Request for Reimbursement must be submitted to Caltrans for approval and reimbursement. This allows Caltrans sufficient time to comply with the State Controller's Office payment requirements.

Contract Options for 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 the tribes to provide a limited waiver of sovereign immunity. However, 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. Please view [this document](#) for more information.*

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 FHWA or 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.

Grant Project Administration Requirements

Overall Work Program (for MPOs/RTPAs Only)

All MPOs and RTPAs must have the entire grant award and local match programmed in the FY 2017-2018 OWP no later than May 1, 2018. Approved grant projects must be identified as **individual** Work Elements in the current OWP and in future OWPs until the project is completed.

Quarterly Reporting

For MPOs and RTPAs, the progress 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.

Final Product

All final reports funded through the Sustainable Transportation Planning Grant Program shall credit the Caltrans' financial participation on the cover or title page. An electronic copy of all final reports shall be forwarded to the Caltrans district office responsible for the administration and oversight of the grant.

Ownership

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.

Third Party Contracts

The agreements between a grantee and a sub-recipient, consultant, or sub-consultant are often referred to as "third party contracts." An eligible sub-applicant will be identified by an eligible applicant on the onset of the application. 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 Local Assistance Procedures Manual, Chapter 10. In addition, work can only be contracted if it has been stated in the applicant's Scope of Work and Project Timeline. 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 Local Assistance Procedures Manual, Chapter 10. 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 following link:

Local Assistance Procedures Manual: <http://www.dot.ca.gov/hq/LocalPrograms/lam/lapm.htm>

Non-Discrimination Requirements

Title VI Non-Discrimination Requirement

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. Specifically Title VI 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.

The FHWA and the Federal Transit Administration 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.

Disadvantaged Business Enterprises

The Road Repair and Accountability Act of 2017 requires Caltrans to develop a plan to increase, up to 100 percent, the dollar value of contracts/procurements awarded to Small Businesses, DBEs, and Disabled Veteran Business Enterprises (DVBES). Caltrans is required to have this plan by January 1, 2020. Until then, successful grant applicants are expected to market contracting opportunities to all small businesses, including DBEs and DVBES.

For details about DBE requirements, visit the Office of Regional Planning DBE website at: <http://www.dot.ca.gov/hq/tpp/offices/orip/DBE/DBE.html>.

Invoicing and Financial Requirements

Requests for Reimbursements

Grant payments are made only as reimbursements. Invoices or Requests for Reimbursements (RFR) need to be submitted no more frequently than monthly or at a minimum quarterly. Grantees must pay sub-recipients and subcontractors prior to submitting a RFR to Caltrans. A one-time, **lump sum RFR for the entire grant is not allowed**. Local match (cash and third party in-kind contributions) must be expended on a proportional basis coinciding with each grant Work Element (MPOs/RTPAs only) and/or tasks in each RFR. The proportional expenditure of local match must

be clearly identified in the Project Timeline. The minimum required local match (i.e., 11.47 percent) must be rendered during the invoicing period to which the matching requirement applies. The minimum required local match must also be satisfied with each RFR.

Local Match Contribution

All grants require a local match. Revenue sources for a local match can include local sales tax, special bond measures, private donations, private foundations, etc. The Sustainable Communities grants require the applicant to provide a minimum 11.47 percent local match—any source of funds may be used if the proposed grant work is an eligible activity for the local match fund source. The minimum local match is a percentage of the total project cost (i.e., minimum local match amount plus the grant amount). The local match can be all cash, all third party in-kind contributions, or a combination of the two.

To better assist applicants, the Local Match Calculator can be found at:

http://www.dot.ca.gov/hq/tpp/offices/orip/Grants/2015/Match_Calculator.xlsx

Third Party In-Kind Contributions

Third party in-kind contributions are typically goods and services donated from outside the primary grantee's agency. Examples of third party in-kind contributions include donated printing, facilities, interpreters, equipment, advertising, time and effort, staff time, and other goods and services. The value of third party in-kind contributions must be directly benefiting and specifically identifiable to the project. Third party in-kind contribution information must be identified on the Grant Application Cover Sheet, the Project Timeline, 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 also be submitted to Caltrans for approval as a condition of grant acceptance. 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 rendered. The Third Party In-Kind Valuation Plan Checklist and Sample are provided on Pages 44-45.

Accounting Requirements

Grantees are required to maintain an accounting and record system that properly accumulates 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 Project Timeline. 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.

Indirect and Direct Costs

Indirect costs require an Indirect Cost Allocation Plan (ICAP). For example, reproduction costs, computer rental and office supplies are considered indirect costs. However, if these costs are tied to a specific task or activity, they are considered direct costs.

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

Proposal (ICRP) to Caltrans Audits and Investigations for review and approval prior to reimbursement. An ICAP or ICRP must be prepared and submitted in accordance with 2 CFR, Part 200. For more information visit the following website:

Indirect Cost Allocation Plan: http://www.dot.ca.gov/hq/audits/icap_icrp.html

Due to the competitive nature of the grant award process, applications must include any indirect costs in the Project Timeline. Indirect costs can only be reimbursed if they are identified in the Project Timeline submitted with the initial application.

Travel Expenses

Grantees may be eligible to claim travel expenses if they have been approved in the Scope of Work and Project Timeline. 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 following website:

Caltrans Travel Guide: <http://www.dot.ca.gov/hq/asc/travel/>

Pre-Award Audit

The Sustainable Communities grants are available in amounts up to \$1 million. 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 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.

Application Preparation

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.

Early Coordination with 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.

Technical Assistance

Caltrans district staff (See Pages 49-50) is 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 the Caltrans Office of Regional Planning:

Erin Thompson Email: Erin.Thompson@dot.ca.gov Phone: (916) 654-2596	Priscilla Martinez-Velez Email: Priscilla.Martinez-Velez@dot.ca.gov Phone: (916) 651-8196
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For questions about “Planning for Housing” (See Pages 9-10) please contact the Department of Housing and Community Development:

Paul McDougall Email: Paul.McDougall@hcd.ca.gov Phone: (916) 263-7420
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Required Documents

Use the samples and checklists provided for the following required documents:

- Application
- Scope of Work
- Project Timeline
- Third Party In-Kind Valuation Plan, if applicable

A **map of the project area** is also required to clearly identify the boundaries of the project area and to context for the project.

Additional Documents

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**
 - 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.
- **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.

Tips and Scoring Criteria for a Successful Grant Application

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 Project Timeline.
Include Caltrans as an active partner in the study.
Provide letters of support and project area photographs to enhance the application.
Best Practices and Overarching Objectives
Identify and concisely describe the best practices cited in the 2017 RTP Guidelines, Appendices K and K, that would be employed in the proposed planning project.
Identify and concisely describe how the proposed planning project addresses the Grant Program Overarching Objectives (Grant Application Guide, Page 3)
Project Summary
Concisely describe the project in less than 100 words. Explain <i>“What parties are involved, the proposed major milestones, the plan/study start/end dates, the general project area boundaries, and why the project is necessary.”</i>
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.
Successful Applications should include: Justification for how the project area meets their definition of a disadvantaged community. The optional tools in the grant guide, related to environmental justice and health, are intended to help applicants define a very context-dependent definition of a disadvantaged community. Regionally and/or locally defined disadvantaged communities are acceptable. Applicants may also include other population characteristics, such as income or level of education.
Grant Specific Objective
Demonstrate how the project fits every aspect of the Grant Specific Objective, <i>as appropriate for the applicant and project type. Some guidance is provided below; however it is not intended to be all inclusive.</i>
Planning for Housing and Housing Element Compliance
Scoring Criteria:
<i>Cities and Counties:</i> Reduction of 7 points for cities and counties that do not have a compliant housing element and annual progress reports.
<i>MPOs and RTPAs, Tribal Governments, and Transit Agencies:</i> Reduction of 7 points for applicants that do not demonstrate housing and transportation integration and/or do not commit to coordinate housing and transportation in future policies and programs.
Successful Applications should include:
<i>Cities and Counties:</i> Housing Element must be adopted by grant application deadline (October 20 th) and HCD must find it in compliance by date of award recommendation (~December). 2013-2016 APRs must be submitted by date of award recommendation. If applicant has not submitted APRs by grant application deadline, they must commit to submitting them by date of award recommendation to receive full points.
<i>MPOs and RTPAs, Tribal Governments, and Transit Agencies:</i> Should demonstrate how they integrate housing planning into their policies, programs and project or commit to coordinate housing and transportation in future policies and programs.

Examples: Metropolitan Transportation Commission/Association of Bay Area Governments' **One Bay Area Grant Program** ties transit funding for jurisdictions to housing planning.

TransNet Smart Growth and TransNet Active Transportation Grant Programs require that jurisdictions receiving program funds have compliant Housing Elements and complete Annual Progress Reports to report on housing production.

Community Engagement

Successful Applications should include:

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).

Note: The applicant should increase efforts beyond basic public noticing and public hearings.

Options for demonstrating additional public outreach could include, but are not limited to:

- Conducting targeted outreach to community groups representing special needs populations, disadvantaged communities and a variety of socio-economic groups through various methods.
- Using 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, providing onsite childcare services, etc.).

Transportation, Land use, and Housing Integrated Planning

Successful Applications should include:

Narrative and any relevant supporting or illustrative data describing 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. See list of examples of projects that coordinate land use and transportation on Grant Application Guide, Pages 12-14.

Letters of support from relevant local agencies that not only provide support for the project, but also confirm that the proposed project involves a coordinated approach to integrating land use and transportation in all phases of project planning and implementation.

State Priorities and/or RTP SCS promotion and alignment

Successful Applications should include:

Letters of support from local agencies that not only provide support for the project, but also confirm that the proposed project helps to implement the RTP SCS and/or State priorities.

Project Management

Scope of Work: Identify the project area demographics, public participation, and project implementation.

Project Timeline: Identify the current indirect cost rate *if* indirect costs will be sought for reimbursement. If FY 2017-2018 indirect cost rates are not available, the rate will be an estimate based on the currently approved rate.

Keep administrative project tasks below 5 percent of the grant amount requested.

Ensure the correct minimum local match amount, calculated as a percentage of the total project cost (grant plus local match), is provided.

Application Submittal Instructions

All grant application packages are required to be submitted **via e-mail**. **An agency may only submit one application package per e-mail**. The Caltrans district contact must be copied (refer to the **District Contact List** on Pages 49-50) 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 on Page 27 must be attached to the e-mail as separate documents.

Please submit your application package to: Regional.Planning.Grants@dot.ca.gov

**APPLICATIONS MUST BE SUBMITTED VIA E-MAIL NO LATER THAN
FRIDAY, OCTOBER 20, 2017
BY 5:00 PM**

**HARD COPIES WILL NOT BE ACCEPTED AND
LATE APPLICATIONS WILL NOT BE REVIEWED**

The Grant Application Guide, application form, and required templates are available at the following website: <http://www.dot.ca.gov/hq/tpp/grants.html>

Caltrans anticipated award list and
California Transportation Commission allocation: **December 2017**

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

Caltrans district staff is available during the application period to answer questions and help interested groups complete their applications. Refer to the District Contact List on Pages 49-50 for contact information.

Grant Application Checklist

The following documents are required and must be submitted via e-mail as separate attachments. Please do not combine documents into a single attachment. Please keep file names brief, as files become corrupted when the 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.

Required Application Documents (Required formats/templates are provided online at: <http://www.dot.ca.gov/hq/tpp/grants.html>)

- Application (Complete and submit the PDF form in the exact format provided online at <http://www.dot.ca.gov/hq/tpp/grants.html> - **Scanned or hard copies of the application will not be accepted**)
- Application Signature Page (print, sign, and scan this page in PDF format)
- Scope of Work (Microsoft Word format) – see Pages 37-41
- Project Timeline (Microsoft Excel format) – see Pages 42-43
- Third Party In-Kind Valuation Plan (Microsoft Excel format), if applicable – see Pages 44-45
- Map of Project Area

Supplemental Information (See descriptions on Page 23):

- Graphics of Project Area (when applicable)
- Letter(s) of Support
- Data

Grant Application Preview

Pages 18 – 25 provide a preview of the Sustainable Communities Grant Application form for FY 2017-18. Applicants can access the grant application form at:
<http://www.dot.ca.gov/hq/tpp/grants.html>.

APPLICATION PREVIEW

FY 2017-18

CALTRANS SUSTAINABLE TRANSPORTATION PLANNING SUSTAINABLE COMMUNITIES GRANT APPLICATION

PROJECT TITLE	
PROJECT LOCATION (city and county)	

	APPLICANT	SUB-APPLICANT	SUB-APPLICANT
Organization			
Mailing Address			
City			
Zip Code			
Executive Director/designee and title	Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> Mrs. <input type="checkbox"/>	Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> Mrs. <input type="checkbox"/>	Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> Mrs. <input type="checkbox"/>
E-mail Address			
Contact Person and title	Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> Mrs. <input type="checkbox"/>	Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> Mrs. <input type="checkbox"/>	Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> Mrs. <input type="checkbox"/>
Contact E-mail Address			
Phone Number			

FUNDING INFORMATION

Use the Match Calculator to complete this section.

[Match Calculator](#)

Grant Funds Requested	Local Match - Cash	Local Match - In-Kind	Total Project Cost
\$	\$	\$	\$

Specific Source of Local Cash Match

(i.e., local transportation funds, local sales tax, special bond measures, etc.)

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APPLICATION PREVIEW
 FY 2017-18
CALTRANS SUSTAINABLE TRANSPORTATION PLANNING
SUSTAINABLE COMMUNITIES GRANT APPLICATION

LEGISLATIVE INFORMATION*			
Information in this section must directly be tied to the applicant's address.			
All legislative members in the project area do not need to be listed.			
State Senator(s)		Assembly Member(s)	
Name(s)	District	Name(s)	District

*Use the following link to determine the legislators.
<http://findyourrep.legislature.ca.gov/> (search by address)

Please identify the best practices cited in the 2017 Regional Transportation Plan (RTP) Guidelines, Appendices K and L, that would be employed in the proposed transportation planning grant project. Select only those that apply and provide an explanation. For future grant cycles, this section may be considered for points and/or threshold requirements. For now, these items are for tracking and reporting purposes only and are not associated with points, and may not result in a higher score.

Coordination with Other Planning Processes

Please explain how: _____

Regional Travel Demand Modeling and Analysis

Please explain how: _____

RTP Consultation and Coordination

Please explain how: _____

Integrating Ecological Considerations into Transportation Planning

Please explain how: _____

RTP Financial Overview

Please explain how: _____

RTP Modal Discussion

Please explain how: _____

APPLICATION PREVIEW
FY 2017-18
CALTRANS SUSTAINABLE TRANSPORTATION PLANNING
SUSTAINABLE COMMUNITIES GRANT APPLICATION

Transportation System Management and Operations

Please explain how: _____

Future of Transportation and New Technology

Please explain how: _____

Sustainable Communities Strategy (SCS) Contents and Development

Please explain how: _____

Land Use and Transportation Strategies to Address Regional GHG Emissions

Please explain how: _____

Adaptation of the Regional Transportation System to Climate Change

Please explain how: _____

Performance Measures

Please explain how: _____

Policies and Programs that Promote Health and Health Equity

Please explain how: _____

Please identify the Grant Program Overarching Objectives (Grant Application Guide, Page 3) that the proposed transportation planning grant project will address. Select all that apply and provide an explanation.

Sustainability – 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.

Please explain how: _____

Preservation – 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.

Please explain how: _____

APPLICATION PREVIEW
FY 2017-18
CALTRANS SUSTAINABLE TRANSPORTATION PLANNING
SUSTAINABLE COMMUNITIES GRANT APPLICATION

- Mobility – Increase the accessibility of the system and mobility of people and freight.

Please explain how: _____

- Safety – Increase the safety and/or security of the transportation system for motorized and active transportation users.

Please explain how: _____

- Innovation – Promote the use of technology and innovative designs to improve the performance and social equity of our transportation system and provide sustainable transportation options.

Please explain how: _____

- Economy – 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 Enterprises, etc.).

Please explain how: _____

- Health – Decrease exposure to local pollution sources, reduce serious injuries and fatalities on the transportation system, and promote physical activity especially through transportation means.

Please explain how: _____

- Social Equity – All of these overarching objectives should promote transportation solutions that focus on and prioritize the needs of communities most affected by poverty, air pollution and climate change, and promote solutions that integrate community values with transportation safety and performance while encouraging greater than average public involvement in the transportation decision making process.

Please explain how: _____

APPLICATION PREVIEW
FY 2017-18
**CALTRANS SUSTAINABLE TRANSPORTATION PLANNING
SUSTAINABLE COMMUNITIES GRANT APPLICATION**

1. Project Description (100 words maximum) (15 points): Briefly summarize project.

A good project description is one that can summarize the project in a clear and concise manner, including major deliverables and any connections to state or regional planning efforts.

APPLICATION PREVIEW
FY 2017-18
CALTRANS SUSTAINABLE TRANSPORTATION PLANNING
SUSTAINABLE COMMUNITIES GRANT APPLICATION

2. Project Justification (Do not exceed the space provided.) (25 points): Describe the problems or deficiencies the project is attempting to address, as well as how the project will address the identified problems or deficiencies. Additionally, list the ramifications of not funding this project.

This section needs to 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.). Competitive applications support the need for the project with empirical data, describe how this project addresses issues raised, and describe the impact of not funding the project. Also include a justification for how the project area is defined as a disadvantaged community. The optional tools in the Grant Application Guide (Pages 5-7) related to environmental justice and health, are intended to help applicants define a very context-dependent definition of a disadvantaged community. Regionally and/or locally defined disadvantaged communities are acceptable. Applicants may also include other population characteristics, such as income or level of education.

APPLICATION PREVIEW
FY 2017-18
CALTRANS SUSTAINABLE TRANSPORTATION PLANNING
SUSTAINABLE COMMUNITIES GRANT APPLICATION

3. Grant Specific Objective (Do not exceed the space provided.) (30 points): Explain how the proposed project addresses the grant specific objective of the Sustainable Communities grant program: to encourage local and regional multimodal transportation and land use planning that furthers the region's RTP SCS (where applicable), contributes 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, and also assist in achieving the Caltrans Mission and Grant Program Overarching Objectives (Grant Application Guide, Page 3).

Applicants should demonstrate how the proposed effort would:

- Integrate Grant Program Considerations (Grant Application Guide, Pages 3-10) –
 - California Transportation Plan (CTP) 2040
 - 2017 RTP Guidelines and Promoting Sustainable Communities in California
 - Addressing Environmental Justice and Disadvantaged Communities
 - Proposed 2017 Climate Change Scoping Plan Update, Appendix C
 - Complete Streets and Smart Mobility Framework
 - Climate Ready Transportation
 - Planning for Housing
- 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 mobility deficiencies in the multimodal transportation system including the mobility needs of environmental justice and disadvantaged communities, including Native American Tribal Governments and rural communities
- Encourage stakeholder collaboration
- Involve active community engagement
- 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. Examples of transportation components include, but are not limited to, planning for:
 - New or expanded transit service
 - New or expanded bike or pedestrian infrastructure
 - Complete Streets
 - Removing or reducing barriers created by transportation infrastructure such as highways, overpasses and underpasses, that create disconnected communities

Examples of land use components include but are not limited to:

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

APPLICATION PREVIEW
FY 2017-18
CALTRANS SUSTAINABLE TRANSPORTATION PLANNING
SUSTAINABLE COMMUNITIES GRANT APPLICATION

4. Project Management (30 points)

- A. Scope of Work in required Microsoft Word format (15 points)
- B. Project Timeline in required Microsoft Excel format (15 points)

See Scope of Work and Project Timeline samples and checklists for requirements (Grant Application Guide, Pages 36-42), also online at: <http://www.dot.ca.gov/hq/tpp/grants.html>.

APPLICATION PREVIEW
FY 2017-18
CALTRANS SUSTAINABLE TRANSPORTATION PLANNING
SUSTAINABLE COMMUNITIES GRANT APPLICATION

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.

Signature of Authorized Official (Applicant)

Print Name

Title

Date

Signature of Authorized Official (Sub-Applciant)

Print Name

Title

Date

Scope of Work Checklist

The Scope of Work is the official description of the work that is to be completed during the contract. **The Scope of Work must be consistent with the Project Timeline. Applications with missing components will be at a competitive disadvantage.** Please use this checklist to make sure your Scope of Work is complete.

The Scope of Work must:

- Use the Fiscal Year 2017-18 template provided and in Microsoft Word format
- List all tasks and sub-tasks using the same title as stated in the project timeline
- Include task and sub-task numbers in accurate and proper sequencing; consistent with the project timeline
- List the responsible party for each task and subtask and ensure that it is consistent with the project timeline (i.e. applicant, sub-applicant, or consultant)
- Include a thorough Introduction to describe 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 and sub-task
- Include a task for a kick-off meeting with Caltrans at the start of the grant
- Include a task for procurement of consultants, if consultants are needed
- Include a task for invoicing
- Include a task for quarterly reporting to Caltrans
- Include detailed public participation and services to diverse communities
- Include project implementation/next steps
- List the project deliverable for each task in a table following each task and ensure that it is consistent with the project timeline
- EXCLUDE environmental, complex design, engineering work, and other ineligible activities

Sample Scope of Work

City of Can Do Complete Street Plan

The City of Can Do Complete Street Plan will provide a conceptual multi-modal planning foundation for the City's downtown main street corridor. The Plan will be used to evaluate how different complete street features enhance or detract from the vision of the community. The city intends to gather public input through interactive community workshops which will be the driving factor of the planning process. The City of Can Do Complete Street Plan will contain conceptual design only. It is the City of Can Do's intent that once this plan is complete, it will lead to implementation and development.

The scope of work shown below reflects the anticipated process and deliverables for the City of Can Do Complete Street Plan.

RESPONSIBLE PARTIES

The City of Can Do with the assistance of a consulting firm will perform this work. The City has not yet selected a consulting firm and the proper procurement procedures will be used through a competitive RFP process. City staff anticipates these figures will not differ substantially and will not exceed the grant request amount.

OVERALL PROJECT OBJECTIVES

- Reduce street crown and replace surface with enhanced and/or porous street pavers.
- Widen sidewalk and include fully accessible ramp improvements at intersections.
- Add and improve bicycle lanes.
- Improve bike and pedestrian connectivity for residents of nearby apartments and homes.
- Install street trees with grates and tree grates for existing trees that can be preserved.
- Install pedestrian-scale street lighting at intersections.
- Install street furniture and other design features.
- Apply "green street" concepts, such as storm water planter boxes and porous pavement where possible.
- Include conceptual designs for underground utilities.
- Include conceptual designs to improve drainage conveyance.

1. Project Initiation

Task 1.1: Project Kick-off Meeting

- The City will hold a kick-off meeting with Caltrans staff to discuss grant procedures and project expectations including invoicing, quarterly reporting, and all other relevant project information. Meeting summary will be documented.
- Responsible Party: The City

Task 1.2: Staff Coordination

- Monthly face-to-face project team meetings with consultants to ensure good communication on upcoming tasks and to make sure the project remains on time and within budget. Caltrans staff will be invited to the project team meetings.
- Responsible Party: The City

Task 1.3: RFP for Consultant Services

- Complete an RFP process for selection of a consultant using the proper procurement procedures.
- Responsible Party: The City

Task 1.4: Identify Existing Conditions

- Gather existing conditions and background data by identifying opportunities and constraints as well as standards that should be used to guide preparation of the plan such as existing and planned land uses, population characteristics, and travel projections within the City.
- Inventory and evaluate existing bicycle and pedestrian facilities and nearby apartments and homes.
- Responsible Party: Consultant

Task	Deliverable
1.1	<i>Meeting Notes</i>
1.2	<i>Monthly Meetings Notes</i>
1.3	<i>Copy of Procurement Procedures and Executed Consultant Contract</i>
1.4	<i>Existing Conditions Report</i>

2. Public Outreach

Note: All meetings will be publically noticed to ensure maximum attendance. All public notices will be in English and Spanish. Spanish translators and sign language interpreters will be present at all workshops.

Task 2.1: Community Workshop #1

- Walking tour and workshop. This workshop will introduce the project to the public, define project parameters, inform the community of project opportunities and constraints, and solicit opinions from the community to shape Task 3.1, Develop Streetscape Concept.
- Responsible Party: Consultant

Task 2.2: Community Workshop #2

- An interactive workshop that will use clicker technology, modeling tools, and maps to present the streetscape design concept alternatives. Community will decide on preferred alternatives. Continue to solicit feedback from the community to shape Task 3.3, Draft Complete Street Plan.
- Responsible Party: Consultant

Task 2.3: Community Workshop #3

- Present Draft Design Concept and Report and continue to solicit feedback for public comments to shape Task 3.3, Draft Complete Street Plan and Task 3.6, Final Complete Street Plan.
- Responsible Party: Consultant

Task	Deliverable
2.1	<i>PowerPoint Presentation, Workshop Summary, Photos</i>
2.2	<i>PowerPoint Presentation, Workshop Summary, Photos</i>
2.3	<i>PowerPoint Presentation, Workshop Summary, Photos</i>

3. Streetscape Plan

Task 3.1: Develop Streetscape Concept

- Based on the existing conditions report and the community input from Workshop #1, a streetscape concept will be developed. Streetscape conceptual design will incorporate complete streets concepts and will include plans, sketches, and photos.
- Responsible Party: Consultant

Task 3.2: Develop Conceptual Design Concept Alternatives

- Up to three complete street conceptual design alternatives will be developed. Illustrations will be made in plan-view, as street cross sections, and as sketches. A model simulation will be developed for each alternative. The alternatives will be prepared and presented at Community Workshop #2.
- Responsible Party: Consultant

Task 3.3: Draft Complete Street Plan

- Based on the preferred design alternative chosen in Workshop #2, a draft report will be prepared. The draft report will be presented at Workshop #3 for public comment.
- Responsible Party: Consultant

Task 3.4: Identify Potential Funding Sources

- Review and identify potential funding sources for future implementation of the preferred alternative.
- Responsible Party: Consultant

Task 3.5: Joint Planning/Parking and Safety/Bicycle/Housing Advisory Commission Meeting

- Coordinate a joint session among the four commissions to review the draft report and conceptual design alternative. Solicit feedback, respond to any questions, and resolve any critical issues.
- Responsible Party: The City/Consultant

Task 3.6: Final Complete Street Plan

- Complete the final report that addresses the comments given from Workshop #3 and the Joint Commission Meeting. Four hard-copies and four electronic copies of the final report will be submitted to Caltrans. Credit of the financial contribution of the grant program will be credited on the cover of the report.
- Responsible Party: Consultant

Task 3.7: City Council Adoption

- Present the final Complete Street Plan at the City Council meeting. Resolve any critical issues. Adopt final City of Can Do Complete Street Plan.
- Responsible Party: The City/Consultant

Task	Deliverable
3.1	<i>Sketches, illustrations</i>
3.2	<i>Sketches, illustrations</i>
3.3	<i>Draft Report</i>
3.4	<i>Funding Source Report</i>
3.5	<i>PowerPoint Presentation, Workshop Summary, Photos</i>
3.6	<i>Final Report</i>
3.7	<i>Meeting Notes</i>

4. Fiscal Management

Task 4.1: Invoicing

- Submit complete invoice packages to Caltrans district staff based on milestone completion—at least quarterly, but no more frequently than monthly.
- Responsible Party: The City

Task 4.2: Quarterly Reports

- Submit quarterly reports to Caltrans district staff providing a summary of project progress and grant/local match expenditures.
- Responsible Party: The City

Task	Deliverable
4.1	<i>Invoice Packages</i>
4.2	<i>Quarterly Reports</i>

Project Timeline Checklist

The Project Timeline is the official documentation of the budget and time frame of the project. **The Project Timeline must be consistent with the Scope of Work and the Grant Application Cover Sheet. Applications with missing components will be at a competitive disadvantage.**

The Project Timeline must:

- Use the Fiscal Year 2017-18 template provided (do not alter the template) and submitted in Microsoft Excel format
- List all tasks and sub-tasks with the same title as stated in the scope of work
- Include task and sub-task numbers in proper sequencing, consistent with the scope of work
- Include a task for a kick-off meeting with Caltrans at the start of the grant
- Include a task for procurement of consultants, if consultants are needed
- Include a task for quarterly reporting to Caltrans
- Include a task for invoicing
- List the responsible party for each task and sub-task, and ensure that it is consistent with the scope of work (i.e. applicant, sub-applicant, or consultant)
- Complete all budget columns as appropriate: Total Cost, Grant Amount, Local Cash Match, and if applicable, Local In-Kind Match
- State a realistic total cost for each task based on the work that will be completed. Project management/administration costs should not exceed 5% of the grant amount requested
- Include a proportional spread of local match amongst each task. The match amount must be at least the minimum amount required by the grant program
- Identify the indirect cost rate if indirect costs will be reimbursed
- Include a best estimate of the amount of time needed to complete each task
- Start the timeframe at the beginning of the grant period (January 2018 for MPO/RTPAs; April 2018 for non-MPO/RTPAs)
- Extend the timeframe all the way to the end of the grant period (February 2020 for all grantees)
- List the deliverable for each task as stated in the scope of work

Sample Project Timeline

California Department of Transportation
Sustainable Transportation Planning Grants
Fiscal Year 2017-18

SAMPLE PROJECT TIMELINE

Task Number	Project Title	City of Can Do Complete Street Plan				The RTPA of Can Do																			
		Responsible Party	Total Cost	Grant Amount	Budget	FY 2017/18			FY 2018/19			FY 2019/20													
	Task Title				Local Cash Match	Local In-Kind Match		J	A	S	O	N	D	J	F	M	A	M	J	J	F	M	A	M	J
1.0	Project Initiation																								
1.1	Project Kick-off Meeting	The City	\$970	\$776	\$194	\$0																			
1.2	Staff Coordination	The City	\$3,000	\$2,400	\$600	\$0																			
1.3	RFP for Consultant Services	The City	\$1,500	\$1,200	\$300	\$0																			
1.4	Identify Existing Conditions	Consultant	\$2,400	\$1,920	\$480	\$0																			
2.0	Public Outreach																								
2.1	Community Workshop #1	Consultant	\$17,743	\$13,949	\$3,200	\$249																			
2.2	Community Workshop #2	Consultant	\$17,744	\$13,995	\$3,199	\$350																			
2.3	Community Workshop #3	Consultant	\$17,743	\$14,194	\$3,530	\$18																			
3.0	Streetscape Plan																								
3.1	Develop Streetscape Concept	Consultant	\$25,000	\$20,000	\$5,000	\$0																			
3.2	Develop Conceptual Design Concept Alternatives	Consultant	\$12,000	\$9,600	\$2,400	\$0																			
3.3	Draft Complete Street Plan	Consultant	\$18,000	\$14,400	\$3,600	\$0																			
3.4	Identify Potential Funding Sources	Consultant	\$1,500	\$1,200	\$300	\$0																			
3.5	Joint Planning/Parking and Safety/Bicycle Advisory Commission Meeting	The City/ Consultant	\$2,200	\$1,760	\$440	\$0																			
3.6	Final Complete Street Plan	Consultant	\$7,000	\$5,600	\$1,400	\$0																			
3.7	City Council Adoption	The City/ Consultant	\$500	\$400	\$100	\$0																			
4.0	Fiscal Management																								
4.1	Invoicing	The City	\$1,000	\$800	\$200	\$0																			
4.2	Quarterly Reports	The City	\$1,200	\$960	\$240	\$0																			
TOTALS			\$129,054	\$103,154	\$25,183	\$717																			

Reimbursement of indirect costs is allowable upon approval of an Indirect Cost Allocation Plan for each year of project activities. Provide rate if indirect costs are included in the project budget. Approved Indirect Cost Rate: _____ %

This sample timeline is for illustrative purposes only. Your scope of work and timeline will include different tasks, funding amounts, deliverables, etc. The project timeline must be consistent with the scope of work. **Note:** Each task must contain a grant amount and a local cash match amount. Local cash match must be proportionally distributed by the at least the minimum required match percentage throughout each task. Local in-kind match needs to be indicated where in-kind services will be used. Please review the grant program section that you are applying to for details on local match requirements.

Third Party In-Kind Valuation Plan Checklist

The Third Party In-Kind Valuation Plan is an itemized breakdown by task and sub-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 Project Timeline and Grant Application Cover Sheet.**

This document is required upon grant award as a condition of grant acceptance.

The third party in-kind valuation plan must:

- Use the FY 2017-18 template provided (do not alter the format).
- Name the third party in-kind local match provider
- 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 and sub-task consistent with the project timeline
- Identify consistent in-kind local match amount also reflected on the grant application cover sheet

Sample Third Party In-Kind Valuation Plan

Sample Third Party In-Kind Valuation Plan

Task	Activity	Title	Name of In-Kind Match Provider	Fair Market Value Determination	Fair Market Value or Hourly Rate	Number or Hours	Estimated Cost
2.1	Community Workshop #1	Donated Workshop Conference Room	CBO	The rental rate is established by CBO.	\$50	4	\$200
		Workshop Volunteer	Joe Smith, CBO	City of Can Do researched the cost for workshop facilitators and determined the average rate.	\$43	4	\$170
2.2	Community Workshop #2	Use of Projector and Laptop	CBO	The rental rate is established by CBO.	\$50	4	\$200
		Workshop Volunteer	Joe Smith, CBO	City of Can Do researched the cost for workshop facilitators and determined the average rate.	\$43	4	\$170
2.3	Community Workshop #3	Copies and Flyers	CBO	Average Copy Costs	\$0.35	570	\$200
		Workshop Volunteer	Joe Smith, CBO	City of Can Do researched the cost for workshop facilitators and determined the average rate.	\$43	4	\$170
Total In-kind Match :							\$1,111

How the third party in-kind match will be documented for accounting purposes:	The third party in-kind provider will submit a statement for donated services rendered to the City of Can Do with the value of the estimated cost for each task noted.
--	--

Local Resolution Checklist (Not Applicable to MPO/RTPAs)

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

The Local Resolution must:

- 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 will not be accepted **3**
- Be signed by the governing board of the grant applicant **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 CALIFORNIA DEPARTMENT OF TRANSPORTATION FOR THE CITY OF CAN DO COMPLETE STREET PLAN

1

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 claimed through the Transportation Planning Grant Programs;

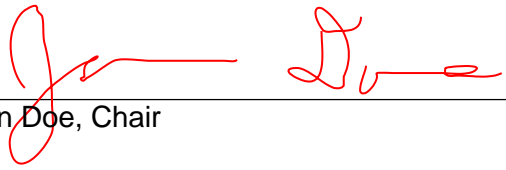
WHEREAS, the City of Can Do wishes to delegate authorization to execute these agreements and any amendments thereto;

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 August, 2015.


3

4



John Doe, Chair

ATTEST:



Eileen Wright, Executive Director

Caltrans District and Regional Agency Boundaries Map



Caltrans Sustainable Transportation Planning Grants District Contact List

DISTRICT	CONTACT	MPO/RTPA
DISTRICT 1 1656 Union Street P.O. Box 3700 Eureka, CA 95502	Mendocino and Lake Counties Rex Jackman (707) 445-6412 Email: rex.jackman@dot.ca.gov Del Norte and Humboldt Counties Kevin Tucker (707) 441-5770 Email: kevin.tucker@dot.ca.gov	<ul style="list-style-type: none"> • Del Norte LTC • Humboldt CAOG • Lake CCAPC • Mendocino COG
DISTRICT 2 1657 Riverside Drive Redding, CA 96001	Kathy Grah (530) 229-0517 Email: kathy.grah@dot.ca.gov	<ul style="list-style-type: none"> • Lassen CTC • Tehama CTC • Modoc LTC • Trinity CTC • Plumas CTC • Siskiyou CLTC • Shasta RTA
DISTRICT 3 703 B Street Marysville, CA 95901	Kevin Yount (530) 741-4286 Email: kevin.yount@dot.ca.gov	<ul style="list-style-type: none"> • Butte CAG • Sierra LTC • Colusa CTC • Glenn CTC • El Dorado CTC • Nevada CTC • Placer CTPA • Sacramento Area COG • Tahoe MPO
DISTRICT 4 111 Grand Avenue P.O. Box 23660 Oakland, CA 94623-0660	Becky Frank (510) 286-5536 Email: becky.frank@dot.ca.gov Blesilda Gebreyesus (510) 286-5575 Email: blesilda.gebreyesus@dot.ca.gov	<ul style="list-style-type: none"> • Metropolitan Transportation Commission
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