

Grant Agreement

Solano Sustainable Transportation Equity Project Solano Transportation Authority

Mobile Source Control Division
California Air Resources Board
May 2021

Grant Number: STEP-PG-08



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EXHIBIT A
Grant agreement: STEP-PG-08

GRANT PROVISIONS

A. AGREEMENT

This Grant is from the California Air Resources Board (hereinafter referred to as CARB or the Board) to Solano Transportation Authority (STA) (hereinafter referred to as the Grantee).

The parties agree to comply with the requirements and conditions herein as well as all commitments identified in the Work Statement (Exhibit B), Grantee Proposal Package (Exhibit C) and the Fiscal Year (FY) 2019-20 Grant Solicitation for the Sustainable Transportation Equity Project (STEP) (Exhibit D).

B. GRANT ACKNOWLEDGEMENT

Where applicable, the Grantee agrees to acknowledge the California Climate Investments program and CARB as a funding source for STEP, as outlined in the California Climate Investments Messaging and Communications Guide.¹ Below are specific requirements for acknowledgement.

The Grantee agrees to acknowledge the California Climate Investments program from CARB's Low Carbon Transportation program whenever projects funded, in whole or in part by this Agreement, are publicized in any news media, websites, brochures, publications, audiovisuals, or other types of promotional material. The acknowledgement must read as follows: 'This publication (or project) was supported by the "California Climate Investments" program.' Guidelines for the usage of the California Climate Investments logo can be found at <http://www.caclimateinvestments.ca.gov/logo-graphics-request>.

The California Climate Investments logo and name serves to bring under a single brand the many investments whose funding comes from the Greenhouse Gas Reduction Fund (GGRF). The logo represents a consolidated and coordinated initiative by the State to address climate change by reducing greenhouse gases, while also investing in disadvantaged communities and achieving many other co-benefits.

¹ California Climate Investments Communications Guide <http://www.caclimateinvestments.ca.gov/logo-graphics-request>



The Grantee agrees to acknowledge CARB as a funding source for STEP when publicized in any news media, websites, applications, brochures, publications, audiovisuals, or other types of promotional material. The Grantee agrees to adhere to the Board’s logo usage requirements in a manner directed by CARB. CARB logos shall be provided to the Grantee by CARB Project Liaison.



The CARB logo is a visual representation of our air environment. The arcs represent: the different elements that make up the air we breathe, the protection of our atmosphere and the efforts we take to protect the health of Californians, the collaboration of multiple stakeholders all moving in the same direction together, and innovation with the arcs all growing and changing.



Finally, when preparing flyers, brochures, or other handout material that will be used to promote STEP as one of CARB’s Low Carbon Transportation Investment projects, the Grantee will incorporate Moving California typeset and branding, as appropriate. Moving California is the branding of CARB’s suite of Low Carbon Transportation Investment projects, including both light- and heavy-duty projects. The Moving California typeset is displayed above and branding materials will be provided by the CARB Project Liaison.

C. GRANT SUMMARY AND AMENDMENTS

Project Title: Solano Sustainable Transportation Equity Project (SolSTEP)
Authorized Official: Daryl Halls
Title: Executive Director
Total Grant Amount: \$299,997.59
Total Resource Contribution: \$68,962.00

D. GRANT PARTIES AND CONTACT INFORMATION

1. The CARB Project Liaison is Ambreen Afshan. Correspondence regarding this

project shall be directed to:

Ambreen Afshan
Mobile Source Control Division
California Air Resources Board
1001 I street
Sacramento, California 95814
Phone: (916) 322-8522
Email: ambreen.afshan@arb.ca.gov

2. The Grantee Liaison is Lloyd Nadal. Correspondence regarding this project shall be directed to:

Lloyd Nadal
Program Services Division Manager
Solano Transportation Authority
One Harbor center, Suite 130, Suisun City, CA 94585
Phone: Main Line: (707) 399-3219
Email: lnadal@sta.ca.gov

3. If the CARB Project Liaison identified above changes, CARB will notify the Grantee Liaison of said change and provide the new contact information. If the Grantee Liaison identified above changes, the Grantee will notify the CARB Project Liaison of said change and provide the new contact information.

E. TIME PERIOD

1. Performance of work or other expenses billable to CARB under this Grant may commence after full execution of this Grant by parties provided all required proofs of insurance has been provided for each applicable task before it is performed. Performance on this Grant ends once the Grantee has submitted and CARB approves the final report or if this Grant is terminated, whichever is earlier.
2. Upon completion of the project, the Grantee shall submit a draft final report to the CARB Project Liaison no later than **November 17, 2023**.
3. Final request for payment and Final Report shall be received by CARB no later than **February 17, 2024**.
4. The CARB Executive Officer retains the authority to terminate, or reduce the grant amount of, this Grant Agreement for nonperformance. In the event of such termination or reduction of the grant amount, Section G.7, Termination and Suspension of Payments, of this Grant Agreement shall apply.

F. DUTIES AND REQUIREMENTS

This section defines the respective duties and requirements of CARB and the Grantee in implementing STEP.

1. CARB's Role

CARB is responsible for the following:

- a. Participating in regular meetings with the Grantee to discuss program refinements and guide program implementation
- b. Reviewing and approving all Grant Disbursement Request Forms (MSCD/ISB-90) and distributing grant funds to the Grantee
- c. Reviewing and approving community engagement, outreach, and education materials provided by the Grantee, such as outreach and education materials, webpages, initial participant surveys, quarterly reports, and the final report
- d. Reviewing and approving the data collection plan
- e. Providing program oversight and accountability (in conjunction with the Grantee)

2. The Grantee's Tasks

The Grantee's key project personnel will administer the various tasks of the project including participation in meetings with CARB staff; development and implementation of project plans; record-keeping procedures; reporting procedures; financial tracking and disbursements; and responding to CARB and public requests in a timely manner. The Grantee's responsibilities include all project development, press events, project administration, and project reporting. Exhibit B (Work Statement) contains the budget summary, task summary and detailed task list, task and disbursement schedule, and list of key project personnel.

G. FISCAL ADMINISTRATION

1. Budget

- a. The maximum amount of this Grant is **\$299,997.59**. Under no circumstance will CARB reimburse the Grantee for more than this amount. A formal Grant Agreement amendment is required whenever there is a change to the amount of this grant.
- b. The budget for this program is shown in Exhibit B, Attachment I. Grant

Disbursement Requests (Form MSCD/ISB-90) for funds shall not exceed the grant amount.

- c. No grant funds may be used to purchase equipment or computers that would be required to be returned to the State at the completion of STEP.
- d. Under no circumstance will CARB reimburse a Grantee for vehicles or equipment that exceeds the purchase price.
- e. Line item shifts are not anticipated under this program. However, shifts of up to 10 percent of the grant total may be made over the life of the grant, subject to prior written approval from CARB. Line item shifts greater than 10 percent require a formal amendment to the grant. Line item shifts may be proposed by either CARB or the Grantee and must not increase or decrease the total grant amount. All line item shifts must be approved in writing by CARB within 10 business days of approval for inclusion in the grant folder. If the grant is formally amended, all line item shifts must be included in the amendment.
- f. Funds not liquidated by **February 17, 2024** must be returned by **May 17, 2024**. Expenditure of funds granted may not be reduced due to any loss incurred in an insured bank or investment account.

2. Pilot Project Eligible Costs

Allowable expenditures for costs associated with the grant are defined in Appendix E of the Grant Solicitation.

3. Resource Contributions

Resource contributions from the Grantee can be used to increase the number of vehicles or equipment funded or to increase the effectiveness and timeliness of other project elements, as directed by CARB. Resource contributions must meet the criteria specified in Appendix G of the Grant Solicitation and the additional following criteria:

- a. Documentation of resource contributions must be retained for a minimum of three years after the grant term has ended.
- b. Funds expended on resource contributions must be documented in the STEP Final Report to CARB.

Resource contributions are further defined in Appendix G of the Grant Solicitation.

4. Advance Payment

Consistent with the Legislature's direction to expeditiously disburse grants, CARB in its sole discretion may provide advance payments of grant awards in a timely manner to support program initiation and implementation with a focus on mitigating the constraints of modest reserves and potential cash flow problems.

Grantee acknowledges that CARB has finalized Advance Payment regulations effective January 1, 2021. Grantee agrees that this Agreement and all advance payment requests will comply with these regulations, which can be found at: 17 California Code of Regulations (C.C.R.) Sections 91040-91044.

Recognizing that appropriate safeguards are needed to ensure grant monies are used responsibly, CARB has developed the grant conditions described below to establish control procedures for advance payments. CARB may provide advance payments to grantees of a grant program or project if CARB determines all of the following:

- a. The advance payments are necessary to meet the purposes of the grant project.
- b. The use of the advance funds is adequately regulated by grant or budgetary controls.
- c. The request for application or the request for proposals contains the terms and conditions under which an advance payment may be received consistent with this section.
- d. The Grantee is either a small air district or the Grantee meets all of the following criteria:
 - i. Has no outstanding financial audit findings related to any of the moneys eligible for advance payment and is in good standing with the Franchise Tax Board and Internal Revenue Service
 - ii. Agrees to revert all unused moneys to CARB if they are not liquidated within the timeline specified in the Grant Agreement
 - iii. Submits a spending plan to CARB for review prior to receiving the advance payment
 - iv. The spending plan shall include project schedules, timelines, milestones, and the Grantee's fund balance for all State grant programs
 - v. CARB shall consider the available fund balance when determining the amount of the advance payment
 - vi. Reports to CARB any material changes to the spending plan within 30

days

- vii. Agrees to not provide advance payment to any other entity
- e. In the event of the nonperformance of the Grantee, CARB shall require the full recovery of the unspent moneys. A Grantee shall provide a money transfer confirmation within 45 days upon the receipt of a notice from CARB.
- f. The Grantee must complete and submit to CARB for review and approval an Advance Payment Request Form, along with each grant disbursement that is requesting advance payment. The Advance Payment Request Form shall be provided by CARB to the Grantee after the grant execution.
- g. Grantee must also submit a certification to CARB pursuant to 17 C.C.R. Section 91043 for each advance payment request.
- h. CARB may provide an advance of the direct project costs of the grant, if the program has moderate reserves and potential cash flow issues. Advance payments will not exceed the Grantee's interim cash needs.
- i. The Grantee assumes legal and financial risk of the advance payment.
- j. The Grantee shall place funds advanced under this section in an interest-bearing account. The Grantee shall track interest accrued on the advance payment. Interest earned on the advance payment shall only be used for eligible grant-related expenses as outlined in the Grant Provisions, Exhibit A, or will be returned to CARB.
- k. Grantee shall report to CARB the value of any unused balance of the advance payment and interest earned and submit quarterly fiscal accounting reports consistent with Section I (Reporting and Documenting Expenditure of State Funds) of this Grant Agreement.
- l. The Grantee shall remit to CARB any unused portion of the advance payment and interest earned within 90 days following the end date of this Grant Agreement term on **February 17, 2024** or the reversion date of the appropriation, whichever comes first.

5. Grant Disbursements

With each disbursement request, the Grantee must provide documentation as required in this section:

- a. Requests for payment shall be made with the Grant Disbursement Request Form (MSCD/ISB-90) and conform to the instructions identified in Sections G

- and I of this Grant Agreement. Grant payments shall be made only for reasonable costs incurred by the Grantee and only when the Grantee has submitted a Grant Disbursement Request Form; has completed milestones stipulated in Exhibit B, Attachment II; the requirements specified herein, including Section F, Section G, Section H, and Section I of this Grant Agreement have been accomplished; documentation of accomplishment has been provided to CARB in the form of the Status Report; and any associated deliverables (if applicable) have been provided to CARB. CARB will have sole discretion to accelerate the timeline for allowable disbursements of funds identified in Exhibit B, Attachment II (with the exception of the final disbursement of funds), necessary to assure the goals of the program are met.
- b. Grant payments are subject to CARB's approval of Status Reports and any accompanying deliverables (see Sections F, G, H and I of this Grant Agreement). A payment will not be made if the CARB Project Liaison deems that a milestone has not been accomplished or documented; that a deliverable meeting specifications has not been provided; that claimed expenses are not documented, not valid per the budget, or not reasonable; or that the Grantee has not met other terms of the grant.
 - c. Requests for project funds in advance of performing the work or incurring the cost requires an Advance Payment Request Form (see Section G.4, Advance Payment) and a detailed list of the future work the Grantee intends to fund with the disbursement. The Grantee must demonstrate in a subsequent report that the advance has been expended appropriately by supplying documents required in Section G.5, Grant Disbursements. The recipient of a CARB advance payment cannot advance pay any other entity. No further advance shall be disbursed until the Grantee is fully compliant with all terms of the grant. Failure to comply shall require the Grantee to return all amounts of the inappropriate or unapproved expenditure to CARB within 45 calendar days of written notification.
 - d. The Chief of the Compliance Assistance and Outreach Branch in the Mobile Source Control Division or designee of CARB may review the CARB Project Liaison's approval or disapproval of a Grant Disbursement Request. No reimbursement will be made for expenses that, in the judgment of the Branch Chief of the Compliance Assistance and Outreach Branch, are not reasonable or do not comply with the Grant Agreement.
 - e. The Grantee shall submit the Grant Disbursement Requests to CARB **Accounting Section at: accountspayable@arb.ca.gov with a CC to the CARB project liaison.** The Grantee may submit this electronically, based on CARB's current electronic submission guidance at the time of request, or mail original copies with "wet" signatures in blue ink **to CARB Accounting**

Section, P.O. Box 1436, Sacramento, CA 95812. Requests for payment must be made with the Grant Disbursement Request Form and contain all documentation required with the form.

- f. CARB will withhold payment of up to 10 percent of the grant funds until completion of the Final Report, intellectual property has been relinquished to CARB in accordance with Sections I and L of these provisions, CARB has received and approved the Grantee's mechanism for receiving annual activity reports, and submission of the Final Report to CARB by the Grantee. It is the Grantee's responsibility to submit a Grant Disbursement Request for this final disbursement of funds.
 - g. CARB shall disburse funds in accordance with the California Prompt Payment Act, Government Code, Section 927, et seq.
 - h. The Grantee will pay out CARB funds to other sub-grantees or subcontractors on a reimbursement basis only.
6. Suspension of Payments and Grant Termination
- a. CARB reserves the right to issue a grant suspension order in the event that a dispute should arise. The grant suspension order will be in effect until the dispute has been resolved or the grant has been terminated. If the Grantee chooses to continue work on the project after receiving a grant suspension order, the Grantee will not be reimbursed for any expenditure incurred during the suspension in the event CARB terminates the grant. If CARB rescinds the suspension order and does not terminate the grant, CARB will reimburse the Grantee for any expenses incurred during the suspension that are reimbursable in accordance with the terms of the grant.
 - b. CARB reserves the right to terminate this grant upon 30 days' written notice to the Grantee. In case of early termination, the Grantee will submit a Grant Disbursement Request, a Status Report covering activities up to, and including, the termination date and following the requirements specified herein and in Section I of these provisions. Upon receipt of the Grant Disbursement Request Form and Status Report, and when all intellectual property has been relinquished to CARB, a final payment will be made to the Grantee. This payment shall be for all CARB-approved, actually incurred costs that in the opinion of CARB are justified. However, the total amount paid shall not exceed the total grant amount.
 - c. Upon termination, grant funds must be returned to CARB within 45 days. Funds, for the purpose of this section, includes unspent funds, funds for unapproved costs incurred, funds spent or incurred during a grant suspension order, or as outlined in other sections of this agreement.

7. Contingency Provision

In the event this grant is terminated for any reason, the CARB Executive Officer or designee reserves the right in his or her sole discretion to award a grant to the next highest scored Applicant and if an agreement cannot be reached, to the next Applicant(s) until an agreement is reached. If CARB is unable to award a grant under these circumstances, CARB may award a grant in a manner consistent with direction provided in the FY 2019-20 Funding Plan for STEP.²

8. Documentation of Administration Funds

- a. Personnel documentation must make use of timesheets or other labor tracking software. Duty statements or other documentation may also be used to verify the number of staff and actual hours or percent of time staff devoted to STEP implementation and outreach.
- b. Fees for external consultants must be documented with copies of the consultant contract and invoices. All external consultant fees must be pre-approved by CARB. Fees included in the budget as a part of the Grantee Proposal Package (Exhibit C) are considered pre-approved by CARB.
- c. Printing, mailing, records retention, and travel expenses must be documented with receipts or invoices.
- d. Any reimbursement for necessary supporting project costs need receipts or invoices.
- e. Any reimbursement for necessary travel and per diem shall be at rates not to exceed those amounts set by the California Department of Human Resources (CalHR). No travel outside the State of California shall be reimbursed unless prior written authorization is obtained from CARB. The CalHR travel and per diem reimbursement amounts may be found online at: <https://www.calhr.ca.gov/employees/pages/travel-reimbursements.aspx>. Reimbursement will be at the State travel and per diem amounts that are current as of the date costs are incurred by the Grantee.
- f. The above documentation, records, and referenced materials must be made available for review during monitoring visits and audits by CARB, or its designee. These records must be retained for a minimum of three years after submittal of the final STEP grant disbursement request to CARB.
- g. The above documentation must be provided to CARB in quarterly Status

² Funding Plan for Fiscal Year 2019-20 <https://ww2.arb.ca.gov/our-work/programs/low-carbon-transportation-investments-and-air-quality-improvement-program/low-1>

Reports and a Final Report.

9. Earned Interest

“Earned interest” means any interest generated from State funds provided to the Grantee and held in an interest-bearing account.

- a. Interest earned by the Grantee on STEP funds must be reported to CARB. All interest income on STEP funds must be expended on eligible program costs (see Section G of this Grant Agreement) or returned to CARB. The Grantee is responsible for reporting to CARB on all interest earned and reinvested into STEP or returned.
- b. All interest income on advance payment at CARB’s discretion must be reinvested into the program or returned to CARB. Interest earned that is reinvested in the program is not included as part of the Total Grant Amount from CARB. Grantee is responsible for reporting to CARB all project expenditures funded with interest earned on advanced funds or returned.
- c. The Grantee must maintain accounting records (e.g., general ledger) that track interest earned and expended on STEP funds, as follows:
 - i. The calculation of interest must be based on average daily balance or some other reasonable and demonstrable method of allocating the proceeds from the interest-generating account back into the program.
 - ii. The methodology for tracking earned interest must ensure that it is separately identifiable from interest earned on non-STEP funds.
 - iii. The methodology for calculating earned interest must be consistent with how it is calculated for the Grantee’s other fiscal programs.
 - iv. Earned interest must be fully expended by **February 17, 2024** or returned to CARB.
- d. Documentation of interest earned on STEP funds must be retained for a minimum of three years after it is generated. Documentation of interest expended on STEP must be retained for a minimum of three years after the funds have been reinvested into the project.
- e. The above documentation must be provided to CARB in Status Reports and a Final Report.

H. PROJECT MONITORING AND MEETINGS

1. Meetings

- a. Initial meeting: A meeting will be held between key program personnel and the CARB Project Liaison before work on the program begins. The purpose of the initial meeting is to discuss the overall approach, details of performing essential tasks, the program schedule and milestones, details of work group process, and any issues that may need to be resolved prior to beginning work. Topics may include process for program decision-making and frequency and process for ongoing project team coordination.
- b. Review meetings: After the initial meeting with CARB staff, monthly meetings will be required until the tasks related to project initiation (scope of work, task dates, etc.) are finalized. After the project is operational, CARB and the Grantee can hold less frequent meetings (quarterly, at minimum), if deemed appropriate. Additional meetings may be scheduled at the sole discretion of the CARB Project Liaison. Such meetings may be conducted by phone, if deemed appropriate by the CARB Project Liaison. The Grantee is responsible for developing the agenda in collaboration with the CARB Project Liaison, and for facilitating the meetings.
- c. Site visits: If applicable, site visits shall be established by CARB Project Liaison during the term of this grant.

2. Technical Monitoring

- a. Any changes in the scope or schedule for the program shall require the prior written approval of the CARB Project Liaison and may require a written Grant Agreement amendment.
- b. The Grantee shall notify the CARB Project Liaison in writing immediately if any circumstances arise (technical, economic, or otherwise), which might place completion of the project in jeopardy. The Grantee shall also make such notification if there is a change in key project personnel (see Exhibit B, Attachment IV).
- c. In addition to Status Reports (see Section I of this Grant Agreement), the Grantee shall provide information requested by the CARB Project Liaison that is needed to assess progress in completing tasks and meeting the objectives of the program.
- d. Any change in budget allocations, re-definition of deliverables, or extension of the program schedule must be requested in writing to the CARB Project Liaison and approved by CARB, in its sole discretion, and may require a Grant Agreement amendment.

I. REPORTING AND DOCUMENTING EXPENDITURE OF STATE FUNDS

The Grantee must provide CARB with documentation accounting for the proper expenditure of funds. The documentation must be provided in Status Reports submitted at a minimum every three months to CARB and a Final Report submitted prior to the Grantee receiving their last disbursement of project funds.

1. Status Reports

- a. The Grantee shall submit Status Reports at minimum at the end of every third month, starting with the first report submitted on **August 31, 2021**, but may be submitted more frequently if necessary to justify more frequent disbursements with prior approval from CARB. The Status Reports shall be provided in a format agreed upon between the CARB Project Liaison and the Grantee and meet the requirements specified herein. CARB may specify an electronic format for quarterly reporting.
- b. Status Reports provide a mechanism for the Grantee to justify a need for additional grant disbursements from CARB.
- c. Every Grant Disbursement Request Form (MSCD/ISB-90) shall be accompanied by a Status Report that documents the completion of a milestone specified in Exhibit B, Attachment II and III.
- d. CARB will provide the Grantee with a checklist or template for Americans with Disabilities Act (ADA)-compliant Status Reports. Each Status Report must include all applicable items from the checklist or template, which may include at minimum:
 - i. Project Status Report number, title of project, name of Grantee, date of submission, and project grant number
 - ii. Summary of work completed since the last progress report, noting progress toward completion of tasks and milestones identified in the work plan
 - iii. Statement of work expected to be completed by the next progress report
 - iv. Notification of problems encountered and an assessment of their effects on the project's outcomes
 - v. Data collected from participants since the last status report such as, but not limited to, the information outlined in Appendix H of this Grant Solicitation. Data should be separated by reporting period but should be collected and compiled in a way that facilitates reporting in the Final Report.

- vi. Schedule of community engagement, outreach, and education activities conducted, materials used, number of people contacted, and number of participants, where applicable
 - vii. An evaluation of any community engagement, outreach, and education strategies deployed
 - viii. Accounting records, including expenditure and income information and supporting documentation
 - ix. Itemized invoices (invoices must include enough details to ensure that only eligible costs are paid for) and any other appropriate documentation
 - x. Discussion of the project's adherence to the project timeline
 - xi. Other data and analysis as mutually agreed upon between the Grantee and CARB
- e. If the tasks outlined in this Grant Agreement are behind schedule, the Grantee must notify CARB immediately and explain how they will return to schedule.

2. Final Report

- a. When the project is complete, the Grantee shall submit a draft Final Report. The draft Final Report must be submitted to CARB in an appropriate format agreed upon between CARB Project Liaison and the Grantee. The Final Report must meet the requirements specified herein. Upon approval of the draft Final Report by CARB Project Liaison, the Grantee shall provide a written copy of the final version, plus an electronic file.
- b. The Final Report must be submitted within 90 days of CARB receiving the draft Final Report or by **February 17, 2024**, whichever comes first. A draft Final Report is due to CARB within 30 days of project completion or by **November 17, 2023**, whichever comes first.
- c. CARB will provide the Grantee with a checklist or template for an ADA-compliant Final Report. The Final Report must include all applicable items from the checklist or template, at a minimum:
 - i. Total expenditures in detail to date and for the period between the last quarterly report and the Final Report
 - ii. Excel spreadsheet of the funded project and project milestones

- iii. Summary report of the projects for the period covered by the Grant Agreement (may be provided as summaries or previously submitted Status Reports – see Status Report)
- iv. Overview of the project as whole from beginning through the end of the grant term, including project and community background, partnerships, and funding sources
- v. Data collected from participants, compiled from all status reports
- vi. Analysis of participant evaluations, such as results of any pre- and post-surveys conducted
- vii. Changes in participant knowledge of and acceptance of clean transportation options
- viii. Description of community engagement, outreach, and education efforts, including materials used, schedule of events conducted, and an assessment of effectiveness of the efforts
- ix. Co-benefits provided by the project as mutually agreed upon between the Grantee and CARB
- x. Accounting records, including expenditure and income information and supporting documentation. Includes earned interest, if any, and how it was expended or returned to CARB.
- xi. Best practices and lessons learned, including suggestions for future project considerations for wider scale implementation in other communities
- xii. Implementation challenges and recommendations for potential program improvements
- xiii. Other data and analysis as mutually agreed upon between the Grantee and CARB

J. OVERSIGHT AND ACCOUNTABILITY

1. The Grantee shall comply with all oversight responsibilities.
2. CARB or its designee may recoup the grant funds which were received based upon misinformation or fraud, or for which a Grantee is in significant or continual non-compliance with the terms of this Grant or State law. CARB also reserves the right to prohibit any entity from participating in STEP due to non-

compliance with program requirements or State law.

3. If the Grantee detects any actual or potentially fraudulent activity by anyone or entity associated with the project, it shall notify CARB as soon as possible and work with CARB to determine an appropriate course of action.

K. PROJECT RECORDS

As further described below, program records include but are not limited to the Grantee, financial, and participant records. All project records must be retained for a period of three (3) years after final payment under this grant. All project records are subject to audit pursuant to Section N (3) of this Grant Agreement. Upon completion of the third year of record retention, the Grantee shall submit all program records to CARB. Hardcopy or electronic records are suitable. Acceptable forms of electronic media include hard drives, CDs, and DVDs. Other forms of electronic media may be allowed based on prior written concurrence from CARB.

1. Grantee Records

The Grantee shall retain a STEP file containing:

- a. Original executed copy of the STEP Grant Agreement and Grant Agreement Amendments (if applicable)
- b. Policies and Procedures Manual
- c. Copies of Grant Disbursement Request Forms and attachments
- d. Copies of Status Reports
- e. Documentation of earned interest generation and expenditure (see Section G for more information)

2. Financial Records

Without limitation of the requirement to maintain program accounts in accordance with generally accepted accounting principles, the Grantee must:

- a. Establish an official file for the project, which shall adequately document all significant actions relative to the program
- b. Establish separate accounts which will adequately and accurately depict all amounts received and expended on the project
- c. Establish separate accounts which will adequately and accurately depict all income received which is attributable to the project including cash and in-

kind donations, if any

- d. Establish an accounting system which will adequately depict final total costs of the project, including grant implementation costs

3. Project Participant Records

The Grantee is required to establish and maintain participant records, which must include, at minimum:

- a. Project participant proposals (denied, approved, and removed)
- b. Initial participant surveys and survey updates
- c. Documentation of any deviations from the normal processing of projects (examples include enforcement action, CARB case-by-case approvals)

L. INTELLECTUAL PROPERTY

Any webpage(s), software, databases, program data, or other intellectual property developed or purchased by the Grantee for the purposes of administering or implementing STEP are the property of CARB.

M. CONFIDENTIALITY AND DATA SECURITY

It is expressly understood and agreed that information the Grantee collects on behalf of the State or from a third party in performing its obligations under this Grant Agreement may be deemed confidential by the State. Therefore:

1. All information or data gathered pursuant to this grant shall be held confidential and released only to CARB or other entities as CARB may specify in writing.
2. The Grantee certifies that it has appropriate systems and controls in place to ensure that State funds will not be used in the performance of this Grant Agreement for the acquisition, operation, or maintenance of computer software in violation of copyright laws.
3. Information or data, including but not limited to all application records and supporting documentation that personally identifies or describes an individual or individuals is confidential in accordance with California Civil Code sections 1798, et seq. and other relevant State or Federal statutes and regulations. The Grantee shall safeguard all such information or data which comes into their possession under this agreement in perpetuity, and shall not release or publish any such information, data or application records.

4. The Grantee must observe complete confidentiality with respect to such information or data collected pursuant to this grant, including without limitation, agreeing not to disclose or otherwise permit access to such information by any person or entity in any manner whatsoever unless such disclosure is required by law or legal process.
5. The Grantee must acknowledge the confidential nature of such information and ensure by agreement or otherwise that they are prohibited from copying or revealing, for any purpose whatsoever, the contents of such information or any part thereof, or from taking any action otherwise prohibited under this section.
6. The Grantee must ensure that the Grantee's employees are informed of the confidential nature of such information and ensure by agreement or otherwise that they are prohibited from copying, revealing, or utilizing for any purpose in fulfillment of this grant, the contents of such information or any part thereof, or from taking any action otherwise prohibited under this section.
7. The Grantee shall limit access to information and data gathered pursuant to this grant only to necessary employees to perform their job duties.
8. The Grantee must not use such information or any part thereof in the performance of services to others or for the benefit of others in any form whatsoever whether gratuitously or for valuable consideration.
9. The Grantee must notify the State promptly and in writing of the circumstances surrounding any possession, use, or knowledge of such information or any part thereof, by any person other than those authorized by this document.
10. The Grantee must adhere to all CARB confidentiality, disclosure, and privacy policies.
11. The Grantee must treat all information, deliverables, and work products developed or collected pursuant to this grant as confidential. All information, deliverables, and work products cannot be disclosed in any form to any third party without CARB's written consent except when required by law or legal process.
12. The Grantee must not use, without CARB written approval, any CARB materials for any purpose other than performing the agreed upon services.
13. At the conclusion of the engagement or upon termination of this Grant Agreement, the Grantee shall surrender all information in any form developed or collected pursuant to this grant.
14. If the Grantee suspects loss or theft, the Grantee must report any lost or stolen

information, data, or equipment developed or collected pursuant to this grant to CARB immediately.

15. The Grantee must provide CARB all pass phrases and passwords for private keys to encrypt data used, produced, or acquired in the course of performing duties under this Grant Agreement.
16. The Grantee must sign non-disclosure and confidentiality agreements as provided by CARB.
17. The Grantee agrees to notify CARB immediately of any security incident involving the information system, servers, data, or any other information developed or collected pursuant to this grant. The Grantee agrees that CARB has the right to participate in the investigation of a security incident involving its data or conduct its own independent investigation, and that the Grantee shall cooperate fully in such investigations.
18. The Grantee agrees that it shall be responsible for all costs incurred by CARB due to security incident resulting from the Grantee's failure to perform or negligent acts of its personnel, and resulting in an unauthorized disclosure, release, access, review, or destruction; or loss, theft, or misuse of information or data developed or gathered pursuant to this grant. If the Grantee experiences a loss or breach of data, the Grantee shall immediately report the loss or breach to CARB. If CARB determines that notice to the individuals whose data has been lost or breached is appropriate, the Grantee will bear any and all costs associated with the notice or any mitigation selected by CARB. These costs include, but are not limited to, staff time, material costs, postage, media announcements, credit monitoring for impacted individuals, and other identifiable costs associated with the breach or loss of data.
19. The Grantee agrees that it shall immediately notify and work cooperatively with CARB to respond timely and correctly to California Public Records Act (California Government Code Section 6250 et seq.) requests.

N. GENERAL PROVISIONS

1. **Amendment:** No amendment or variation of the terms of this Grant Agreement shall be valid unless made in writing, signed by the parties and approved as required. No oral understanding or agreement not incorporated in the Grant Agreement is binding on any of the parties.
2. **Americans with Disabilities Act:** The Grantee must ensure that all products and services submitted, uploaded, or otherwise provided by the Grantee and/or its subcontractors under this Grant, including but not limited to data, software, plans, drawings, specifications, reports, operating manuals, notes, and other

written or graphic work prepared in the course of performance of this Grant (collectively, the "Work"), comply with Web Content Accessibility Guidelines 2.0, levels A and AA, and otherwise meet the accessibility requirements set forth in California Government Code Sections 7405 and 11135, Section 202 of the federal Americans with Disabilities Act (42 U.S.C. § 12132), and Section 508 of the federal Rehabilitation Act (29 U.S.C. § 794d) and the regulations promulgated thereunder (36 C.F.R. Parts 1193 and 1194) (collectively, the "Accessibility Requirements"). For any Work provided in PDF format, Grantee shall also provide an electronic version in the original electronic format (for example, Microsoft Word or Adobe InDesign).

CARB may request documentation from the Grantee of compliance with the Accessibility Requirements and may perform testing to verify compliance. The Grantee must bring into compliance, at no cost to CARB, any Work by the Grantee or its subcontractors not meeting the Accessibility Requirements. If the Grantee fails to bring its or its subcontractors' Work into compliance with the Accessibility Requirements within five (5) business days of written notice from CARB, or within the time frame specified by CARB in its notice, the Grantee will be responsible for all costs incurred by CARB in bringing the Grantee's or its subcontractors' Work into compliance with the Accessibility Requirements. The Grantee agrees to respond to and resolve any complaint brought to its attention regarding accessibility of deliverables provided under this Grant for a period of one year following delivery of the final deliverable under this Grant.

Deviations from the Accessibility Requirements are permitted only by written consent by CARB.

3. **Assignment:** This grant is not assignable by the Grantee, either in whole or in part, without the consent of CARB in the form of a formal written amendment.
4. **Audit:** Grantee agrees that CARB, the Department of General Services, Department of Finance, the Bureau of State Audits, or their designated representative shall have the right to review and to copy any records and supporting documentation pertaining to the performance of this Grant and all State funds received. Grantee agrees to maintain such records for possible audit for a minimum of three (3) years after the term of this Grant is completed, unless a longer period of records retention is stipulated. Grantee agrees to allow the auditor(s) access to such records during normal business hours and to allow interviews of any employees who might reasonably have information related to such records. Further, Grantee agrees to include similar right of the State to audit records and interview staff in any Grant or Contract related to performance of this Agreement.
5. **Availability of funds:** CARB's obligations under this Grant Agreement are contingent upon the availability of funds. In the event funds are not available,

the State shall have no liability to pay any funds whatsoever to the Grantee or to furnish any other considerations under this Grant Agreement.

- 6. Compliance with law, regulations, etc.:** The Grantee agrees that it will, at all times, comply with and require its contractors and subcontractors to comply with all applicable federal and State laws, rules, guidelines, regulations, and requirements.
- 7. Confidentiality:** Except as may be required by the California Public Records Act (California Government Code Section 6250 et seq.), no record which has been designated as confidential by CARB, shall be disclosed by the Grantee. If Grantee believes disclosure of a confidential record may be required under the California Public Records Act, Grantee shall first give CARB written notice of the intent to disclose plus twenty-one (21) days after receipt of the written notice to seek an order preventing disclosure from a court of competent jurisdiction.
- 8. Conflict of interest:** The Grantee certifies that it is in compliance with applicable State and/or federal conflict of interest laws.
- 9. Disputes:** The Grantee shall continue with the responsibilities under this Grant Agreement during any dispute. Grantee staff or management may work in good faith with CARB staff or management to resolve any disagreements or conflicts arising from implementation of this Grant Agreement. However, any disagreements that cannot be resolved at the management level within 30 days of when the issue is first raised with CARB staff shall be subject to resolution by the CARB Executive Officer, or his designated representative. Nothing contained in this paragraph is intended to limit any of the rights or remedies that the parties may have under law.
- 10. Environmental justice:** In the performance of this Grant Agreement, the Grantee shall conduct its programs, policies, and activities that substantially affect human health or the environment in a manner that ensures the fair treatment of people of all races, cultures, and income levels, including minority populations and low-income populations of the State.
- 11. Fiscal management systems and accounting standards:** The Grantee agrees that, at a minimum, its fiscal control and accounting procedures will be sufficient to permit tracing of grant funds to a level of expenditure adequate to establish that such funds have not been used in violation of State law or this Grant Agreement. Unless otherwise prohibited by State or local law, the Grantee further agrees that it will maintain separate Project accounts in accordance with generally accepted accounting principles.
- 12. Force majeure:** Neither CARB nor the Grantee must be liable for or deemed to be in default for any delay or failure in performance under this Grant

Agreement or interruption of services resulting, directly or indirectly, from acts of God, enemy or hostile governmental action, civil commotion, strikes, government orders, national or state declared pandemics, lockouts, labor disputes, fire, flood, earthquakes or other physical natural disaster. If either party intends to invoke this clause to excuse or delay performance, the party invoking the clause must provide written notice to the other party immediately but no later than within fifteen (15) calendar days of when the force majeure event occurs and reasons that the force majeure event is preventing that party from or delaying that party in performing its obligations under this contract. CARB may terminate this Grant Agreement immediately in writing without penalty in the event Grantee invokes this clause.

If the Grant Agreement is not terminated by CARB pursuant to this clause, upon completion of the event of force majeure, the Grantee must as soon as reasonably practicable recommence the performance of its obligations under this Grant Agreement. The Grantee must also provide a revised schedule to minimize the effects of the delay caused by the event of force majeure. An event of force majeure does not relieve a party from liability for an obligation, which arose before the occurrence of that event.

13. Governing law and venue: This Grant Agreement is governed by and shall be interpreted in accordance with the laws of the State of California. CARB and the Grantee hereby agree that any action arising out of this Grant Agreement shall be filed and maintained in the Superior Court in and for the County of Sacramento, California, or in the United States District Court in and for the Eastern District of California. The Grantee hereby waives any existing sovereign immunity for the purposes of this Grant Agreement.

14. Grantee's responsibility for work: The Grantee shall be responsible for work and for persons or entities engaged in work, including, but not limited to, contractors, subcontractors, suppliers, and providers of services. The Grantee shall be responsible for any and all disputes arising out of its contract for work on the Project, including but not limited to payment disputes with contractors, subcontractors, and providers of services. The State will not mediate disputes between the Grantee and any other entity concerning responsibility for performance of work.

15. Indemnification: The Grantee agrees to indemnify, defend and hold harmless the State and the Board and its officers, employees, agents, representatives, and successors-in-interest against any and all liability, loss, and expense, including reasonable attorneys' fees, from any and all claims for injury or damages arising out of the performance by the Grantee, and out of the operation of equipment that is purchased with funds from this Grant Award.

- 16. Independent contractor:** The Grantee, and its agents and employees, if any, in their performance of this Grant Agreement, shall act in an independent capacity and not as officers, employees or agents of CARB.
- 17. Nondiscrimination:** During the performance of this Grant Agreement, the Grantee and its contractors shall not unlawfully discriminate against, harass, or allow harassment against any employee or applicant for employment because of race, religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition, genetic information, marital status, sex, gender, gender identity, gender expression, age (over 40), sexual orientation, or veteran or military status, or allow denial of family-care leave, medical-care leave, or pregnancy-disability leave. The Grantee and its contractors shall ensure that the evaluation and treatment of their employees and applicants for employment are free of such discrimination and harassment. The Grantee and its contractors shall comply with the provisions of the Fair Employment and Housing Act (Gov. Code section 12900 et seq.) and the applicable regulations promulgated thereunder (California Code of Regulations, title 2, section 11000 et seq.). The applicable regulations of the Fair Employment and Housing Commission implementing Government Code section 12990 (a)-(f), set forth in Chapter 5 of Division 4.1 of title 2 of the California Code of Regulations, are incorporated into this Agreement by reference and made a part hereof as if set forth in full. The Grantee and its contractors shall give written notice of their obligations under this clause to labor organizations with which they have a collective bargaining or other agreement. The Grantee shall include the nondiscrimination and compliance provisions of this clause in all subcontracts to perform work under this Grant Agreement.
- 18. No third party rights:** The parties to this Grant Agreement do not create rights in, or grant remedies to, any third party as a beneficiary of this Grant Agreement, or of any duty, covenant, obligation or undertaking established herein.
- 19. Ownership:** All information or data received or generated by the Grantee under this Grant Agreement shall become the property of CARB. No information or data received or generated under this Grant Agreement shall be released without CARB approval.
- 20. Personally Identifiable Information:** Information or data that personally identifies an individual or individuals is confidential in accordance with California Civil Code sections 1798, et seq. and other relevant State or Federal statutes and regulations. The Grantee shall safeguard all such information or data which comes into their possession under this Grant Agreement in perpetuity, and shall not release or publish any such information or data.

- 21. Prevailing wages and labor compliance:** If applicable, the Grantee agrees to comply with all of the applicable provisions of the California Labor Code pertaining to Public Works projects (Labor Code Sections 1720-1861) including those provisions requiring the payment of not less than the specified prevailing rate of wages as determined by the Director of the Department of Industrial Relations to workers employed in the performance of this grant. If applicable, the Grantee shall monitor all agreements subject to reimbursement from this Grant Agreement to ensure that the provisions of Labor Code Sections 1720-1861 are being met.
- 22. Professionals:** For projects involving installation or construction services, the Grantee agrees that only licensed professionals will be used to perform services under this Grant Agreement where such services are called for and licensed professionals are required for those services under State law.
- 23. Severability:** If a court of competent jurisdiction holds any provision of this Grant Agreement to be illegal, unenforceable, or invalid in whole or in part for any reason, the validity and enforceability of the remaining provisions, or portions of those provisions, will not be affected.
- 24. Termination:** CARB may terminate this Grant Agreement for cause by written notice at any time prior to completion of projects funded by this Grant Award, upon violation by the Grantee of any material provision after such violation has been called to the attention of the Grantee and after failure of the Grantee to bring itself into compliance with the provisions of this Grant Agreement within the time frame set forth by CARB via written notice to the Grantee.
- 25. Timeliness:** Time is of the essence in this Grant Agreement. Grantee shall proceed with and complete the Project in an expeditious manner.
- 26. Waiver of Rights:** Any waiver of rights with respect to a default or other matter arising under the Grant Agreement at any time by either party shall not be considered a waiver of rights with respect to any other default or matter. Any rights and remedies of the State provided for in this Grant Agreement are in addition to any other rights and remedies provided by law.
- 27. Order of Precedence:** In the event of any inconsistency between the articles, exhibits, attachments, specifications or provisions which constitute this Grant Agreement, the following order of precedence shall apply:
- a. Grant Agreement Cover Sheet
 - b. Exhibit A – Grant Provisions
 - c. Exhibit B – Work Statement
 - d. Exhibit D – Grant Solicitation Package

- e. All other Exhibits incorporated into the Grant Agreement as listed on the Grant Agreement Cover Sheet.

O. INSURANCE REQUIREMENTS

The Grantee must comply with all requirements outlined in the (1) General Provisions and (2) Insurance Requirements outlined below. No payments will be made under the grant until the Grantee fully complies with all insurance requirements.

1. General Provisions Applying to All Policies:
 - a. Coverage Term – Coverage needs to be in force for the complete term of the grant. If insurance expires during the term of the grant, a new certificate must be received by the State at least thirty (30) days prior to the expiration of this insurance. Any new insurance must comply with the original grant terms.
 - b. Policy Cancellation or Termination & Notice of Non-Renewal – The Grantee is responsible to notify the Program Administrator within five (5) business days of any cancellation, non-renewal or material change that affects required insurance coverage. New certificates of insurance are subject to the approval of the Department of General Services and the Grantee agrees no work or services will be performed prior to obtaining such approval. In the event that the Grantee fails to keep in effect at all times the specified insurance coverage, the State may, in addition to any other remedies it may have, terminate this grant upon the occurrence of such event, subject to the provisions of this grant.
 - c. Premiums, Assessments, and Deductibles – The Grantee is responsible for any premiums, policy assessments, deductibles or self-insured retentions contained within their insurance program.
 - d. Primary Clause – Any required insurance contained in this grant shall be primary, and not excess or contributory, to any other insurance carried by the State.
 - e. Insurance Carrier Required Rating – All insurance companies must carry an AM Best rating of at least “A–” with a financial category rating of no lower than VI. If the Grantee is self-insured for a portion or all of its insurance, review of financial information including a letter of credit may be required.
 - f. Endorsements – Any required endorsements requested by the State must be physically attached to all requested certificates of insurance and not substituted by referring to such coverage on the certificate of insurance.

- g. Inadequate Insurance – Inadequate or lack of insurance does not negate Awardee’s obligations under the grant.
 - h. Satisfying a Self-Insured Retention (SIR) – All insurance required by this contract must allow the State to pay and/or act as the contractor’s agent in satisfying any self-insured retention (SIR). The choice to pay and/or act as the contractor’s agent in satisfying any SIR is at the State’s discretion
 - i. Available Coverages/Limits – All coverage and limits available to the Awardee shall also be available and applicable to the State.
 - j. Use of Subcontractor – In the case of the Grantee’s utilization of Subcontractors to complete the grant scope of work, the Grantee shall include all Subcontractors as insured’s under the Grantee’s insurance or supply evidence of Subcontractor’s insurance to The State equal to policies, coverages, and limits required of the Grantee.
2. Grant Insurance Requirements – The Grantee shall display evidence of the following on a certificate of insurance. After the solicitation is awarded, failure to provide the certificate upon request will result in the termination of the grant. The Grantee must assure the community pilot project(s) funded by the Program Administrator (CARB) fully complies with all insurance requirements before starting the project. The following coverages must be evidenced on the certificate of insurance and all endorsements required must be attached:
- a. Commercial General Liability – The Grantee shall maintain general liability on an occurrence form with limits not less than \$1,000,000 per occurrence for bodily injury and property damage liability combined with a \$2,000,000 annual policy aggregate. The policy shall include coverage for liabilities arising out of premises, operations, independent the Grantees, products, completed operations, personal & advertising injury, and liability assumed under an insured contract or grant. This insurance shall apply separately to each insured against whom claim is made or suit is brought subject to the Grantee’s limit of liability.

The policy must name “State of California and California Air Resources Board, its officers, agents, and employees as additional insured with respect to liability arising out of work or operations performed by or on behalf of the awardee including any electric bikes and scooters in connection with any such work or operations”.

- b. Workers Compensation and Employers Liability – The Grantee shall maintain statutory worker’s compensation and employer’s liability coverage for all its employees who will be engaged in the performance of the grant. In addition, employer’s liability limits of \$1,000,000 are required. By signing

this agreement, the Grantee acknowledges compliance with these regulations.

A Waiver of Subrogation or Right to Recover endorsement in favor of the State of California must be attached to certificate.

- c. Either policy must name "State of California and California Air Resources Board, its officers, agents, and employees as additional insured with respect to liability arising out of work or operations performed by or on behalf of the awardee including any electric bikes and scooters in connection with any such work or operations." Non-Profit Organization with Volunteers Only (if applicable): A Volunteer Accident Insurance Policy with a limit not less than \$1,000,000. The policy shall contain a waiver of subrogation in favor of the State of California, if such endorsement is available in the open market. Said policy shall be issued by an insurance company with a rating which is acceptable to the Department of General Services, Office of Risk and Insurance Management. CARB reserves the right to review and adjust insurance requirements as necessary during the grant term.
- d. Cyber Liability coverage, with limits not less than \$1,000,000 per occurrence or claim. Coverage shall be sufficiently broad to respond to the duties and obligations as is undertaken by the Grantee in the grant agreement and shall include, but not be limited to, claims involving infringement of intellectual property, including but not limited to infringement of copyright, trademark, trade dress, invasion of privacy violations, information theft, damage to or destruction of electronic information, release of private information, alteration of electronic information, extortion and network security. The policy shall provide coverage for breach response costs as well as regulatory fines and penalties as well.

EXHIBIT B

WORK STATEMENT

Attachment I – Budget SummaryB-2
Attachment II – Task Summary and Details B-3
Attachment III – Task and Disbursement ScheduleB-11
Attachment IV – Key Project PersonnelB-14

EXHIBIT B

Attachment I – Budget Summary

Grantee: Solano Transportation Authority (STA)
 Project: Solano Sustainable Transportation Equity Project (SolSTEP)
 Grant Number: **STEP-PG-08**

	Total Costs
Project Costs	\$308,962.00
Direct Grant Implementation Costs	\$44,997.59
Indirect Grant Implementation Costs	\$15,000.00
	Total Funding
Total Grant Funds	\$299,997.59
Resource Contribution	\$68,962.00
Total Proposal Funds	\$368,959.59

EXHIBIT B

Attachment II – Task Summary and Details

Grantee: Solano Transportation Authority (STA)
 Project: Solano Sustainable Transportation Equity Project (SolSTEP)
 Grant Number: **STEP-PG-08**

Task Summary Table

Task #	Task Description	STEP Funds Requested	Resource Contribution
1	Proposal Administration	\$59,997.59	\$0
2	Project Initiation and Management	\$46,000.00	\$18,962.00
3	Equity Workgroup Meeting # 1	\$22,000.00	\$0
4	Community Meeting Preparation	\$22,000.00	\$0
5	Vallejo Community Meeting	\$22,000.00	\$0
6	Data Inventory and Implementation Strategies	\$22,000.00	\$0
7	Equity Workgroup Meeting # 2	\$22,000.00	\$0
8	SolSTEP Team Meeting	\$22,000.00	\$0
9	Final CBTP Plan and Pilot Implementation	\$40,000.00	\$50,000.00
10	Community Celebration	\$22,000.00	\$0
	Total	\$299,997.59	\$68,962.00

Task Details

Task 1: Proposal Administration

Administer the various tasks of the project including participation in meetings with CARB staff; development and implementation of project plans; record-keeping procedures; reporting procedures; and financial tracking and disbursements.

1.1. Meeting and communication with CARB staff

1.1.1. Initial Project Kick-off Meeting: The Grantee's key project personnel, in collaboration with CARB's Project Liaison, will plan, conduct, and attend an initial meeting with CARB staff following execution of the Grant Agreement. Topics for discussion may include, but not be limited to, the following:

- a. Project tasks, timelines, and milestones
- b. Project design and community engagement, outreach, and education activities
- c. Content and format for quarterly reports and final reports
- d. Schedule for ongoing coordination meetings
- e. Participant surveys and reporting

f. Other items as necessary

- 1.1.2. Ongoing Project Coordination: Ongoing Grantee coordination and review meetings with the CARB Project Liaison to discuss project status held at least quarterly, as well as a final meeting, or conference call pending CARB Project Liaison approval, held at the conclusion of the project. The Grantee's key project personnel will participate in meetings with CARB staff. Additional meetings may be scheduled at the discretion of the CARB Project Liaison. Meetings may be conducted by phone if deemed appropriate by the CARB Project Liaison. Project coordination and review meetings are the responsibility of the Grantee and should contain:
- a. Agenda for the meeting with online meeting information on provided prior to the meeting
 - b. Discussion of project activities, deliverables, schedule, and milestones
 - c. Discussion of any difficulties encountered since the last project update
 - d. Concerns or questions requiring resolution from CARB
 - e. Notification of any pending disbursement requests
 - f. Scheduling the next project coordination meeting

1.2. Coordinate with other CARB projects (e.g., Access Clean California formerly One Stop Shop, Clean Mobility Options Voucher Pilot Program) where appropriate and as requested by CARB.

1.3. Coordinate with all project partners, including Subgrantees and Community Partners, following the decision-making structure and the governance, legal, and financial relationships set out in the Partnership Structure. This must include:

- a. Regular communication with all Subgrantees, such as check-ins to keep track of progress made and troubleshoot issues encountered. The Grantee is responsible for keeping CARB informed of progress on the project
- b. Regular communication with all Community Partners in a mutually agreed-upon format to share progress and receive feedback on project implementation and design
- c. Accessible public meetings to share progress and receive feedback on project implementation and design
- d. Updates to Community Partners and other community stakeholders on how their feedback is being incorporated into the design and implementation of the project
- e. Incentivize participation of all project partners, including Community Partners, appropriately

1.4. Community engagement. Directly and actively engage community residents

during project implementation to ensure that project design and implementation meet the needs of the residents. The Grantee must:

- a. Ensure that funded activities focus on engaging community residents located or involved in the STEP Community.
- b. Use community engagement methods recommended in the Community Inclusion Guidance.
- c. Develop and implement a process for community engagement that maximizes the power of community residents to make decisions about project design and implementation.
- d. Conduct community engagement activities that help maximize residents' ability to participate, such as translating meetings and materials and scheduling meetings at times that are convenient to community residents.
- e. Focus on engaging hard-to-reach residents whose interests have historically been under-represented.
- f. Ensure funded activities include an evaluation of the success of the activities throughout implementation and adapt methods used accordingly, if timeline allows.
- g. Incentivize community residents appropriately for their time and expertise during their participation in community engagement activities.
- h. Develop plans for community engagement activities, either as part of the Status Reports or as stand-alone plans.
- i. Ensure that all community engagement plans have been approved by CARB prior to implementation.

1.5. Outreach and education. Conduct outreach and education with community residents to help ensure that identified end users in the community have the knowledge necessary to use new transportation services and to inform their participation in decision-making processes. The Grantee must:

- a. Ensure that funded activities focus on reaching out to or educating community residents located or involved in the STEP Community.
- b. Use outreach and education methods recommended in the Community Inclusion Guidance.
- c. Conduct outreach and education activities that meet the needs of the residents, such as translating materials and creating events at times that are convenient to community residents.
- d. Ensure funded activities include an evaluation of the success of the activities throughout implementation and adapt methods used accordingly.
- e. Develop plans for outreach and education activities, either as part of the Status Reports or as stand-alone plans.
- f. Ensure all outreach, education, and press materials and outreach and education plans have been approved by CARB and adhere to the California Climate Investments guidelines, as identified in Exhibit A, Section B of this Grant Agreement, prior to implementation.

- 1.6. Develop Policies and Procedures Manuals. Such documents and process flow charts should describe the Grantee's administrative actions for evaluating and processing project participants and data gathering and reporting for all aspects of the project. Examples include, but are not limited to:
 - a. Organizational charts
 - b. Details on how key project processes are conducted and how associated documentation of data, signatures, and authorizations are gathered and recorded, including, but not limited to:
 - i. Community engagement, outreach, and education
 - ii. Participant information
 - iii. Data collection and reporting
 - c. Develop and maintain accounting procedures to track expenditures by:
 - i. Grant Agreement number
 - ii. Fiscal year
 - iii. Funding source
 - d. Provisions to protect against conflict of interest
 - e. Provisions to protect against fraud, and to identify, respond to, and report if fraud has occurred
 - f. Provisions to protect personally identifiable information
- 1.7. As defined in Exhibit A, Section K, of this grant agreement, establish and maintain records on items that include, but are not limited to, participants and events as follows:
 - 1.7.1. Identify participant data that are confidential and develop measures to keep these data confidential. For example, individuals' physical characteristics, residential address, wage and salary information, driver's license or state-issued ID number, and insurance policy number must be kept confidential
 - 1.7.2. Record the physical address and census tracts of each event location.
 - 1.7.3. Develop a systematic process and schedule to back up database(s) on a daily basis at a minimum.
 - 1.7.4. Develop and enforce security measures to safeguard project database(s).
 - 1.7.5. Store all records in a secured and safe storage facility that maintains confidentiality and provides fire and natural disaster protection.
 - 1.7.6. Retain files during the term of the Grant Agreement plus three years after the grant term expires.

- 1.7.7. Transfer all project records to CARB once the project ends or three years after the grant term expires, whichever comes first.
- 1.8. Document and track expenditures, as defined in Exhibit A, Section G of this Grant Agreement.
- 1.9. As defined in Exhibit A, Section I of this Grant Agreement, report on and assess progress throughout project implementation via the participant and project metrics identified in Appendix H, Status Reports, and the Final Report. The purpose of data collection and reporting is to document and assess the outcomes of each funded project, which may include better understanding the projects' potential future impacts on behavior change, vehicles miles traveled, and equity.
 - 1.9.1. Develop plans for the collection of data and carry out those plans using appropriate metrics and tools. Ensure that all data collection plans have been approved by CARB. CARB will coordinate with the Grantee to identify parameters and determine the most effective mechanism for obtaining information and measures to safeguard confidential individual information. At a minimum, participant metrics should be collected prior to launch of a new project, midway through a project, and at the end for Final Report reporting.
 - 1.9.2. Track and report metrics, such as, but not limited to, the information outlined in Appendix H of the Grant Solicitation Package in Exhibit D. The Grantee must track and report these data at least quarterly.
 - 1.9.3. Participate in third-party research projects as requested by CARB.
 - 1.9.4. Status Reports: Submit numbered status reports accompanying grant disbursement requests to CARB at least quarterly, but may submit on a monthly basis, if necessary, to justify more frequent disbursements with prior approval from CARB. These reports must be approved by CARB and must contain at minimum, in either Microsoft Word or PDF as a single electronic file, the information outlined in Section I of this Grant Agreement.
 - 1.9.5. Final Report: The Final Report must be submitted within 90 days of CARB receiving the draft Final Report or by **February 17, 2024**, whichever comes first. A draft Final Report is due to CARB within 30 days of project completion or by **November 17, 2023**, whichever comes first.
- 1.10. The Grantee will implement the project defined in the Grantee's proposal. Any modifications to or additional design of the project requires written approval from CARB and must incorporate community decision-

making. Project design may include a combination of the elements described in Appendix E of the Grant Solicitation Package in Exhibit D. The project identified in the Grantee's proposal must:

- a. Meet applicable State laws
- b. Meet STEP's objectives, including all of the following:
 - a. Address a community-identified transportation need
 - b. Support increasing access to key destinations
 - c. Facilitate or achieve GHG emission reductions
- c. Meet all requirements specified in Appendix E of the Grant Solicitation
- d. Meet applicable requirements of statutes; applicable State law; the FY 2019-20 Funding Plan; the FY 2019-20 STEP Planning and Capacity Building Grant Solicitation; this Grant Agreement; and all Attachments, Exhibits, and Appendices to this Grant Agreement. The FY 2019-20 Funding Plan for Clean Transportation Incentives is available at: <https://ww2.arb.ca.gov/sites/default/files/2019-09/fy1920fundingplan.pdf>

Task 2: Project Initiation and Management

- 2.1. Create a marketing and outreach strategy, develop and print materials that will inform and engage the community on the SolSTEP Project goals and outcomes.
- 2.2. Create a one-pager about the project and other print materials that will be shared with various community members, stakeholders and youth to promote and bring awareness of the SolSTEP Project.
- 2.3. Create a Pathways Program write-up that will partner with Solano Community College and Club Stride to encourage youth to consider transportation related jobs in Vallejo and throughout Solano County.
- 2.4. Develop communication tools such as a website and social media platforms to promote the SolSTEP Project.
- 2.5. Finalize youth/student work plans, Youth-led Participatory Action Research (YPAR) or participatory trainings scheduled with Club Stride and Solano Community College.
- 2.6. Develop Project Implementation Plan and the Partner's scopes of work which include Club Stride, Solano Community College and the City of Vallejo.

If STA plans to implement any demo projects, they must obtain CARB approval for the project prior to implementation. Depending on the type of project proposed, additional insurance may be required.

Task 3: Equity Workgroup Meeting #1

The purpose of the Equity Chapter Working Group is to assist STA in defining transportation equity for Solano County. The group will receive background information on federal, state and regional history, definitions, laws, policies, and

programs that influence STA's equity planning. It will review STA's recent mobility investments, including comparison with regional equity goals and performance measures. The committee includes staff from diverse organizations and local residents. The SolStep team will work under the guidance of the Equity Working group to collaborate on community driven transportation programs and projects in Vallejo.

- 3.1. Discuss process of the project, Community Based Transportation Plan (CBTP) and garner feedback from the group with an emphasis on youth and community engagement. Review equity guiding principles, discuss pathway program and how SolSTEP team will move forward during the project.
- 3.2. Provide technical assistance and implementation support as part of the equity group meeting.
- 3.3. Support the work of bringing and onboarding youth as part of the committees or team to further the Transportation Career Pathway Program. The goal will be to recruit 4 interns in year 1 and as the program grows, expand to 4 more interns in year 2.
- 3.4. Provide guidance on Vallejo's current transportation system and update the group on any recent changes based on community feedback and post-COVID adjustments.

Task 4: Community Meeting Preparation

- 4.1. Draft Agenda for CBTP Public Meeting.
- 4.2. Lead the community meeting to share the process and goals of the project with co-leadership among Club Stride and Solano Community College youth if applicable.
- 4.3. Discuss the importance of transportation equity in the community.
- 4.4. Review the current CBTP Plans in Vallejo, gather feedback on projects from the plan or new ones to be added and follow-up with feedback and notes for non-attendees. Partners will be compensated for project outreach, participation in the meetings, and for surveys conducted for project evaluations through available compensation mechanisms such as gift cards or other direct small incentives.
- 4.5. Gather the information from the meeting and prepare it for dissemination.
- 4.6. Update SolSTEP Marketing and Outreach Strategy.

Task 5: Vallejo Community Meeting

The goal of this meeting is to inform participants about the current transportation system in Vallejo and how the SolSTEP project can help improve it through this community-driven process. To ensure that as many voices are heard during this process, STA will work with Club Stride and the SolStep team to identify community members in Vallejo who aren't able to attend the first meeting. STA will have a list of invitees and reach out to those stakeholders who would provide valuable input were unable to attend. Due to strong relationships with the Vallejo community and partners, STA is hoping to interview people across sectors including community members, youth, government officials and those who have provided transportation feedback in

the past.

- 5.1. Hold community meeting and conduct at least 10 interviews with stakeholders who could not attend the meeting.
- 5.2. Update CBTP Plan with community input and recommendations.
- 5.3. Check-in with Solano Community College and Club Stride on progress on the participatory process and Student Pathway Program.

Task 6: Data Inventory and Implementation Strategies

STA will evaluate the recommendations for pilot projects and strategies based on the input from partners and the levels of participation and engagement in each project. They will do pre- and post-surveys to gauge participant success and will create a pilot deliverable checklist to ensure each step is met during the process.

- 6.1. Compile all relevant data regarding community needs gathered at meetings including interviews and outreach.
- 6.2. Evaluate how the STEP project is going and make adjustments if needed.
- 6.3. Develop pilot strategies to increase mobility and safety while reducing emissions.
- 6.4. Update CBTP Plan with community input and recommendations.

Task 7: Equity Workgroup Meeting #2

- 7.1. Share Transportation Career Pathway Program progress.
- 7.2. Discuss ways to fund and expand it if applicable.
- 7.3. Present CBTP updated plan and pilot strategy recommendations and get group's feedback and approval.

Task 8: SolSTEP Team Meeting

- 8.1. Discuss implementation and prioritization of CBTP in Vallejo.
- 8.2. Present at the Consolidated Transportation Services Agency (CTSA) meeting and STA Board Meeting for approval.
- 8.3. Discuss process for updating CBTPs in other cities focused on equity and continuation of a youth career pathway program in transportation.

Task 9: Final CBTP Plan and Pilot Implementation

- 9.1. Prepare pilot programs/projects that may have emerged from CBTP process.
- 9.2. STA Staff will convene the SolSTEP team and community to prioritize projects as part of the CBTP plan and pilot implementation strategies.
- 9.3. Serve as the project managers of the program/pilot strategy implementation which will be completed within a 6 months to 1-year timeframe.

Task 10: Community Celebration

- 10.1. Hold Celebration Event to thank partners and promote the SolSTEP project amongst stakeholders, youth and community members and the greater Vallejo community.

Attachment III – Task and Disbursement Schedule

Grantee: Solano Transportation Authority (STA)
 Project: Solano Sustainable Transportation Equity Project (SolSTEP)
 Grant Number: **STEP-PG-08**

	Description	Expected Start Date	Expected Completion Date	Deliverables (if applicable)	Request for STEP Funds
Task 1	Program Administration	5/17/21	12/31/21	Quarterly status reports, including project updates, data collected, meeting agendas and notes, and other info requested as part of quarterly reports	\$19,999.20
Task 2	Project Initiation and Management	5/17/21	12/31/21	<ul style="list-style-type: none"> -Develop a marketing and outreach strategy -Provide a one-pager about the project -Provide a Pathways Program Write-up and Communication tools - Finalized youth/student work plans, YPAR or participatory trainings scheduled - Project Implementation Plan and Partner scopes of work 	\$46,000.00
Task 3	Equity Working Group Meeting #1	9/1/21	11/1/21	<ul style="list-style-type: none"> -Roster of SolSTEP Team -Equity Working Group Meeting Agenda -Roster of Attendees 	\$22,000.00

Solano Transportation Authority STEP Planning and Capacity Building Draft Grant Agreement

	Description	Expected Start Date	Expected Completion Date	Deliverables (if applicable)	Request for STEP Funds
Task 4	Community Meeting Preparation	11/1/21	12/31/21	-Draft Agenda for CBTP Public Meeting -Updated SolSTEP Marketing and Outreach Strategy -Outreach Survey on Youth and Community Engagement	\$22,000.00
	Disbursement request #1		12/31/21		\$109,999.20

	Description	Expected Start Date	Expected Completion Date	Deliverables (if applicable)	Request for STEP Funds
Task 1	Program Administration	1/1/22	6/30/22	Quarterly status reports, including project updates, data collected, meeting agendas and notes, and other info requested as part of quarterly reports	\$19,999.20
Task 5	Vallejo Community Meeting	1/1/22	3/31/22	-Final Agenda for CBTP Public Meeting -Interview notes (from stakeholders who could not attend the meeting) -Roster of Attendees	\$22,000.00
Task 6	Data Inventory and Implementation Strategies	1/1/22	6/30/22	Research methodology, all relevant data gathered as part of SolSTEP	\$22,000.00
Task 7	Equity Working Group Meeting #2	4/1/22	6/30/22	Equity Working Group Meeting Agenda, roster of Attendees	\$22,000.00
	Disbursement request #2		6/30/22		\$85,999.20

Solano Transportation Authority STEP Planning and Capacity Building Draft Grant Agreement

	Description	Expected Start Date	Expected Completion Date	Deliverables (if applicable)	Request for STEP Funds
Task 1	Program Administration	8/1/22	11/17/23	Quarterly status reports, including project updates, data collected, meeting agendas and notes, and other info requested as part of quarterly reports	\$19,999.19
Task 8	SolSTEP Team Meeting	8/1/22	8/30/22	-CTSA and Board Meeting Staff Reports and Agenda -Roster of Attendees	\$22,000.00
Task 9	Revise CBTP Plan and Project Implementation	10/1/22	11/17/23	-Youth CBTP Updated Plan and Project recommendations -Completed Pilot Projects	\$40,000.00
Task 10	Community Celebration	8/1/23	11/17/23	Celebration Event, roster of Attendees	\$22,000.00
	Disbursement request #3		11/17/23		\$103,999.19

Attachment IV – Key Project Personnel

Grantee: Solano Transportation Authority (STA)
 Project: Solano Sustainable Transportation Equity Project (SolSTEP)
 Grant Number: **STEP-PG-08**

Role and Name of Entity	Personnel Name and Title	Expected Duties
Lead/Grantee Solano Transportation Authority	Daryl Halls Executive Director	STA’s Executive Director will provide overall support and oversight to the Program Services Division Manager to ensure project success.
	Lloyd Nadal Program Services Division Manager	The Program Services Division Manager will provide overall direction, oversight and fiscal management for the project and its partners while working closely with CARB to ensure grant deliverables and compliance.
	Katelyn Costa Program Coordinator	The Program Coordinator will be the lead coordinator working with all partners on the SolSTEP team and ensuring the day-the-day operations of the grant project.
Sub-grantee City of Vallejo	Matt Gleason Transportation Manager	The Transportation Manager for the City of Vallejo will partner with STA Staff as part of the SolSTEP team helping to create a process for transportation equity programs and projects within the City of Vallejo in coordination with their community-based transportation plan (CBTP).
	TBD Administrative Analyst II	The Administrative Analyst will work closely with STA’s Program Coordinator to align this project with the city’s participatory budgeting process and update and prioritize projects based on input from the community and youth of Vallejo.
Sub-grantee Solano Community	Rob Diamond Vice President of Finance and Administration	The Vice President will provide oversight and support representing Solano Community College in initial and follow-up meetings.

Role and Name of Entity	Personnel Name and Title	Expected Duties
College	Lisa Neely Project Manager and Dean of Applied Technology and Business	The Project Manager will work closely with STA Staff and partners as part of the SolSTEP team specifically working to develop a career pathway program that will connect high school and college students to transportation related jobs with Solano County.
Sub-grantee Club Stride	Dr. Rhonda Renfro Executive Director and Project Manager	The Project Manager will work in partnership with STA, the City of Vallejo and Solano Community College to help co-lead the SolSTEP team. Club Stride, Inc. will outreach to community members and youth from their program and act as key stakeholders in the SolSTEP process providing feedback, perspective and experience being transportation users from the community.
	TBD Administrative Support	Support staff will work directly with youth in Vallejo and use their expertise in marketing and social media to share ideas, practices and policies that can potentially get more youth involved in the SolSTEP process and determining transportation planning for the future.
Community Partner SolTrans	Mandi Renshaw Program Analyst	As the transit service for the City of Vallejo, the SolTrans Program Analyst will work with STA as a member of the SolSTEP team to help guide and implement transportation equity solutions within the community in Vallejo.
Community Partner First 5 Solano	Juanita Morales Program Manager	First 5 will support the STA, SolSTEP team and its partners to determine transportation equity projects or programs based on community feedback. They will also be engaging their own community network to gather data on their specific community's needs in Vallejo.
Community	Marianne Butler	The Solano Conservation District will

Role and Name of Entity	Personnel Name and Title	Expected Duties
Partner Solano Resource Conservation District	Environmental Education Director	work closely to create a functional partnership that includes advisory work and community engagement as appropriate.
Community Partner Solano Public Health	Kirbee Brooks Sr. Health Education Specialist	A member of the Solano Public Health equity team will build on the longstanding partnership with STA by participating in the SolSTEP process.
Community Partner Assembly member Tim Grayson	Jana Modena Field Representative for Tim Grayson	A representative will be informed by the SolSTEP team, leveraging their resources to support the career pathway program that will be established between STA, Solano Community College and Club Stride.
Community Partner State Senator Bill Dodd	Lysette Marshman Field Representative for Bill Dodd	A representative will be informed by the SolSTEP team, leveraging their resources to support the career pathway program that will be established between STA, Solano Community College and Club Stride.

GRANTEE PROPOSAL PACKAGE

Selected sections of the Grantee's proposal package are included in this section.

STEP Planning and Capacity Building Grant Proposal Template

INSTRUCTIONS tab

INSTRUCTIONS:	<p>This proposal template should be used in conjunction with the STEP Planning and Capacity Building Grant Solicitation. The solicitation document outlines in detail the requirements and criteria for a STEP Planning and Capacity Building Grant proposal and the instructions that Applicants should follow to fill out each tab of this proposal template. The solicitation document can be found here:</p> <p>http://www.arb.ca.gov/msprog/aqip/solicitations.htm</p>
TECHNICAL ASSISTANCE:	<p>If you need help while developing your proposal, fill out the survey in the link below by 5:00 pm (Pacific Time) July 1, 2020.</p> <p>https://docs.google.com/forms/d/e/1FAIpQLSeZn9n-7gGU7ScAkaBjllPwReXRpkH6ohWUKut8DG4BzUN2tw/viewform</p>
TIPS:	<p>When developing your answers to the questions in this template, type them into a Word document first. Copy + paste them into this Excel spreadsheet when they are final and ready to submit to CARB.</p> <p>Fill out all applicable white boxes. Blue boxes contain instructions. Gray boxes populate automatically based on your inputs in the white boxes.</p> <p>You may include attachments in response to any of the questions in this template. While CARB appreciates succinct responses, there may be situations where your responses need to be longer than the template allows or where your responses require formatting that is not supported by this template. Please include the file name of any attachments submitted in the relevant "Responses" box of the proposal template.</p>

INSTRUCTIONS		
1	<p>AFTER THE PROPOSAL IS COMPLETE Complete, sign, and date the cover page of the proposal (see Appendix C, Section I). Write the file name in the box to the right.</p>	<p><i>Cover Page (Appendix C)</i></p>

STEP Planning and Capacity Building Grant Proposal Template

INSTRUCTIONS tab

2

AFTER THE PROPOSAL IS COMPLETE

Complete the Proposal Components and Eligibility Thresholds checklists (see Appendix C, Sections II and III) to ensure that all proposal components (sections of the proposal template and attachments) have been included and all eligibility thresholds have been met before submitting to CARB. If you answer "No" to any of the items in the checklist, go back and complete those items before submitting the proposal to CARB. Submit the final completed checklist to CARB with the rest of the proposal. Write the file name in the box to the right.

*STA STEP Grant
Application Final*

STEP Planning and Capacity Building Grant Proposal Template

GRANT FRAMEWORK tab

Proposal name	<i>Solano Sustainable Transportation Equity Project (SolSTEP)</i>
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INSTRUCTIONS	RESPONSES
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VISION		
1	Describe the vision for the STEP Community.	<p>In 2015, the City of Vallejo in Solano County was named the most diverse city in the country and the following year it was named the nation's hottest housing market. From the architecture and rich history, diverse community, central location, waterfront views, recreation and great weather, the word "potential" has been used to describe Vallejo for decades. According to the President of the Vallejo Chamber of Commerce, "the "p" word is overused, but potential covers Vallejo like a blanket". Yet, just 12 years ago, the city of Vallejo filed for Chapter 9 bankruptcy and has been dealing with several economic, structural and equity challenges that continue to slow the city's progress today. Vallejo has one of the highest crime rates in California and most recently, the homicide rate has tripled from 2019 to 2020. Vallejo has also been in the news recently because of the recent Police Officer shooting which brought attention to a pattern of police brutality among African American and Latino men. Due to the high crime rate and slowed economic progress, the median income level among adults 25-64 is \$34,000 with a 40% unemployment rate. The Vallejo City Unified School District has also struggled financially and thus is ranked in the bottom 50% of public schools in California. From a transportation perspective, during 2012-2017 there were 4,250 collisions causing a combined 170 severe and fatal injuries, the highest totals in Solano county. And despite having a viable transit system with good connectivity, only 8% of residents walk, bike and ride transit.</p> <p>As Vallejo approaches this socio-political crossroads, <u>the vision of the SolSTEP project is to create community-centric strategies led by residents and youth (SolSTEP team) that will help to address Vallejo's current issues and eradicate displacement and gentrification allowing the community to thrive.</u> With guidance from STA, the City of Vallejo and its community partners, this SolSTEP team</p>

STEP Planning and Capacity Building Grant Proposal Template

GRANT FRAMEWORK *tab*

		will work in partnership to improve a transportation system that promotes active transportation, clean air, sustainability and most of all works for all residents. It is the <u>goal of this project that this community-driven process through the revitalization of the Community Based Transportation Plan (CBTP) will be the model for change not only for Vallejo but for all cities within Solano County.</u>
2	Describe how residents and other key stakeholders were involved in the development of the vision statement identified above.	In 2019, the Solano Transportation Authority (STA) established a <u>Countywide Equity Working Group who developed guiding principles to address transportation equity in the county and across all cities.</u> The group consists of <u>community organizations, residents from the various cities mostly Vallejo, as well as county stakeholders and elected officials including the mayor</u> of Vallejo. The group received <u>background information</u> on federal, state and regional history, definitions, laws, policies, and programs that influence STA’s equity planning. They also reviewed STA’s recent mobility investments, including comparison with regional equity goals and performance measures and commented on the recently adopted Transportation Equity Chapter of STA's Comprehensive Transportation Plan (CTP). From these meetings, a community member from Vallejo suggested prioritizing transportation plans and projects in areas around the county with the most need. Vallejo's mayor and SolTrans representatives also supported prioritizing Vallejo which has the most underserved and underrepresented communities within Solano County. Based on this feedback, the update of the Community Based Transportation Plan (CBTP) in Vallejo began however STA, the City of Vallejo, SolTrans and the Equity Working Group agreed that a deeper focus on community and youth engagement was necessary as a next step.

PROJECTS		
3	Project name	Solano Sustainable Transportation Equity Project (SolSTEP)
4	Describe how residents and other key	The formation of the Countywide Equity Working Group work was a necessary first step to involve multiple stakeholders including community residents who developed equity guiding principles for

STEP Planning and Capacity Building Grant Proposal Template

GRANT FRAMEWORK tab

	<p>stakeholders were involved in the identification of this project.</p>	<p>countywide transportation plans moving forward. The Mayor of Vallejo, a SolTrans representative and several Vallejo community residents are currently on the Equity Working Group who developed the following principles that helped to inform this project. The equity guiding principles are as follows: 1- STA works in partnership with local, regional, and state governments and our whole community to provide and maintain a safe, innovative, equitable multi-modal transportation system in Solano County. 2- STA seeks to advance a just, healthy, and prosperous quality of life in all Solano County communities while addressing transportation and the diverse mobility needs of our residents, businesses, and visitors. 3- STA values and commits to meaningful participation of Solano County’s vulnerable populations in all aspects of mobility and infrastructure planning to ensure that disadvantaged communities unique and unmet needs are prioritized. 4- STA supports locally-decided land uses that stimulate economic opportunity and produce affordable housing within a range of housing options with accessible connections for all, leading to downtowns, public rail stations, and along major bus service corridors, in conjunction with acting to protect Solano County’s key agricultural and open space areas. 5- STAR routinely measures, evaluates, and clearly presents transportation performance results for public review to insure that its policies, plans, and budgets are fair, effective, and reflect community-focused priorities of Solano County residents and businesses. Based on these principles particularly principles 1 and 3, STA engaged with the city of Vallejo and SolTrans on updating the CBTP. Initial meetings were held and through the formation of the SolSTEP team, the partners will create a deeper level engagement strategy consisting of residents and youth in Vallejo with a focus on developing equitable and sustainable transportation programs and projects. Solano Community College (SCC) and Club Stride will help to engage students and youth and have already been part of the initial CBTP process. SCC also partners with STA and SolTrans on providing free rides for students within the county as part of the Student Transportation Fee Program and will use participatory models to meaningfully engage youth in the process.</p>
<p style="text-align: center;">5</p>	<p>Provide a summary of the proposal that</p>	<p>The established Countywide Equity Working Group helped to guide and develop equity guiding principles and an equity chapter of STA’s Comprehensive Transportation Plan that was</p>

STEP Planning and Capacity Building Grant Proposal Template
GRANT FRAMEWORK tab

includes a brief description of the proposed STEP-funded project. Summaries from all Applicants will be posted publicly on CARB's website.

subsequently unanimously adopted by the STA Board to address transportation equity in the county and across all seven cities. Earlier this year, STA worked collaboratively with the City of Vallejo and Solano County Transit (Soltrans) to identify some initial mobility priorities and there is strong community interest to expand the community involvement in this process. With oversight from this group, a SolSTEP leadership team in Vallejo will be established consisting of members from the Equity Working Group, the City of Vallejo, Solano County Transit, Solano Community College, Club Stride and Vallejo residents and youth from community-based organizations. Within the first 6 months, STA staff and its main community partners will work together to establish a SolSTEP team to develop a deeper level of community and youth engagement for determining future transportation equity projects in Vallejo through their Community Based Transportation Plan (CBTP) process. STA and its partners will support the SolSTEP team to create a process which will include community meetings and listening sessions, focus groups, trainings and pilots focused on reviewing the current CBTP, garnering feedback on community transportation needs and strategize micro-mobility, transit, active transportation and alternative transportation mode options within the city to reduce greenhouse gas emissions. STA will work specifically with the City of Vallejo on coordination of the project and modeled after the City of Vallejo's successful citywide Participatory Budgeting process. Solano Community College and Club Stride will support the involvement of Vallejo youth and their voices in the SolSTEP process while establishing a transportation career pathway program within the county. As the transit provider in Vallejo, SolTrans will continue to partner with STA on enhancing transportation services like the joint creation of the Lyft Program within Vallejo and Benicia to accommodate for areas without fixed route service. Through the CBTP's, this process will serve as a countywide model for engagement that will prioritize equity among Solano County cities while embedding sustainable opportunities for youth in the transportation field.

STEP Planning and Capacity Building Grant Proposal Template

APPLICANTS tab

APPLICANTS	1	1	2	3	4	9	10
	Name of entity	Type of entity	Roles and responsibilities	Letter of support (attachment)	Statement of qualifications	Organizational readiness to conduct equity work	Conflict of interest declaration
Lead Applicant	Solano Transportation Authority (STA)	Local government	Through oversight and direction from the Solano County Equity Working Group, STA will engage community and youth residents as a Consolidated Transportation Services Agency (CTSA) using the recently adopted Equity Guiding Principles. STA will work with its partners to collaborate on a SolSTEP team within the City of Vallejo to establish an equitable process for identifying transportation-related projects that adhere with California's GHG emissions goals while updating and expanding their Community Based Transportation Plan (CBTP) to include more community and	STA LOS: https://drive.google.com/file/d/1tQQAo5q-R-ejIEog-8kLJ-cQHnLasFc/view?usp=sharing	COMPLETE	Since its inception in 1990, STA has developed 8 citizen based advisory committees that includes abled-disabled representatives of all ages from each of the cities, government staff, law enforcement, elected officials, schools and community based organizations especially those that work in underrepresented neighborhoods. STA recently created a	There are no conflicts of interest for all partners involved within this grant application.

STEP Planning and Capacity Building Grant Proposal Template

APPLICANTS tab

			<p>youth input. In collaboration with Solano Community College and Club Stride, the partners will create a transportation career pathway program where high school and college students will create participatory practices within the process being key stakeholders in the SolSTEP project and be positioned for future jobs in transportation.</p>			<p>countywide Equity Working Group who will review previous CBTP Plans, ensure equity is central to the process and provide the data and information needed for all community members. STA has a solid history and infrastructure to do equity work but due to the varying degrees of differences within the County and cities (i.e. demographics, socioeconomic status, geography, politics) there remains work to be done</p>	
	5	5	6	7	8		10
	Name of entity	Type of entity	Roles and responsibilities	Letter of support (attach	Statement of qualifications	Organizational readiness to conduct equity work	Conflict of interest declaration

STEP Planning and Capacity Building Grant Proposal Template

APPLICANTS tab

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Sub- applica nt #1	City of Vallejo	City	<p>The City of Vallejo serves as a voting member on the STA Board and will partner with STA on creating a process for transportation equity projects through their community based transportation plan (CBTP). Through the SolSTEP grant, Vallejo will be a key stakeholder in coordinating through their citywide participatory budgeting process and updating and prioritizing projects based on input from the community while delivering these projects within its jurisdiction. This process will serve as a model for engaging the other cities in Solano County to do the initial planning to update their CBTP and incorporate GHG emissions goals by 2021.</p>	<p><u>City of Vallejo LOS: https://drive.google.com/file/d/1UN7DdngWFSCO7klbCF_6nWWTsLDhxrhl/viww?usp=sharing</u></p>	COMPLETE	<p>The City of Vallejo has been an ongoing leader in community engagement through their participatory budgeting (PB) process. In 2012, the Vallejo City Council established the first city-wide PB process in the United States, where residents directly engaged with their local government to develop and recommend projects as part of the annual budget. Over the past five cycles, the City of Vallejo has allocated over \$8.3 million to fund a total of 47 projects, while engaging over 20,000 residents of Vallejo.</p>	

STEP Planning and Capacity Building Grant Proposal Template

APPLICANTS tab

						<p>The city of Vallejo started to update their CBTP but wanted to make sure more communities and youth had an opportunity to provide feedback and thus are in complete support of the SolSTEP Project in partnership with STA, Solano Community College, Club Stride and SolTrans.</p>	
Sub-applicant #2	Solano Community College	Community College	<p>Established in 1945 as Vallejo Junior College, Solano Community College (SCC) was part of the Vallejo Unified School District until 1967 when the College became a countywide institution. Since then, the College has expanded to meet the growing needs of the county and now as 4 campuses with approximately 11,000 students. SCC will work with Club Stride on developing a</p>	<p><u>Solano Community College</u> LOS: https://drive.google.com/file/d/1</p>	COMPLETE	<p>Solano Community College (SCC) has numerous courses, programs and practices addressing equity within all four of its campuses. In 2019, SCC established a Student Equity Plan that has concrete goals on establishing more student driven, rather than faculty</p>	

STEP Planning and Capacity Building Grant Proposal Template

APPLICANTS tab

		<p>career pathway program that will connect high school and college students to transportation related jobs within Solano County. STA and SCC partnered on a student transportation fee where all current students can ride Solano County buses for free. SCC already has an Early College High School program and an Occupational Internship program that will be integrated as part of SolSTEP with the goal of engaging more Solano County youth in transportation equity which may affect their own communities. Also based on previous conversations, STA and SCC will explore a youth-led participatory action research (YPAR) project involving an autonomous and/or electric vehicle that can transport students from the bus stop to the main campus and other identified locations. There are several youth-run college</p>	<p>mxBT Dy BL caDW PKsiKJ x5Dn Npoe F9Phu /view ?usp= sharin g</p>		<p>driven practices that is led by a Student Equity Council. SCC's Dean of School of Applied Technology and Business is a key stakeholder in the SolSTEP process and heads the equity work for the college. She, along with the Vice President of Finance and Administration will be intergrally involved in establishing the pathway program and working to ensure their students are equal partners in the SolSTEP Project.</p>
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STEP Planning and Capacity Building Grant Proposal Template

APPLICANTS tab

			models (i.e. UC Davis) that will be explored that involve youth-led solutions to transportation gaps in the system.			
Sub-applicant #3	Club Stride, Inc.	Nonprofit Organization	<p>Club Stride, Inc. cultivates civic participation in Black, Indigenous and People of Color (BIPOC) communities, where civic empowerment disparities, rooted in unequal access to quality civic education opportunities, perpetuate unacceptable structural, racial, and health inequities. Club Stride will work in partnership with STA, the City of Vallejo, and Solano Community College to help lead the SolSTEP team as a trusted community partner. Club Stride, Inc. will outreach to community members and youth from their program and act as key stakeholders in the SolSTEP process providing feedback, perspective, and experience being transportation users from the community. They will also</p>	<p><u>Club Stride LOS: https://drive.google.com/file/d/1x1k6a7hoRxEmkijDRxuPLBU9SNOVNWmz/view?usp=sharing</u></p>	COMPLETE	<p>Club Stride, Inc. cultivates civic participation in Black, Indigenous and People of Color (BIPOC) communities, where civic empowerment disparities, rooted in unequal access to quality civic education opportunities, perpetuate unacceptable structural, racial and health inequities. Through a series of leadership and equity-based initiatives, Club Stride, Inc. utilizes civic media and technology to inspire youth expression, discussion and informed action</p>

STEP Planning and Capacity Building Grant Proposal Template

APPLICANTS tab

		engage in participatory practices, use their expertise in marketing and social media to share ideas, practices, and policies that can potentially get more youth involved in the SolSTEP process and determining transportation planning for the future.		for social change. The organization has developed confident, young public speakers and community advocates since 1997.
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COMMUNITY PARTNERS	11	11	12	13
	Name of entity	Type of entity	Roles and responsibilities	Letter of support (attachment)
Community Partner #1	SolTrans	Transit Agency	Solano County Transit (SolTrans) has been the public transportation provider for Vallejo and Benicia since July 2011. SolTrans provides local and SolanoExpress fixed routes, complementary paratransit, and subsidized Lyft programs. The agency is a Joint Powers Authority (JPA) that is governed by a six-member Board of Directors, composed of two representatives from the cities of Benicia and Vallejo, Solano County's representative on the Metropolitan Transportation Commission (MTC), and a representative from the Solano Transportation Authority. SolTrans will be part of the SolSTEP team and work with STA and its partners to determine	<u>SolTrans LOS:</u> https://drive.google.com/file/d/1eRpWEHtD3_nC5Z7B2BuAWvNRQ8qCoGM/view?usp=sharing

STEP Planning and Capacity Building Grant Proposal Template

APPLICANTS tab

			<p>transportation equity projects or programs based on community feedback. SolTrans recently completed a Comprehensive Operational Analysis (COA) in 2018 and has been a part of the update of the CBTP. since SolTrans already works closely with STA and the City of Vallejo, they will in-kind their time as partners for the SolSTEP Project.</p>	
Community Partner #2	First 5 Solano	Community Center	<p>First 5 Solano is a branch of Solano county administrator's office tasked with serving children age 0-5 and their families. First 5 will be a part of the SolSTEP team and work with STA and its partners to determine transportation equity projects or programs based on community feedback. They will also be engaging their own community network to gather data on their specific community's needs especially as it pertains to support of children and families in Vallejo.</p>	<p><u>First 5 LOS:</u> https://drive.google.com/file/d/1mG7fZ3OTZycABlpOqJ088xjima-cHlj5A/view?usp=sharing</p>
Community Partner #3	Solano Resource Conservation District	Special District	<p>Solano Resource Conservation District has worked within the City of Vallejo and Solano County at large to educate K-12th graders and their families on education programs for different local environmental issues. They will work closely with the STA to create a functional partnership that includes advisory work and community engagement support.</p>	<p><u>Conservation Resource District LOS:</u> https://drive.google.com/file/d/19aAjPhwRok329SsAiLeFEq7bkirZTq_a/vi</p>

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APPLICANTS tab

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Community Partner #4	State Senator Bill Dodd & Assemblymember Tim Grayson	Elected Officials	Both Senator Bill Dodd and Assemblymember Tim Grayson represent the City of Vallejo in the California legislature. A representative from one of the offices will work closely with the team, leveraging their resources to support the career pathway program that will be established between Solano Community College, Club Stride and all the community partners.	<u>Dodd/Grayson LOS:</u> https://drive.google.com/file/d/1CFqUHkyR310Cq3fAvmBjemf-qVORxLPE/view?usp=sharing
Community Partner #5	Solano Public Health	Government Agency	Solano Public Health (SPH) is an organization that works to advance health equity through healthy public policy and systems change, including structural, environmental, and transportation enhancements. They have been partnering with the STA since 2007 to increase safe, multi-modal access to schools through the Solano Safe Routes to School Program. A member of the SPH equity team will build on the longstanding partnership with STA by participating on the SolSTEP team and will help to align the group with other equity resources throughout the County.	<u>Public Health LOS:</u> https://drive.google.com/file/d/1Z7oDmNmbXYAgwFcm5F8LFKnsWlr8qc3w/view?usp=sharing

STEP Planning and Capacity Building Grant Proposal Template

PARTNERSHIP STRUCTURE *tab*

INSTRUCTIONS

RESPONSES

ROLES AND RESPONSIBILITIES		
14	Describe how the Lead Applicant's and Sub-applicants' roles and responsibilities (identified in the APPLICANTS tab) complement each other.	<p>STA Staff will work in partnership with the sub-applicants with oversight from the Equity Working Group to form a Governing Board, SolSTEP team, that involves community residents in Vallejo both youth and adults. The SolSTEP team will engage in a collaborative process that identifies, proposes and prioritizes strategies and projects to address the transportation needs throughout the City of Vallejo. STA will work in partnership with the City of Vallejo, Solano Community College, Club Stride, Inc. and SolTrans to ensure community partners, residents, and youth are included entirely in the planning, implementation, and decision-making process. City of Vallejo staff will provide assistance on their participatory budgeting process and work closely with STA, the team on jurisdictional guidance, pilot implementation and overall support. Solano Community College and Club Stride will support the involvement of youth and their voices in the SolSTEP process while establishing a transportation career pathway program within the county. STA and Solano Community College will also apply participatory practices such as Youth-led Participatory Action Research (YPAR) to explore student-led transportation innovations such as the use of autonomous, electric vehicles that can provide transportation around their multiple campuses.</p>

GOVERNANCE AND DECISION-MAKING		
15	Describe the governance and decision-making structure of the partnership. Include the	<p>The Equity Working Group and the SolSTEP team, which will consist of mostly residents, youth and community based organizations, will provide oversight of the project STA's current process already has in place citizen-based advisory committees, such as SolSTEP or the Equity Working Group, that provide recommendations on scope before it can proceed to other advisory committees and finally, to the STA Board (7 Mayors and County Supervisor). STA,</p>

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PARTNERSHIP STRUCTURE tab

	<p>process for handling disputes and the process for changing, adding, or removing partners.</p>	<p>the City of Vallejo, Solano Community College, Club Stride Inc. will work with the SolSTEP team to handle issues and make decisions collaboratively. The partners will also create an open communication culture throughout the process to give the SolSTEP team some autonomy as there may be better ways to handle situations especially as it relates to the community. If the issues come down to a vote, each member of the SolSTEP team has a vote and the community members will hold the majority.</p>
<p style="text-align: center;">16</p>	<p>Describe how the governance and decision-making structure centers the voices of Community Partners and other community residents.</p>	<p>The SolSTEP team comprising of Equity Working Group members, community partners, youth and residents in Vallejo will be the decision making body for the project. STA, the City of Vallejo, Solano Community College, and Club Stride will work collaboratively to support the update of the CBTP Plans and project implementation in Vallejo under the guidance of the SolSTEP team and recommendations that arise from the community meetings. As mentioned, STA and the City of Vallejo have experience in community and citizen engagement but there is always work to be done to improve and lessons learned along the way. The goal is to create a community-centric process that can be modeled by the other Solano County cities to ensure that resident and youth feedback are the driving force for change. It is the partners' hope that the SolSTEP team will be the governing body that will hold everyone accountable to reaching this goal.</p>
<p style="text-align: center;">17</p>	<p>Describe the role of online or in-person public meetings in the governance and decision-making structure. Include the frequency of meetings, the minimum number of public meetings that will be held, and how</p>	<p>Due to COVID-19, Applicants are prepared to do online meetings using STA's Zoom process which is currently being used for board meetings and open to the public. If it is safe to host in-person meetings when the grant starts, the team will be prepared to ensure participation offering both formats and multiple ways to engage either during or after each meeting. As stated in the implementation plan, the goal is to host meetings within a 2 year time period although this will be made flexible to adjust to community input and feedback. STA and City of Vallejo will follow all Brown Act requirements to ensure constant transparency making sure meeting agendas, notes, and all information is posted at the appropriate time prior to each meeting or grant activity. STA, the City of Vallejo, and the SolSTEP team will also build in support to outreach to community members that cannot attend meetings setting up</p>

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PARTNERSHIP STRUCTURE tab

	meeting agendas and notes will be posted for public access.	information sessions, listening sessions, office hours, and other communications strategies to garner as much feedback as necessary throughout the process.
18	Describe how Applicants will report back to and seek feedback from the community about how input is being incorporated into project development and implementation.	Applicants and the SolSTEP team will engage with community partners in Vallejo on a series of workshops, meetings, outreach events, and pilots focused on reviewing the current CBTP, garnering feedback on community transportation needs and strategizing micromobility, transit and alternative transportation mode options within the city to reduce greenhouse gas emissions. They will also work in tandem with the community partners to do deeper level engagement if necessary to ensure meaningful participation of residents and youth in the process. All meetings will include goals and action steps that must be accomplished prior to the next meeting. Applicants and the SolSTEP team will lead and create a process of governing which will include responsibilities for capturing feedback, notes, and information for each grant activity which could include meetings, listening sessions, interviews, focus groups, and trainings. This information will determine project development into Vallejo's CBTP Plan in coordination with the city's participatory budgeting process considering all factors such as financial costs, feasibility, and majority community buy-in. In the case of funding, if a pilot project was greatly encouraged by the majority of community stakeholders but was not within the implementation costs for this project, STA and the City of Vallejo would look to leverage alternate funding to support.

LEGAL STRUCTURE		
19	Describe the legal structure of the partnership. Include who is contracting with whom and confirmation	STA will establish sub-contracts or memorandums of understanding which outlines the partnership and task by each entity for the City of Vallejo, Solano Community College, and Club Stride, Inc. As the lead applicant, STA will assume all liability of the proposed project under its own legal guidelines which will be documented on each individual contract. STA currently has an attorney on staff that reviews all contracts and agreements beforehand and

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PARTNERSHIP STRUCTURE tab

	that the Lead Applicant will assume liability for the proposed project if selected.	will work closely with the Program Services Division Manager on ensuring each partner is fully aware before signing the agreements.
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FINANCIAL STRUCTURE		
20	Describe the financial structure of the partnership. Include the process the Lead Applicant will use to pay Sub-applicants and Community Partners and the subcontractor procurement process, if applicable.	As the lead applicant, STA will administer the budget and finances, pay all sub-applicants and community partners accordingly and use its existing procurement process for this project. STA's financial team consists of a Accounting Services Manager, an Accountant, and a Account Technician who will all support the budget of this grant. STA's Program Services Division Manager will manage the financial structure of the partnership and work with the financial team and communicate with the partners to ensure all invoices are provided and paid on time in accordance with the budget schedule and timeline.

EQUITY		
21	Describe how the Partnership Structure accounts for potential inequities between partners.	As a county partner, STA recognizes that working within a city and multiple partners can cause conflict between agencies. However STA's historical community engagement approach has always included city and stakeholder input at multiple levels. The organization's long held decision making system requires ideas be vetted through several agencies before action is taken. STA acts as a CTSA (the only one in the entire Bay Area region) and supports 8 citizen based advisory committees that include abled-disabled representatives of all ages from each of the cities, government staff, law enforcement, elected officials, schools, community based

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PARTNERSHIP STRUCTURE tab

		<p>organizations, and residents. Through the Equity Working Group, STA established equity guiding principles as the vision and guidance for all future work. The SolSTEP team will act as the governing board to ensure partners work together to resolve any potential conflicts and seek solutions with the notion that this group can remain intact to support the entire county past this project.</p>
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PROPOSAL THRESHOLDS & CRITERIA tab

INSTRUCTIONS	RESPONSES
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STEP COMMUNITY		
1 (attachment)	<p>Submit a map shapefile that identifies the STEP Community boundary, tentative project location, and benefiting disadvantaged or low-income community census tracts. Write the file name in the box to the right.</p>	<p><u>GIS Map Package:</u> https://drive.google.com/file/d/1zvQTJJEiBZSDbiNwqjCjx98HC3qiwNVM/view?usp=sharing <u>Zipped Folder of Shapefiles:</u> https://drive.google.com/file/d/1C1ONsen1lK8SDoKnFS1vmg594D_HzhBw/view?usp=sharing</p>
2	<p>Describe the residents of the STEP Community, including demographics such as gender, race/ethnicity, age, income, languages spoken, vehicle ownership, travel patterns to key destinations, and transportation mode share. Focus on demographics that are relevant to the</p>	<p>The City of Vallejo has a population of 119,252, with the average median age being 38.21 – the largest age groups being 20-29 (14.25%) and 65+ (16.97%). The City of Vallejo has remarkable ethnic diversity and was even named the most diverse city based on 2015 ACS Data – receiving a Diversity Index Score of 93.79. Articles dating back to 2012 share the same notion, indicating that the City of Vallejo’s diversity is resilient. The largest ethnic groups being Asian (25.42%) followed by Hispanic (23.93%), White (22.76%), and Black (21.53%). 26.1% of the population is considered “foreign-born”. Household data shows that 68.33% of Vallejo is identified as “Families” with 43.13% of households making \$60,000 and less – this classifies 43% of Vallejo as Lower-Middle Class and below. More specifically 21% of the population falling under “Lowest Income” at \$30,000 and less. The poverty rate is 14.1% and employment rate is 57.5%. In regards to education, 11.35% attained some level of education but did not receive a GED/High School Diploma, 24.53% attaining a high school diploma, and 26.12% attaining some college – resulting a higher education certification attainment level being 37.99%. 37% of</p>

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	community vision and identified projects.	the population speaks a language other than English at home – 15.5% more than the national average. The population identified as disabled is recorded at 12.6% -- on par with the national average. In regards to business, 66% of the firms in Vallejo are minority-owned. The largest recorded sales and revenue sector for Vallejo is “Health care and Social Assistance” at nearly \$1.5M. For commuting, 27.7% of the population use means aside from driving alone.
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CONSISTENCY WITH EXISTING PLANS		
3 (attachment)	Submit at least one letter from the city, county, or tribal government’s Planning Department, Community Development Department, Environmental Director, or other similar entity that has land use authority. The letter must demonstrate how the proposed project is aligned with the strategies, policies, and priorities identified in existing local and regional plans or that explains why the	<p><u>Land Use Letter:</u> https://drive.google.com/file/d/1LkpwYK948MoEXRxbGbQiSEwP_9EiAWr/view?usp=sharing</p>

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PROPOSAL THRESHOLDS & CRITERIA tab

	<p>proposed strategies, policies, and plans in existing local and regional plans do not reflect the community's needs or priorities. If no local or regional plans exist, explain why. Write the file name in the box to the right.</p>
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WORKFORCE DEVELOPMENT		
4	<p>Describe how the proposed project will contribute to workforce development in the climate and clean transportation sectors, including how the project will help identify funding opportunities and partners to implement workforce development activities in the future for residents of the STEP Community. If not applicable, explain why.</p>	<p>As the City of Vallejo was prioritized to update their CBTP, the process began with some community outreach and meetings. Although community residents were invited at the start of the process, many communities and neighborhoods were not at the table as well as youth organizations and youth themselves. Recognizing the importance of community and youth-led engagement in the process, STA reached out to Solano Community College and Club Stride to deepen student and youth participation on the SolSTEP committee and to help create a more participatory approach to the planning process. STA will work with Solano Community College and Club Stride to develop a plan to leverage an existing program that involves youth in the SolSTEP process while being exposed to on-the-job training in transportation, transportation equity plans and leading piloting projects while being compensated for their time. The partners will work together to ensure their involvement is institutionalized through a career pathway program that will connect high school and/or college students to transportation related jobs within Vallejo and Solano County. Solano Community College already has an Early College High School program and an Occupational Internship program that will look to</p>

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PROPOSAL THRESHOLDS & CRITERIA tab

		<p>be integrated and open the door to youth entry into climate and clean transportation sector jobs. STA and the City of Vallejo also work with the Workforce Development Board of Solano County and the Solano Economic Development Corporation (Solano EDC) who can help partner on potential workforce development strategies, specifically in the climate and clean transportation sectors and identifying potential funding sources. STA and its partners understand that the development of this type of career pathway program may take time so through this grant, the partners will assess and recognize sustainable components (i.e. leveraging existing successful programs, continual funding) and build upon it at an appropriate pace.</p>
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DISPLACEMENT AND HOUSING		
5	<p>Describe how the proposed project will identify displacement vulnerability among existing low-income households and small businesses within the STEP Community. If not applicable, explain why.</p>	<p><u>The SolSTEP Project will build upon previous work done by the STA to address issues of equity and affordable housing. Through the work of STA’s Equity Chapter of the Comprehensive Transportation Plan (CTP), the group was able to identify Communities of Concern (a regional/Bay-Area designation for areas of high levels of households with minority or low-income status, seniors, limited English proficiency, disabilities, etc.) and Disadvantaged Communities (state-wide considerations of economic, health, and environmental burden considerations) – including the overlap between these two designations. Additionally, the maps (included in section 1 above) overlap the city-designated Priority Production Areas (PDAs), which is a regional geographic designation to indicate where development will be prioritized. STA has a good sense of which areas have direct need and which areas cities should be prioritizing development. To address the issue of displacement vulnerability, STA has been working closely with the cities on their housing development. First, through keeping them updated on the Regional Housing Needs Allocation (RHNA) process, which will require cities to build diverse housing types. STA keeps an updated graph of each cities progress (see "Regional</u></p>

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PROPOSAL THRESHOLDS & CRITERIA tab

		<p><u>Housing Needs City Progress" attachment or click HERE). Secondly, STA and all seven cities have come together to establish the Solano Housing Investment Partnership (SolHIP) – this partnership dedicates funds for the cities to utilize a consulting firm familiar with housing grants to collect data and develop strategies in order to make equitable and efficient housing decisions. Finally, STA has been helping the cities map out all of their planned and proposed housing sites. All this together will allow STA to determine the areas most at risk for displacement and ensure that considerations for displacement are integral to the planning process for each of the cities. In terms of small businesses, STA has heat maps of employment centers by size and sector (see "Vallejo Employment Center" maps)– this knowledge along with PDAs will help relieve concerns of displacement for small businesses during the planning process. This project will expand on STA’s current resources and create a strategic plan that efficiently uses this data – particularly in a way that is accessible for the cities.</u></p>
6	<p>Describe how displacement avoidance measures will be incorporated into the planning process, including how the project will help identify funding opportunities and partners to implement displacement avoidance activities in the future. If not applicable, explain why.</p>	<p>Through the the Solano Housing Investment Partnership (SolHip), STA has already been working with Solano County cities to dedicate funds to making equitable and efficient housing decisions, avoid displacement especially among low-income households and ensure displacement is recognized early in the planning process. STA will work directly with the City of Vallejo to keep them updated on the Regional Housing Needs Allocation (RHNA) process, which will require cities to build diverse housing types. STA keeps an updated graph of Vallejo's progress and will help them map out all of their planned and proposed housing sites to determine the areas most at risk for displacement and inform planning considerations. These documents will be used in tandem with the SolSTEP activities to ensure that displacement is avoided during the project and implementation. STA and the City of Vallejo will offer to present these displacement avoidance strategies and potential funding opportunities at the Vallejo community meeting. After discussions with the SolSTEP team, another potential idea is to host a separate meeting or a series of</p>

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		meetings led by the SolSTEP team to discuss this topic in concert with the CBTP to ensure community partners are more informed.
7	Describe the relationship between the proposed project and the existing or potential uses of any other planning grants (including State planning grants) that are being administered or plan to be administered by the local jurisdiction with land use implications for transportation. If not applicable, explain why.	The SolSTEP Project will build upon the current work of the Equity Working Group into the Comprehensive Transportation Plan (CTP), which includes the Equity Chapter, and is funded by state funds from the Transportation Development ACT (TDA). Vallejo's Community Based Transportation Plan (CBTP) was funded by State Transit Assistance Funds (STAF) and partially funded by a regional funding source called One Bay Area Grant Cycle 2 – which is tapped from federal funds. Funds from this grant will help to expand on the groundwork already established with the help of State funds and although there are currently no plans to pursue other planning grants, this project could potentially seek other funds if applicable. STAF and TDA cycle 3 funds are available for matching purposes if needed to execute this project (see "STAF Funding Doc" and "TDA Article 3 Doc").

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PROJECT THRESHOLDS & CRITERIA *tab*

INSTRUCTIONS

PROJECT SCOPE	
Project Name	Solano Sustainable Transportation Equity Project (SolSTEP)
Describe the project scope and deliverables. Include information about all project elements as defined in Appendix D. Include what project details (if any) still need to be determined and how community residents will be involved in that process.	<p>STA recently established a Countywide Equity Working Group who along with the City of Vallejo developed equity guiding principles to address transportation equity in the county and across all cities. Using these principles as the guide, the vision for the SolSTEP Project is to leverage the Equity Working Group and existing citizen-based committees along with the development of a student career pathway program with Solano Community College and Club Stride to systemically embed transportation equity into the fabric of Solano County. This will be accomplished by organizing a SolSTEP leadership team who will engage community and youth partners on a series of meetings and listening sessions focused on building upon the Community Based Transportation Plan (CBTP) within Vallejo. The SolSTEP team will consider the needs of different groups of residents and youth within Vallejo, and general concerns about safety, reliability, and environmental sustainability when crafting the discussion framework and deciding community meeting location and topic. Resident feedback will be synthesized into a comprehensive report used to inform future project priorities. Key deliverables will include a minimum of 3 Equity Working Group/SolSTEP advisory group meetings, Vallejo Community Meetings, a revised CBTP, a career pathway program for local youth and students, pilot programs developed from project priorities, and a final grant report.</p>

TRANSPORTATION EQUITY	
Describe how the project considers the needs of different groups of residents	<p><u>The SolSTEP project will build upon the foundation set forth by STA and the Equity Working Group's current work creating an Equity Chapter in the Community Transportation Plan (CTP) and previous CBTP process with Solano County cities. The Equity Chapter in particular discusses the issues of accessibility to resources, availability of high-quality transportation options for all, and environmental</u></p>

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PROJECT THRESHOLDS & CRITERIA *tab*

<p>within the STEP Community. In particular, describe how the project incorporates different facets of transportation equity (including accessibility to key destinations, accessibility of transportation options, affordability, environmental sustainability, reliability, and safety) as they are defined by community residents.</p>	<p><u>risks. This project will expand on these discussions on a more local level – engaging and working with the cities directly. Secondly, the project will utilize the Equity Working Group: a group of key stakeholders and residents established during the creation of the Equity Chapter. This group is made up of Mayors from the most ethnically diverse cities in Solano (Vallejo and Suisun City), a District Supervisor, and residents representing a variety of races, religions, physical abilities, and experiences (see membership list HERE). Through this group, the SolSTEP team will be developed to determine the project’s process and deliverables. The Equity Working Group will ensure that the SolSTEP team undergo a thorough and properly represented vetting process. The process and products will also be brought to the Solano County Equity Collaborative – a group that bring together equity advocates from a plethora of employment sectors ranging from local government to public health. The project will also utilize the information received from the public engagement processes completed in past community focus groups/summits and the Equity Chapter (three public workshops) – which highlight the transportation equity concerns of many residents. Finally, youth engagement has been missing from these processes so in partnership with Solano Community College and Club Stride, the SolSTEP team will ensure youth are involved not only in the process but in the decision-making as well.</u></p>
<p>Describe the direct, meaningful, and assured benefit(s) provided to residents of disadvantaged or low-income communities in the STEP Community.</p>	<p>Through the direction and support of Club Stride, Solano Community College and the community partners, the SolSTEP team will engage Vallejo youth and community residents in a collaborative process that identifies, prioritizes and proposes strategies and projects to address the transportation needs within the city. As government agencies, STA, the City of Vallejo and SolTrans have established participatory practices, processes and committees but will yield to the SolSTEP team as the governing board for decision making of the CBTP. Under the guidance of the Equity Working Group and the equity guiding principles, the SolSTEP team will ensure low-income community partners, residents and youth are included in the planning process and prioritize and implement pilot projects based on their feedback and immediate need. During the Project Initiation and Management phase, STA and its partners will meet with the SolSTEP team to create a process of involvement that includes assessing needs, determining appropriate meeting times and allocating stipends and incentives that will</p>

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PROJECT THRESHOLDS & CRITERIA tab

	<p>enhance meaningful participation among the STEP Community. Community members who are on the SolStep advisory team will be compensated with stipends and community members who participate in focus groups, listening sessions, and community meetings will also be compensated with incentives as deemed appropriate by the group.</p>
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COMMUNITY INCLUSION	
<p>Describe the community engagement activities planned to ensure that community residents have the opportunities and resources to actively participate in the decision-making process during grant implementation.</p>	<p>STA is partnered with Solano Community College and Club Stride, a community organization in Vallejo to extend its reach to community and youth residents especially in low-income neighborhoods in Vallejo. Other partners such as First 5 Solano, Solano Resource Conservation District and Solano Public Health will help to get the word out as they all have relationships with residents in the Vallejo community. Due to COVID-19, the partners may be unable to utilize its usual methods of community engagement (i.e. public workshops and pop-up events). Instead, STA will lean more heavily on virtual engagement and phone calls. This includes public meetings held via teleconferences/webinars, online surveys, and leveraging partner networks to connect with the community via email, phone, text, and social media. STA, and the City of Vallejo will also offer participatory trainings (such as Youth-led Participatory Action Research) and practices (Vallejo's Participatory budgeting process) to provide capacity building opportunities if needed. For those who may be excluded from virtual community engagement, utilizing mailed materials, traditional calling options, and leaving information at community development centers, employment centers, etc. ensures everyone has the ability to participate. To maximize meaningful participation, meetings will be held in the evenings and when times are most convenient to residents/youth based on prior feedback. STA is also proposing that its three sub-applicants receive up to \$50,000 each that can be used for staff time, stipends and incentives for involving community members and youth/students and pilot projects that will have a direct and immediate benefit in these communities. Through this project, 50% of the funds will be used to support the community partners and resident and youth participation directly.</p>

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PROJECT THRESHOLDS & CRITERIA tab

<p>Identify any hard-to-reach residents.</p>	<p>A key hard to reach stakeholder group identified in the recent 2019 CBTP update were youth and students. In order to build upon the work that was done in that effort, STA brought in youth and education stakeholder groups (Solano Community College and Club Stride) at the application and project design stage to ensure successful outreach to these hard-to-reach groups. Additionally, STA must acknowledge that due to the COVID pandemic, many residents will be “hard-to-reach” as social distancing will limit our usual methods of in-person community engagement. Other hard-to-reach residents will include residents with limited access to technology or knowledge on operating technology, residents who have full-working schedules and therefore have limited time to access our engagements, non-English speaking residents (resources could be translated to other languages – although, the depth of this work may be limited depending on budget), and residents of lower literacy levels.</p>
<p>Describe how the planned community engagement activities focus on the hard-to-reach residents identified above.</p>	<p>The process of STA's community-based approach is to develop a post COVID plan through a collaborative process that identifies transportation needs, proposes and prioritizes strategies to address the needs in low-income areas, and identifies projects and funding support for implementation. STA Staff and the City of Vallejo will review previous CBTP Plans, ensure equity is central to the process, and provide the data and information needed for all community members before incorporating input from as many low-income residents as possible. Utilizing past methods designed to mitigate traditional barriers to low-income community participation, such as leveraging existing social networks and connecting with key stakeholders early in the community outreach process, will be integral to connecting with hard-to-reach residents. In addition to representing their constituencies, this stakeholder group will provide opportunities for staff to meet with community members virtually in group settings and individually. Based on COVID-19 protocols, outreach activities will also be performed in locations where community members receive services, rather than asking them to attend meetings outside their daily routine. To address the difficulty of addressing youth and students, Solano Community College and Club Stride have been brought on as sub-applicants. These organizations will provide youth/student participants who will a) serve as project interns and build</p>

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PROJECT THRESHOLDS & CRITERIA *tab*

	<p>skills; b) advise on marketing and outreach strategies to ensure youth participation c) help drive participation among their peer groups.</p>
<p>Describe how the planned community engagement activities will be evaluated for success and updated accordingly.</p>	<p>STA will first reach out to the Equity Working Group to garner feedback about the scope of work and project engagement plan. STA Staff will gather this feedback and host an initial meeting with the SolSTEP team and community partners to discuss the project and then offer another opportunity for input on the engagement plan and strategies to complete the project. STA and its partners will send a final scope of work to all parties around the grant start date to ensure community-identified needs were incorporated and the process is sufficiently transparent. STA staff and Club Stride will develop a post-survey that will be administered after the community meeting to gauge the level of engagement among our team. Interviews and surveys will also be done among community partners during the project to ensure the engagement process and youth and community-driven strategies are effective.</p>
<p>Describe the outreach and education activities planned to ensure that community residents have knowledge that will help them actively participate in decision-making processes during the project.</p>	<p>STA, the City of Vallejo, and the SolSTEP team will build in support outreach to the Vallejo community prior to meetings in order to inform residents and youth of important context. STA will work with Solano Community College, Club Stride and other community organizations to disseminate information, both digital and print, on transportation and equity history, project background, and guidelines for the feedback process of community meetings. They will also partake in leading potential trainings and/or meetings on participatory practices or methodologies (like YPAR) that has the potential to deeply engage more residents and youth in the process. Staff will be available for smaller information sessions and office hours with community leaders to field questions regarding the process so that they can better inform their communities directly.</p>
<p>Describe how the planned outreach and education activities focus on the hard-to-reach residents identified above.</p>	<p>Similarly to how hard-to-reach residents will be involved in community engagement, staff will ensure that we utilize past methods designed to mitigate traditional barriers to low-income community participation, such as leveraging existing social networks and connecting with key stakeholders early in the process, in order to properly connect them to outreach and education efforts. Staff will be available for smaller information sessions and office hours with community leaders to field questions regarding the process so that they can better inform their communities directly. Based on COVID-19</p>

STEP Planning and Capacity Building Grant Proposal Template

PROJECT THRESHOLDS & CRITERIA tab

	protocols, outreach activities will also be performed in locations where community members receive services and on the internet, rather than asking them to attend meetings outside their daily routine.
Describe how the planned outreach and education activities will be evaluated for success and updated accordingly.	Engagement will be classified successful if the specific target area to be measured was reached and the data gleaned is measurable, accurate, relevant, and actionable. Tracking granular information about the audience such as zip code, organizations represented, and demographic information will help assure that gaps in outreach are identified and addressed early on in the process. The outreach process will be improved as cultural and social preferences and distinctions arise from participants.

DATA TRACKING AND REPORTING	
Identify the Applicant(s) who will lead data tracking and reporting.	The Solano Transportation Authority will lead data tracking and reporting efforts and work with staff from the City of Vallejo on data discovery, tracking and dissemination. STA will also work with the City of Vallejo and members of the SolSTEP team who may be interested in working on data discovery or any conversations to improve the data portion of the project.
Describe the plan for tracking and collecting project-related data to report to CARB.	Collecting data starts with evaluating all present data available. Staff will gather current information on land use, mobility patterns, workforce needs via previous community engagement, census records, and related studies. If tracking is done correctly, engagement will be purposeful and planned with a clearly defined scope and scale of activities that focuses on the right nexus of topic, location, and population. Basic participant information to be gathered includes: census tract of residence, zip code, county, basic demographic information, their purpose for participation, as well as feedback on their experience and outcomes. Participants will be assigned unique identifying codes to ensure anonymity. Once the groundwork is laid, surveys and forum questions responded to, staff will be able to synthesize and measure community output. After this analysis and implementation, there is an opportunity to re-engage the community to discuss results and evaluate project impact. The community's time spent in engagement and helping with data collection will be compensated.

STEP Planning and Capacity Building Grant Proposal Template

PROJECT THRESHOLDS & CRITERIA *tab*

	<p>Staff will be able to produce a comprehensive report on the type of outreach conducted, number of participants, duration of engagement, topics of improvement cited, deliverables, challenges and successes, forecasted short and long term impacts, a cost and benefit analysis of desired infrastructure/programmatic improvements, and the community’s impressions of work completed. In the report appendix, schedule of outreach, locations, date, and times for each event, title of event, type of event, number of attendees, number of active participants, key takeaways, and basic participant information (as stated above) will be available for each event.</p>
--	--

CLIMATE ADAPTATION AND RESILIENCY	
Describe how the proposed project will identify climate change risks and exposures within the STEP Community. If not applicable, explain why.	<p>The project will engage the City of Vallejo to revisit their 2012 Climate Action Plan to assess risks and exposures for the specific STEP community. The STA will also collect more recent data to present to the partners, such as Sea Level Rise, by utilizing resources such as Adapting to Rising Tides online mapping software. The STA will work with partners to develop graphics that highlight the various climate change risks and exposures. This is particularly important as Vallejo has a high risk of flooding and sea-level rise -- it will be critical to know which populations will be most affected. The STA will also collaborate with Solano County Public Health and local Public Health agencies to determine the rates of exposure and ailments typically related to environmental inequity -- such as but not limited to asthma, noise pollution, and obesity. By collaborating with public health agencies, staff can determine areas of high exposure and related health risks to develop strategies to mitigate exposure.</p>
Describe how the project will help increase the community’s capacity to adapt to these impacts and contribute	<p>Community resilience as it pertains to equitable transportation starts with understanding climate vulnerabilities, promoting transportation equity, redefining transportation and equity priorities, and defining the cost to the community surrounding inaction. The SolSTEP project will bring climate knowledge to the community, center their voice and allow a space to leverage community cultural knowledge, needs, and assets to redesign systems for their own benefit. As government agencies, STA and the City of Vallejo have a history of engaging the community through various citizen-based</p>

STEP Planning and Capacity Building Grant Proposal Template

PROJECT THRESHOLDS & CRITERIA tab

to community resilience. If not applicable, explain why.

committees and participatory practices but more work can be done to ensure meaningful and equitable participation especially as it pertains to increasing community resiliency in addressing climate change strategies. Upon completion of the SolSTEP process, the Vallejo community will be more knowledgeable about impending climate concerns and have given input about transportation priorities so that staff can better synthesize possible action impacts. The SolSTEP project will reinvigorate our community engagement efforts which will be modeled for other Solano County cities and build capacity to help bolster self-preservation efforts and build community resilience .

STEP Planning and Capacity Building Grant Proposal Template
PROPOSAL IMPLEMENTATION PLAN tab

INSTRUCTIONS	RESPONSES	CALCULATIONS
--------------	-----------	--------------

PROPOSAL BUDGET			
1	Input cost information and associated notes in the BUDGET tab.	COMPLETE	
2	Total proposal budget	\$ 368,959.59	
3	Total funds requested from STEP	\$ 300,000.00	
4	Grant implementation funds requested (must be no more than 20 percent of the total requested funds)	\$ 60,000.00	20%
5	Funds for data tracking and reporting (must be at least 2 percent of the total proposal budget)	\$ 6,000.00	2%
6	Indirect grant implementation funds requested (must be no more than 5 percent of the total requested funds)	\$ 15,000.00	5%
7 (attachment)	If applicable, write the file names of all resource contribution documentation in the box to the right.	<p><i>If needed, STAF and TDA Article 3 funds can be used to subsidize this project, see documents attached.</i></p> <p>https://drive.google.com/file/d/1Y0K7lo2f7atEl_TldbV_logGA9uDhcxT/view?usp=sharing</p> <p>https://drive.google.com/file/d/1z2hDdp2J2FkvS8CtDkZeT_0iU9mMt1eF/view?usp=sharing</p>	

STEP Planning and Capacity Building Grant Proposal Template
PROPOSAL IMPLEMENTATION PLAN tab

PROPOSAL TIMELINE		
8	Fill out the TIMELINE tab.	COMPLETE

STEP Planning and Capacity Building Grant Proposal Template

BUDGET tab

PROJECT	Solano Sustainable Transportation Equity Project (SolSTEP)						
Direct Labor							
STA	<i>Program Coordinator</i>	\$ 38.29	480	\$ 18,379.20		\$ 18,379.20	
	<i>Program Services Division Manager</i>	\$ 81.62	100	\$ 8,162.00	\$ 8,162.00	\$ 8,162.00	100 hours of in-kind time provided for a total of 200 hours
City of Vallejo	<i>Transportation Superintendent/Manager</i>	\$ 108.00	100	\$ 10,800.00	\$ 10,800.00	\$ 10,800.00	100 hours of in-kind time provided for a total of 200 hours
	<i>Administrative Analyst II</i>	\$ 85.00	450	\$ 38,250.00		\$ 38,250.00	
Club Stride	<i>Project Manager</i>	\$ 31.25	416	\$ 13,000.00		\$ 13,000.00	
	<i>Project Coordinator</i>	\$ 24.00	416	\$ 9,984.00		\$ 9,984.00	
SCC	<i>Project Manager</i>	\$ 74.18	209	\$ 15,503.62		\$ 15,503.62	
	<i>Administrative Support</i>	\$ 45.44	209	\$ 9,496.96		\$ 9,496.96	
Direct Costs	Stipends, Travel and Incentives	N/A	N/A	\$ 76,424.22		\$ 76,424.22	estimated 60% for youth/community stipends for SolSTEP participation among SCC and Club Stride youth, 30% for incentives for community

STEP Planning and Capacity Building Grant Proposal Template

BUDGET tab

							participation, 10% travel
	Supplies, Equipment, Pilots	N/A	N/A	\$ 40,000.00		\$ 40,000.00	
						\$ 240,000.00	
					Total Cost:	0	
	(By Task)						
Task 1	<i>Project Initiation and Management</i>	N/A	N/A	\$ 150,000.00	\$ -	\$ 150,000.00	
Task 2	<i>Equity Working Group Meeting #1</i>	N/A	N/A	\$ 5,000.00	\$ -	\$ 5,000.00	
Task 3	<i>Community Meeting Preparation</i>	N/A	N/A	\$ 5,000.00	\$ -	\$ 5,000.00	
Task 4	<i>Vallejo Community Public Workshop</i>	N/A	N/A	\$ 5,000.00	\$ -	\$ 5,000.00	
Task 5	<i>Data/Information Gathering</i>	N/A	N/A	\$ 20,000.00	\$ -	\$ 20,000.00	
Task 6	<i>Equity Working Group Meeting #2</i>	N/A	N/A	\$ 5,000.00	\$ -	\$ 5,000.00	
Task 7	<i>SolSTEP Team Meeting</i>	N/A	N/A	\$ 5,000.00		\$ 5,000.00	
Task 8	<i>Finalize CBTP Plan and Pilot Implementation</i>	N/A	N/A	\$ 40,000.00	\$ 50,000.00	\$ 90,000.00	\$50,000 added to project implementation through TDA-3 or STAF funds if necessary
Task 9	<i>Community Celebration</i>	N/A	N/A	\$ 5,000.00			

STEP Planning and Capacity Building Grant Proposal Template
BUDGET tab

				\$ 240,000.00	\$ -	\$ 240,000.00	
Total Project Costs				\$ 299,997.59	\$ 68,962.00	\$ 299,997.59	\$ 99,997.59
Total Proposal Costs	Solano Sustainable Transportation Equity Project -SOLSTEP			Total Request for STEP Funds	Total Resource Contribution	Total Proposal Budget	
				\$ 299,997.59	\$ 68,962.00	\$ 368,959.59	

STEP Planning and Capacity Building Grant Proposal Template

TIMELINE tab

	Description	Start date	Completion date	Roles	Deliverables (if applicable)	Request for STEP funds
Task 1	<i>Project Initiation and Management</i>	5/17/2021	5/1/2023	<ul style="list-style-type: none"> - Project Kick-off meeting w/ Project Team (STA, City of Vallejo Staff, SCC, Club Stride, SolTrans) and all relevant stakeholders on project with an implementation timeline; Create Agenda for the Equity Working Group mtg to review the project and 2-way communication channels to allow for questions and feedback throughout the process; SolSTEP team will be formed and presented to Equity Working Group at meeting for recommendations. STA, City of Vallejo, Club Stride and Solano Community College will continue to provide technical assistance and support the SolSTEP team as they progress in their leadership role. - Ongoing bimonthly coordination meetings - Finalize work plans and task lists for youth/student participants with participatory and YPAR practices and trainings provided - Finalize Project Implementation Plan detailing roles and responsibilities, outreach strategies, and project scope, schedule, and budget 	<ul style="list-style-type: none"> - Create a marketing and outreach strategy, relevant marketing materials and a one-pager about the project - Pathways Program Write-up w/ SCC and Club Stride - Communication tools (i.e. Social Media, Website, etc) - Finalized youth/student work plans, YPAR or participatory trainings scheduled - Project Implementation Plan and Partner scopes of work 	\$ 150,000.00

STEP Planning and Capacity Building Grant Proposal Template

TIMELINE tab

Task 2	<i>Equity Working Group Meeting #1</i>	9/1/2021	11/1/2021	<p>- SolSTEP team will discuss process of the project, CBTP and garner feedback from the group with an emphasis on youth and community engagement. Team will also review equity guiding principles, discuss pathway program and how SolSTEP team will move forward during the project. STA and City of Vallejo staff will continue to provide technical assistance and grant support; Club Stride and Solano Community College will continue to support the work onboarding youth as part of the team and to further the transportation pathway program. SolTrans will provide guidance on Vallejo's current transportation system and update the group on any recent changes based on community feedback and post-COVID adjustments.</p>	-Roster of SolSTEP Team, Equity Working Group Meeting Agenda and Roster of Attendees	\$ 5,000.00
Task 3	<i>Community Meeting Preparation</i>	11/21/2021	12/31/2021	<p>- STA and the City of Vallejo will review CBTP Plan with SolSTEP team and continue to provide support or trainings to prep SolSTEP team for the Public Meeting; Club Stride and Solano Community College will continue to support youth and community engagement efforts and lead the implementation of a PAR/YPAR participatory system for prioritizing</p>	-Draft Agenda for CBTP Public Meeting, -Updated SolSTEP Marketing and Outreach Strategy, -Outreach Survey on Youth and Community Engagement	\$ 5,000.00

STEP Planning and Capacity Building Grant Proposal Template

TIMELINE tab

				<p>projects based on feedback. The team will create the agenda for the Public Meeting and Club Stride and other community partners will create strategies using different methods and incentives to encourage residents and youth to attend the meeting. They will also create an outreach strategy for those that cannot attend the meeting using one-on-one follow-ups, listening sessions and/or phone calls. Finally, a post-survey will be developed to do pre-post testing of how effective this community and youth engagement process worked and what can be improved.</p>		
Task 4	Vallejo Community Meeting	1/1/2022	3/1/2022	<p>- SolSTEP team will lead the community meeting to share the process and goals of the project with co-leadership among Club Stride and Solano Community College youth if applicable. The purpose of the meeting is to discuss the importance of transportation equity in the community, review the current CBTP Plans in Vallejo, gather feedback on projects from the plan or new ones to be added and follow-up with feedback and notes for non-attendees. The SolSTEP team will gather the information from</p>	<p>-Final Agenda for CBTP Public Meeting, at least 10 interviews completed with stakeholders who could not attend the meeting, Roster of Attendees</p>	<p>\$ 5,000.00</p>

STEP Planning and Capacity Building Grant Proposal Template

TIMELINE tab

				the meeting and prepare it for dissemination.		
	Disbursement request #1	6/1/2021				\$ 165,000.00
	Description	Start date	Completion date	Roles	Deliverables (if applicable)	Request for STEP funds
Task 5	<i>Data Information Gathering</i>	1/1/2022	6/30/2022	- STA/City of Vallejo staff and the SolSTEP team will compile all relevant data regarding community needs gathered at meetings including interviews and outreach. SolSTEP team will evaluate how project is going and make adjustments if needed, and commence to develop pilot strategies to increase mobility and safety while reducing emissions. Subsequently, staff will update CBTP Plan with community input and recommendations and check-in with Solano Community College and Club Stride on progress on the participatory process and Student Pathway Program.	-Research methodology, all relevant data gathered as part of SolSTEP	\$ 20,000.00

STEP Planning and Capacity Building Grant Proposal Template

TIMELINE tab

Task 6	<i>Equity Working Group Meeting #2</i>	4/1/2022	6/1/2022	- Share Transportation Career Pathway Program progress and discuss ways to fund and expand it if applicable; SolSTEP team will present CBTP updated plan and pilot strategy recommendations and get group's feedback and approval	-Equity Working Group Meeting Agenda, Roster of Attendees	\$ 5,000.00
Task 7	<i>SolSTEP Team Meeting</i>	8/1/2022	8/31/2022	- STA, City of Vallejo, Solano Community College, Club Stride and SolTrans will meet with the SSolSTEP team to discuss implementation and prioritization of CBTP plan; Based on the discussions, the SolSTEP team will prepare to present at the CTSA meeting and STA Board for approval; Discuss process for updating CBTPs in other cities focused on equity and continuation of pathway program.	-CTSA and Board Meeting Staff Reports and Agenda, Roster of Attendees	\$ 5,000.00
Task 8	<i>Finalize CBTP Plan and Pilot Implementation</i>	10/22/2022	3/1/2023	- Prepare pilot programs/projects that may have emerged from CBTP process and discussions with SolSTEP team and community; STA staff and the City of Vallejo will serve as the project managers of the program/pilot strategy implementation which will be completed within a 6 months to 1-year timeframe.	-Youth CBTP Updated Plan and Project recommendations -Completed Pilot Projects	\$ 40,000.00

STEP Planning and Capacity Building Grant Proposal Template

TIMELINE tab

Task 9	<i>Community Celebration</i>	3/1/2023	5/17/2023	<p>- STA, City of Vallejo, Solano Community College, Club Stride, SolTrans will host a ribbon-cutting event led by the SolSTEP team where community partners and youth will celebrate process accomplishments and pilot completions during the grant period. This event is scheduled for Spring 2023 with the hope that this will be an in-person event so that all partners involved can be thanked appropriately. The event will be community led and planned and invitations will be made to the Mayor of Vallejo, city councilmembers, the school superintendent and all community members that helped to contribute to the project.</p>	-Celebration Event, Roster of Attendees	\$ 5,000.00
	Disbursement request #2	6/1/2022				\$ 75,000.00

EXHIBIT D

GRANT SOLICITATION PACKAGE

The grant solicitation package is included in this section.

Sustainable Transportation Equity Project

Planning and Capacity Building Grant Solicitation

Low Carbon Transportation Investments Fiscal Year 2019-20
California Climate Investments



June 4, 2020

If you need this document in an alternate format or language, please contact Bree Swenson at (916) 440-8284 or step@arb.ca.gov. TTY/TDD/Speech to Speech users may dial 711 for California Relay Service.

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OVERVIEW

I. SUMMARY

A. Background

The California Air Resources Board (CARB) is issuing two competitive solicitations for multiple grantees across the state under the Sustainable Transportation Equity Project (STEP). STEP's overarching purpose is to increase **transportation equity**¹ in **disadvantaged**¹ and **low-income communities**¹ throughout California via two types of grants: Planning and Capacity Building Grants and Implementation Grants. Within these two grant types, CARB currently has up to \$22 million of available funding for planning, clean transportation, and supporting projects. This funding amount is subject to change and not guaranteed.

This solicitation is for STEP Planning and Capacity Building Grants. For the Implementation Grant Solicitation, see: <http://www.arb.ca.gov/msprog/aqip/solicitations.htm>

STEP is part of California Climate Investments, a statewide initiative that puts billions of Cap-and-Trade dollars to work reducing greenhouse gas (GHG) emissions, strengthening the economy, and improving public health and the environment—particularly in disadvantaged communities.

STEP aims to address community residents' transportation needs, increase residents' access to key destinations (e.g., schools, grocery stores, workplaces, daycare facilities, community centers, medical facilities), and reduce GHG emissions. Based on environmental justice principles, STEP funds projects that are priorities for historically under-served and over-burdened residents by requiring that projects center the knowledge and expertise of residents through all phases of project design, implementation, and evaluation. STEP has the flexibility to fund many different types of projects to ensure that STEP funds can help meet the needs of each community within that community's context.

STEP proposals require a significant amount of up-front work. The effort and expertise that Applicants invest in their proposals enables CARB to ensure that selected and funded projects are those that are most likely to address each community's vision, help meet the State's objectives, and achieve objectives that intersect across the climate, transportation, equity, and housing sectors.

B. Planning and Capacity Building Grant Solicitation

Through the Planning and Capacity Building Grant Solicitation, STEP currently has up to \$2 million available from Fiscal Year (FY) 2019-2020 Low Carbon Transportation

¹ See definitions in Appendix A.

Investments to help disadvantaged and low-income communities identify residents' transportation needs and prepare them to implement clean transportation and supporting projects. Lead Applicants may include community-based organizations, federally recognized tribes, and local governments.

If you are unsure whether you should apply for a Planning and Capacity Building Grant or are ready to apply for an Implementation Grant, see: https://ww3.arb.ca.gov/msprog/step/step_flowchart.pdf

CARB hosted four public work group meetings between October 2019 and January 2020 to gather public feedback on the design of STEP's criteria and requirements. CARB used input from these meetings and the dozens of written comments received after these meetings to develop a Draft Requirements and Criteria document.² The Draft Requirements and Criteria went through a public comment period in March 2020, and stakeholder comments³ from that period were considered when finalizing this solicitation.

Technical assistance may be available to Planning and Capacity Building Grant Applicants and recipients through a technical assistance contract between the Strategic Growth Council (SGC) and Estolano Advisors (see [Technical Assistance](#)).

Funding recipients will be selected via an open competitive solicitation process. Proposals are due to CARB by email, mail, or in-person delivery no later than **5:00 pm (Pacific Time), August 31, 2020**.

II. AVAILABLE FUNDING

This solicitation is estimated to provide up to \$2 million in FY 2019-2020 funds. CARB anticipates awards will be made to approximately ten disadvantaged and low-income communities. CARB may fund more or fewer than ten Planning and Capacity Building Grants, depending on the funding needs of the highest-ranking proposals that are submitted. Please note that \$2 million is the maximum amount of funding that may be available for STEP Planning and Capacity Building Grants and is subject to change. The final funding amount will be determined through a public work group meeting during the solicitation period and the resulting determination will be posted on CARB's website. For future information about the public work group meeting, see: <https://ww2.arb.ca.gov/our-work/programs/low-carbon-transportation-investments-and-air-quality-improvement-program/low-0>

No **resource contribution**¹ (including cash, in-kind services, and leveraged funding from other public or private sources including other California Climate Investments

² <https://ww3.arb.ca.gov/msprog/step/feb28-2020-step-requirements-and-criteria.pdf>

³

https://ww3.arb.ca.gov/msprog/step/step_public_comment_summary.pdf?_ga=2.108291522.1982260741.1587662624-1405068476.1585775700

programs) is required under this grant solicitation. See [Resource Contribution](#) section for details.

A. Option for Future Grant Agreements

This solicitation includes the option for CARB to award new grant agreements or grant agreement amendments from FY 2019-2020 and FY 2020-2021, depending on the availability of funding and upon CARB’s sole discretion. The Applicant understands and agrees that there is no guarantee that additional funds will be awarded, and that CARB cannot provide assurance of future program funding.

STEP may receive additional funds from Low Carbon Transportation Investments in FY 2020-2021.⁴ These funds may be dedicated to a new solicitation for Implementation Grants. Future planning and capacity building projects will likely be funded within a separate Low Carbon Transportation pilot project.

That being said, if additional funds become available and eligible proposals submitted in response to this solicitation remain unfunded, those proposals may be funded without reissuing a solicitation. If additional funding becomes available, the expenditure timeline of those new funds may extend the grant’s end date beyond that listed in this solicitation.

III. TIMELINE

During the solicitation period, CARB will host multiple public teleconferences to answer questions about the solicitation (see [Applicant Teleconferences](#)). All proposals must be received by CARB by **5:00 pm (Pacific Time), August 31, 2020**.

All draft grant agreements for STEP funds must be submitted to CARB by December 23, 2020. All final grant agreements for STEP funds must be finalized and submitted to CARB by March 15, 2021. Grant agreements must be executed by May 14, 2021. All STEP funds must be expended within the **grant term**.¹

All projects must plan to be completed (including a Final Report) and all final disbursement requests for reimbursement must be received by CARB no later than March 31, 2025 to ensure adequate time for processing prior to the end of the fiscal year.

Table 1: Solicitation Timeline

Key Action	Date	Time (Pacific Time)
Public Release of Solicitation	June 4, 2020	
Preliminary Applicant Question Deadline	June 25, 2020	12:00 pm
Preliminary Applicant Teleconference	June 30, 2020	3:00 pm

⁴ <https://ww2.arb.ca.gov/our-work/programs/low-carbon-transportation-investments-and-air-quality-improvement-program/low-1>

STEP Planning and Capacity Building Grant Solicitation

Key Action	Date	Time (Pacific Time)
Deadline for Technical Assistance Survey Responses	July 15, 2020	5:00 pm
Mid-Solicitation Applicant Question Deadline	July 17, 2020	5:00 pm
Mid-Solicitation Applicant Teleconference	July 22, 2020	10:00 am
Final Applicant Question Deadline	August 10, 2020	5:00 pm
Final Applicant Teleconference	August 13, 2020	3:00 pm
Proposal Submittal Deadline	August 31, 2020	5:00 pm
Review and Scoring of Proposals	September 1-30, 2020	
Preliminary Grantee Selection	October 15, 2020	5:00 pm
Complete Grant Agreement for CARB Review	December 23, 2020	5:00 pm
Final Grant Agreement to CARB	March 15, 2021	5:00 pm
Execute Grant Agreement and Return Signed Grant Agreement to CARB ⁵	May 14, 2021	5:00 pm
Draft Final Report to CARB	January 31, 2025	5:00 pm
Grant Term and Final Disbursement Request Deadline	March 31, 2025	11:59 pm

Timelines are subject to change at CARB’s sole discretion.

IV. PROPOSAL INSTRUCTIONS

The **proposal**¹ includes the project and supporting activities that make up the full STEP investment in a single community.

A proposal must be submitted for either a Planning and Capacity Building Grant or an Implementation Grant. One proposal may not be used to apply for both grant types, though an Applicant may submit separate proposals to apply for both grant types. This solicitation is for the Planning and Capacity Building Grant. For the Implementation Grant Solicitation, see: <http://www.arb.ca.gov/msprog/aqip/solicitations.htm>

Applicants must submit a proposal using the Proposal Template in **Appendix B**. The template outlines all of the components that must be included in a STEP proposal. **Proposal components**¹ are organized into five categories.

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⁵ Includes governing board resolution

This solicitation document includes instructions on how to complete and submit each proposal component, listed below by category.

Table 2: Proposal Components

Proposal Component	Submission Format
Cover page (Appendix C)	Attachment
Grant Framework (page 7)	
Vision statement	Proposal Template
Projects identified	Proposal Template
Project summary for public posting	Proposal Template
Applicants and Partnership Structure (page 11)	
Lead Applicant and Sub-applicant identification, qualifications, and letters of support	Proposal Template and Attachments
Conflict of interest declaration	Attachments
Community Partner identification and letters of support	Proposal Template and Attachments
Partnership Structure	Proposal Template
Proposal Thresholds and Criteria (page 19)	
STEP Community map	Attachments
STEP Community description	Proposal Template
Consistency with existing plans letter(s) of support	Attachments
Workforce development component	Proposal Template
Displacement avoidance component	Proposal Template
Affordable housing and land use component	Proposal Template
Project-specific Thresholds and Criteria (page 23)	
Project scope	Proposal Template
Transportation equity component	Proposal Template
Community engagement component	Proposal Template
Outreach and education component	Proposal Template
Data tracking and reporting component	Proposal Template
Climate adaptation and resiliency component	Proposal Template
Proposal Implementation Plan (page 28)	
Proposal budget	Proposal Template
Resource contribution documentation (if applicable)	Attachments
Proposal timeline	Proposal Template

A checklist of all proposal components is included in Appendix C, Section II.

Some proposal components will be used to screen all proposals to ensure they meet all **eligibility thresholds**,¹ including general completeness. These components are identified in Instructions boxes throughout this document with (*Eligibility Threshold*). If a proposal does not meet all eligibility thresholds, the Lead Applicant will be notified by CARB within four business days after the solicitation deadline and will have two

business days to submit proof that missing eligibility thresholds have been met. Updates to eligibility thresholds during this time should not result in substantial changes to proposals. Eligibility thresholds will be evaluated at CARB’s sole discretion. After that deadline, proposals that do not meet all eligibility thresholds will not be scored. See Appendix C, Section III for a full list of eligibility thresholds organized by proposal component.

INSTRUCTIONS <i>(Proposal Template INSTRUCTIONS tab)</i>	
1	AFTER THE PROPOSAL IS COMPLETE Complete, sign, and date the cover page of the proposal (see Appendix C, Section I). <i>(Eligibility Threshold)</i>
2	AFTER THE PROPOSAL IS COMPLETE Complete the Proposal Components and Eligibility Thresholds checklists (see Appendix C, Sections II and III) to ensure that all proposal components (sections of the proposal template and attachments) have been included and all eligibility thresholds have been met before submitting to CARB. If you answer "No" to any of the items in the checklist, go back and complete those items before submitting the proposal to CARB. Submit the final completed checklist to CARB with the rest of the proposal. <i>(Eligibility Threshold)</i>

Some proposal components will be scored during the proposal review process. These components are identified in Instructions boxes throughout this document with *(Scoring Criterion)*. CARB will select funding recipients based upon the **scoring criteria**¹ identified in Appendix D.

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GRANT FRAMEWORK

This section describes the proposal components in the Grant Framework category. Some components will be used to ensure eligibility thresholds identified in Appendix C, Section III are met. Some components will be scored during the proposal review process based on the quality of the component using the scoring criteria in Appendix D. Applicants must complete these proposal components using the Proposal Template in Appendix B.

The grant framework establishes the structure that all STEP proposals must follow. The framework consists of three related parts—objectives, vision, and projects. See the figure below for more details about this framework.

Figure 1: Grant Framework



All aspects of the proposal, including identification of the vision and projects, must be developed through community engagement. Community engagement may be undertaken specifically to apply for STEP funds or may have been previously completed as part of another relevant local planning process undertaken in and with the STEP Community (see [STEP Community](#)) (e.g., community engagement for active transportation plan, General Plan, specific plan, neighborhood plan, unmet transit needs assessment). These community engagement activities must have been

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conducted within at least four years of the proposal submittal date.

I. STEP OBJECTIVES

STEP's overarching purpose is to increase transportation equity in a way that reduces GHG emissions and benefits residents of disadvantaged and low-income communities.

Transportation Equity: When a community's transportation system provides accessible, affordable, environmentally sustainable, reliable, and safe transportation options to all residents, in particular those that have been disproportionately impacted by pollution or lack access to services. Transportation equity is intrinsically linked to access to economic opportunities and occurs when community residents have the power to make decisions about their transportation systems.

STEP Planning and Capacity Building Grants fund the groundwork for future community-based projects that have been designed and implemented in collaboration with community residents to address transportation needs and inequities. Some examples of solutions to transportation inequities that may be addressed through a STEP proposal include:

- Well-lit transit stations or stops where people regardless of gender or racial identity feel safe
- Pedestrian infrastructure that is accessible to people in wheelchairs or with strollers and that reduces the chance of traffic collisions
- Transportation options that enable trip-chaining and non-commute trips as well as commute trips
- Transportation options that overcome physical barriers that hinder access to key destinations such as schools, grocery stores, workplaces, daycare facilities, community centers, or medical facilities
- Increased transportation options in historically disinvested communities

STEP Implementation Grants provide funding to facilitate collaboration and community engagement during project implementation. For the Implementation Grant Solicitation, see: <http://www.arb.ca.gov/msprog/aqip/solicitations.htm>

STEP Planning and Capacity Building Grants provide funding to facilitate collaboration and community engagement during project development, especially with **hard-to-reach residents**.¹

STEP's objectives reflect the priorities of both California Climate Investments and the Low Carbon Transportation Investment's clean transportation equity projects. Objectives for the Planning and Capacity Building Grants are to facilitate

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transportation equity via the following:

- Identify disadvantaged or low-income community residents’ transportation needs
- Prepare for and prioritize projects that will increase clean transportation options and reduce GHG emissions to benefit residents of disadvantaged or low-income communities

II. COMMUNITY VISION

The proposal must include a vision statement that articulates how the proposed project will help address the transportation needs of the community and achieve STEP’s objectives stated above. For example, Applicants may describe the context for the community’s current lack of clean transportation options and how, with STEP funding, community residents can help identify specific clean transportation projects that they want and need. Residents and other key stakeholders (e.g., community groups, local small businesses) must be involved in the development of the vision statement.

INSTRUCTIONS <i>(Proposal Template GRANT FRAMEWORK tab)</i>	
1	Describe the vision for the STEP Community. <i>(Scoring Criterion)</i>
2	Describe how residents and other key stakeholders were involved in the development of the vision statement identified above. <i>(Scoring Criterion)</i>

III. ELIGIBLE PROJECTS

See **Appendix E** for a list of eligible projects and related **elements**,¹ eligible costs, and specific project requirements. Projects that are not on the eligible or ineligible lists may be determined to be eligible at CARB’s sole discretion.

The proposal must identify the project that Applicants would like STEP to fund. Applicants are encouraged to demonstrate how project elements may be prioritized for funding in case the full proposal cannot be funded.

Residents and other key stakeholders (e.g., community groups, local small businesses) must be involved in the identification of the proposed projects.

While proposed projects should be as certain as possible, project design specifics may be determined or updated based on community engagement after the community is selected. CARB will work with the selected Grantees to determine where flexibility is possible within the grant agreement to allow for community engagement to continue informing project design throughout grant implementation. For example, Applicants may work with community residents to identify the need for a community

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transportation needs assessment, but may wait to identify all of the specific community events they will attend to gather information for the assessment until after the grant agreement is executed.

The project must be completed within the grant term. The project must be compliant with all relevant laws, regulations, policies, and procedures.

The project may contain multiple fundable elements. Each fundable element must meet all eligible cost and readiness requirements as defined in Appendix E.

INSTRUCTIONS <i>(Proposal Template GRANT FRAMEWORK tab)</i>	
3	Identify the project that Applicants plan to implement. <i>(Eligibility Threshold)</i>
4	Describe how residents and other key stakeholders were involved in the identification of this project. <i>(Scoring Criterion)</i>
5	Provide a summary of the proposal that includes a brief description of the proposed STEP-funded project. Summaries from all Applicants will be posted publicly on CARB's website. <i>(Eligibility Threshold)</i>

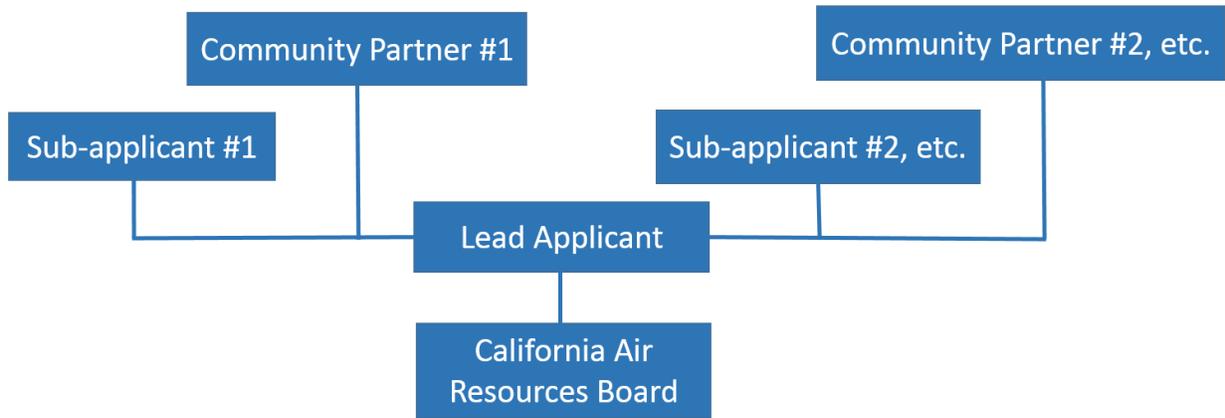
Grant Framework	Applicants and Partnership Structure	Proposal Thresholds and Criteria	Project-specific Thresholds and Criteria	Proposal Implementation Plan
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APPLICANTS AND PARTNERSHIP STRUCTURE

This section describes the proposal components in the Applicants and Partnership Structure category. Some components will be used to ensure eligibility thresholds identified in Appendix C, Section III are met. Some components will be scored during the proposal review process based on the quality of the component using the scoring criteria in Appendix D. Applicants must complete these proposal components using the Proposal Template in Appendix B.

Each proposal must include partnerships between a Lead Applicant, Sub-applicants, and Community Partners. These entities, representing different interests and priorities in the STEP Community and possessing different skillsets and expertise, should work together to collectively develop and implement a proposal that serves community residents and local implementers.

Figure 2: Partnership Structure



Applicants must meet all applicable requirements of the AQIP Guidelines,⁶ Low Carbon Transportation Funding Plan,⁷ and this solicitation and comply with all relevant laws, regulations, policies, and procedures. Where applicable, Applicants must be compliant with CARB regulations such as those that regulate trucks, buses, off-road equipment, and engine inspection requirements prior to grant agreement execution. When preliminarily selected as a funding recipient, where applicable, Applicants may be required to verify compliance with CARB regulations if applicable, including:

⁶ <https://ww3.arb.ca.gov/regact/2009/aqip09/aqip09.htm>

⁷ <https://ww2.arb.ca.gov/our-work/programs/low-carbon-transportation-investments-and-air-quality-improvement-program/low-1>

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- Truck and Bus regulation⁸
- Periodic Smoke Inspections of Heavy-duty Diesel-Fueled Vehicles⁹
- Diesel Particulate Matter Control Measure for Municipality or Utility On-road Heavy-Duty Diesel-Fueled Vehicles¹⁰
- Regulation for In-Use Off-Road Diesel-Fueled Fleets¹¹
- Large Spark-Ignition Engine Fleet Requirements Regulation¹²

I. ELIGIBLE APPLICANTS

Applicants¹ include the Lead Applicant and all Sub-applicants. If the Lead Applicant is a local government, at least one of the Sub-applicants must be a community-based organization. If the Lead Applicant is a community-based organization, at least one of the Sub-applicants must be a local government. If the Lead Applicant is a federally recognized tribe, no specific partnerships are required, though partnerships are still strongly encouraged.

A. Lead Applicants

The **Lead Applicant**¹ is the entity that is responsible for leading the development of the proposal and the implementation of the project funded through STEP. In most cases, the Lead Applicant should be the organization most focused on and connected to the STEP Community (see [STEP Community](#)). The Lead Applicant will enter into a partnership with other entities for the purpose of applying for a STEP grant.

There must only be one Lead Applicant per proposal. Should their proposal be selected for funding, the Lead Applicant will enter into a grant agreement with CARB and assume responsibility and accountability for the use and expenditure of received STEP funds as the Grantee. The Lead Applicant is responsible for contracting and working with all Sub-applicants and Community Partners to implement the proposed project.

Types of entities that may be Lead Applicants:

- **Community-based organizations**¹
- **Federally recognized tribes**¹
- **Local governments**¹

⁸ <https://ww2.arb.ca.gov/our-work/programs/truck-and-bus-regulation>

⁹ <https://ww2.arb.ca.gov/our-work/programs/heavy-duty-diesel-inspection-periodic-smoke-inspection-program>

¹⁰ <https://ww3.arb.ca.gov/msprog/publicfleets/regdocs.htm>

¹¹ <https://ww2.arb.ca.gov/our-work/programs/use-road-diesel-fueled-fleets-regulation>

¹² <https://ww2.arb.ca.gov/our-work/programs/large-spark-ignition-lsi-engine-fleet-requirements-regulation>

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If an entity that would be the Lead Applicant does not have the administrative capacity to assume this role, they may be a Sub-applicant and partner with another entity applying as the Lead Applicant. In this scenario, all Lead Applicant requirements would still apply. The Lead Applicant would still enter into a grant agreement with CARB and assume responsibility and accountability for the use and expenditure of received STEP funds, but the partnership could be set up so that the Lead Applicant supports the grant administratively and the Sub-applicant leads project implementation.

INSTRUCTIONS (<i>Proposal Template APPLICANTS tab</i>)	
1	Identify the Lead Applicant by name and type of entity (community-based organization, federally recognized tribe, or local government). (<i>Eligibility Threshold</i>)
2	Describe the roles and responsibilities of the Lead Applicant in implementing the project identified in the proposal. (<i>Scoring Criterion</i>)

INSTRUCTIONS (<i>Attachments</i>)	
3	<p>Include a letter of support from the Lead Applicant that:</p> <ul style="list-style-type: none"> • Defines their contribution to the proposal • Identifies their role in developing the Partnership Structure (see Partnership Structure) • Expresses a commitment to implementing the proposal if funded • Highlights any strategies they are currently implementing or plan to implement that will support the proposed STEP-funded project • Identifies any resource contributions they are committed to providing (see Resource Contribution) <p>(<i>Eligibility Threshold and Scoring Criterion</i>)</p>

The proposal must demonstrate the ability of the Lead Applicant to oversee and manage the grant on time and within the budget. A statement of qualifications must be included for the Lead Applicant that demonstrates that they have successfully implemented projects similar in scope or size in California within the last seven years.

INSTRUCTIONS (<i>Proposal Template APPLICANTS tab</i>)	
4	Describe the experience the Lead Applicant has working on projects similar in scope or size in California within the last seven years. (<i>Scoring Criterion</i>)

B. Sub-applicants

Sub-applicants¹ are the Applicants that enter into a Partnership Structure with the Lead Applicant and are responsible for implementing the project or project elements funded through STEP. There is no limit to the number of Sub-applicants included in a

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single proposal. Should the Lead Applicant’s proposal be selected for funding, the Sub-applicants will be Subgrantees in the grant agreement with CARB.

Sub-applicants may include public, private, or nonprofit organizations, including but not limited to:

- Community-based organizations
- Community groups (including community-based organizations that are not registered nonprofits)
- Joint powers authorities
- Local governments
- Nonprofit organizations
- Philanthropic organizations and foundations
- Private companies (e.g., private mobility providers)
- **Public schools**¹
- Transit agencies
- **Tribal governments**¹
- Utilities
- Other public agencies

INSTRUCTIONS (<i>Proposal Template APPLICANTS tab</i>)	
5	Identify each Sub-applicant by name and type of entity (e.g., community-based organization, local government, private company, transit agency, tribal government). (<i>Eligibility Threshold</i>)
6	Describe the roles and responsibilities of each Sub-applicant in implementing the project identified in the proposal. (<i>Scoring Criterion</i>)

INSTRUCTIONS (<i>Attachments</i>)	
7	<p>Include a letter of support from each Sub-applicant that:</p> <ul style="list-style-type: none"> • Defines their contribution to the proposal • Identifies their role in developing the Partnership Structure (see Partnership Structure) • Expresses a commitment to implementing the proposal if funded • Highlights any strategies they are currently implementing or plan to implement that will support the proposed STEP-funded project • Identifies any resource contributions they are committed to providing (see Resource Contribution) <p>(<i>Eligibility Threshold and Scoring Criterion</i>)</p>

The proposal must demonstrate the ability of each Sub-applicant to support the Lead Applicant and fulfill their roles on specific project elements on time and within the

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budget. A statement of qualifications must be included for each Sub-applicant that demonstrates that they have successfully implemented project elements similar in scope or size in California within the last seven years.

INSTRUCTIONS (<i>Proposal Template APPLICANTS tab</i>)	
8	Describe the experience each Sub-applicant has working on project elements similar in scope or size in California within the last seven years. (<i>Scoring Criterion</i>)

II. APPLICANT QUALIFICATIONS

A. Organizational Readiness to Conduct Equity Work

The proposal should demonstrate that Applicants have the organizational readiness to conduct equity work. The proposal should identify how the Applicants’ management and leadership support or plan to support equity work and their staff’s understanding of equity work. This may include staff’s understanding of institutional racism, power dynamics, and systems of change and how their own community residents have been impacted by historical inequities. The proposal should also summarize the existing relationships Applicants have with community groups and residents, including any past successes and challenges.

INSTRUCTIONS (<i>Proposal Template APPLICANTS tab</i>)	
9	Describe how each Applicant has prepared or plans to prepare staff to conduct equity work. If this preparation has not been provided or there are no plans to provide this preparation, explain why. (<i>Scoring Criterion</i>)

B. Financial Qualifications

Applicants are not required to provide financial information to apply to STEP. However, if selected, CARB will provide an STD. 204 Payee Data Record form that selected funding recipients must complete and submit to CARB.

Community-based organizations that are Lead Applicants must at all times be non-profit organizations registered with and in active/good standing with the California Secretary of State, have tax-exempt status with the Internal Revenue Service under Internal Revenue Code Section 501, be tax exempt under California State law, have at least one year of incorporation prior to proposal submittal, and be based in California or have at least one full-time staff person based in California.

C. Conflict of Interest Declaration

All Applicants must disclose any conflict of interest that has the potential to impact their ability to fulfill the duties of a STEP Grantee or Subgrantee. Conflicts of interest may include but are not limited to financial arrangements with or interest in zero-

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emission vehicle manufacturers, dealers, fleets, or related organizations. CARB may consider the nature and extent of any potential or apparent conflicts of interest in evaluating, considering, or scoring the proposal and may disqualify Applicants at CARB’s sole discretion.

INSTRUCTIONS <i>(Attachments)</i>	
10	Summarize each Applicant’s current, ongoing, or pending direct or indirect interests that pose an actual, apparent, or potential conflict of interest with their ability to fulfill the duties of the STEP Grantee or Subgrantee.

III. COMMUNITY PARTNERS

Community Partners¹ are community groups, community residents, health-based organizations, small businesses, or others in the community that, while not responsible for implementing projects funded through STEP like Lead Applicants and Sub-applicants are, serve as key stakeholders and representatives of the STEP Community residents. Community Partners should have contributed to the development of the STEP proposal and should continue to participate in decision-making on all aspects of the STEP proposal throughout implementation.

The proposal should identify the formal process by which Community Partners will participate in decision-making during grant implementation in a way that increases Community Partners’ impacts on decisions (see the Spectrum of Public Participation¹³) and serves community residents and local implementers.

STEP requires that, during implementation of STEP-funded projects, community engagement participants who are not already being paid for their participation (including Community Partners) receive appropriate incentives for their time and expertise (see the Community Inclusion Guidance linked in Appendix F for more details).

INSTRUCTIONS <i>(Proposal Template APPLICANTS tab)</i>	
11	Identify each Community Partner by name and type of entity (e.g., community group, community resident, small business). <i>(Eligibility Threshold)</i>
12	Describe the roles and responsibilities of each Community Partner in contributing to the development of the proposal and decision-making throughout grant implementation. <i>(Scoring Criterion)</i>

¹³ https://cdn.ymaws.com/www.iap2.org/resource/resmgr/pillars/Spectrum_8.5x11_Print.pdf

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INSTRUCTIONS <i>(Attachments)</i>	
13	<p>Include a letter of support from each Community Partner that:</p> <ul style="list-style-type: none"> • Defines their contribution to the proposal and Partnership Structure (see Partnership Structure) • Describes their role in the community • Expresses a commitment to support the proposal if funded • Identifies how the proposed project will meet the transportation needs of the community residents they represent <p><i>(Eligibility Threshold and Scoring Criterion)</i></p>

IV. PARTNERSHIP STRUCTURE

Each proposal must include a **Partnership Structure**¹ that clearly defines the relationships and decision-making framework between the Lead Applicant, Sub-applicants, and Community Partners that are a part of the STEP proposal. The Partnership Structure will guide implementation of the entire STEP grant.

The Partnership Structure must describe the partners’ governance, legal, and financial relationships. The structure must also incorporate a transparent decision-making process that centers the voices of Community Partners and other community residents and includes public meetings and a process to report back to the STEP Community on how community input is being incorporated into project development and implementation.

Applicant and subcontractor relationships must be disclosed in the proposal. If subcontractors are subject to a public process for approval, that process must be fully disclosed in the proposal, including who must approve contracts, the process for approval, and the anticipated timeline for approvals.

In any partnership structure, differences in capacity and power that lead to inequity between partners is probable, but should be minimized where possible. Applicants should consider how their Partnership Structure may be created in a way that addresses these potential inequities; for example, by creating a transparent communication structure between the partners and CARB.

INSTRUCTIONS <i>(Proposal Template PARTNERSHIP STRUCTURE tab)</i>	
14	<p>Describe how the Lead Applicant’s and the Sub-applicants’ roles and responsibilities (identified in the APPLICANTS tab) complement each other.</p> <p><i>(Eligibility Threshold and Scoring Criterion)</i></p>
15	<p>Describe the governance and decision-making structure of the partnership. Include the process for handling disputes and the process for changing, adding, or removing partners. <i>(Eligibility Threshold and Scoring Criterion)</i></p>

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INSTRUCTIONS <i>(Proposal Template PARTNERSHIP STRUCTURE tab)</i>	
16	Describe how the governance and decision-making structure centers the voices of Community Partners and other community residents. <i>(Eligibility Threshold and Scoring Criterion)</i>
17	Describe the role of online or in-person public meetings in the governance and decision-making structure. Include the frequency of meetings, the minimum number of public meetings that will be held, and how meeting agendas and notes will be posted for public access. <i>(Eligibility Threshold and Scoring Criterion)</i>
18	Describe how Applicants will report back to and seek feedback from the community about how input is being incorporated into project development and implementation. <i>(Eligibility Threshold and Scoring Criterion)</i>
19	Describe the legal structure of the partnership. Include who is contracting with whom and confirmation that the Lead Applicant will assume liability for the proposed project if selected. <i>(Eligibility Threshold and Scoring Criterion)</i>
20	Describe the financial structure of the partnership. Include the process the Lead Applicant will use to pay Sub-applicants and Community Partners and the subcontractor procurement process, if applicable. <i>(Eligibility Threshold and Scoring Criterion)</i>
21	Describe how the Partnership Structure addresses potential inequities between partners in the partnership structure. <i>(Scoring Criterion)</i>

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PROPOSAL THRESHOLDS AND CRITERIA

This section describes the proposal components in the Proposal Thresholds and Criteria category. These components will help CARB understand the STEP Community, the overall proposal, and how the proposal aims to achieve objectives that intersect across the climate, transportation, equity, and housing sectors. Some components will be used to ensure eligibility thresholds identified in Appendix C, Section III are met. Some components will be scored during the proposal review process based on the quality of the component using the scoring criteria in Appendix D. Applicants must complete these proposal components using the Proposal Template in Appendix B.

I. STEP COMMUNITY

The **STEP Community**¹ boundary should be defined by the Applicants and community residents during proposal development. The community must be represented by a contiguous¹⁴ geographic boundary and contain residents that all use the same community-defined transportation system. The proposal must include a map and a narrative description that identifies and describes the STEP Community and its residents.

All of the proposal budget must fund a project focused on the STEP Community. At least 50 percent of the geographic area of the STEP Community must be disadvantaged or low-income community census tracts. SGC’s technical assistance contractor may help Applicants map their STEP Community boundary to ensure that the community is eligible for funding.

INSTRUCTIONS <i>(Attachments)</i>	
1	Submit a map shapefile that identifies: <ul style="list-style-type: none"> • the STEP Community boundary, • tentative project location, and • benefiting disadvantaged or low-income community census tracts. <i>(Eligibility Threshold)</i>

INSTRUCTIONS <i>(Proposal Template PROPOSAL THRESHOLDS & CRITERIA tab)</i>	
2	Describe the residents of the STEP Community, including demographics such as gender, race/ethnicity, age, income, languages spoken, vehicle ownership, travel patterns to key destinations, and transportation mode share. Focus on demographics that are relevant to the community vision and identified projects. <i>(Scoring Criterion)</i>

¹⁴ Next to or touching

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II. CONSISTENCY WITH EXISTING PLANS

Where possible, the proposal must be consistent with strategies and priorities identified in existing local and regional plans (e.g., General Plans, Specific Plans, Transportation Plans, Climate Action Plans, Sustainable Communities Strategies, Regional Transportation Plans) in order to ensure that the STEP-funded project will align with or complement other existing efforts and help meet existing local and regional climate and transportation goals.

STEP has no restrictions on the eligibility of a community for STEP funding based on what other funding the community has received in the past. However, if the community has received funding from other relevant State grant programs, the letter should explain how these funds will work together to address the community’s transportation needs.

INSTRUCTIONS <i>(Attachments)</i>	
3	Submit at least one letter from the city, county, or tribal government’s Planning Department, Community Development Department, Environmental Director, or other similar entity that has land use authority. The letter must demonstrate how the proposed project is aligned with the strategies, policies, and priorities identified in existing local and regional plans or that explains why the proposed strategies, policies, and plans in existing local and regional plans do not reflect the community’s needs or priorities. If no local or regional plans exist, explain why. <i>(Eligibility Threshold)</i>

III. WORKFORCE DEVELOPMENT

Where possible, the proposal should contribute to workforce development in the climate and clean transportation sectors by providing economic opportunities through high-quality jobs¹⁵ or partnering with workforce development and training programs with career pathways for residents of the STEP Community. To the extent feasible, jobs and job training should be targeted to residents of disadvantaged and low-income communities and residents that face barriers to employment. Community engagement activities should engage residents on workforce development activities undertaken within the community. STEP’s **Workforce Development Guidance** (linked in Appendix F) includes detailed information about how to address this component, including example activities and other resources.

¹⁵ Offer local living wages, benefits, predictable scheduling, opportunities for advancement, geographic accessibility, good working conditions, and job retention.

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INSTRUCTIONS <i>(Proposal Template PROPOSAL THRESHOLDS & CRITERIA tab)</i>	
4	Describe how the proposed project will contribute to workforce development in the climate and clean transportation sectors, including how the project will help identify funding opportunities and partners to implement workforce development activities in the future for residents of the STEP Community. If not applicable, explain why. <i>(Scoring Criterion)</i>

IV. DISPLACEMENT AND HOUSING

A. Displacement Avoidance

Where possible, the proposal should identify and avoid substantial economic, environmental, and public health burdens that may occur due to the STEP-funded project and that may lead to the physical or economic displacement of **low-income households**¹ and **small businesses**.¹ Community engagement activities should engage residents on the potential impacts of the proposal on the community. STEP’s **Displacement Avoidance Guidance** (linked in Appendix F) includes detailed information about how to address this component, including example activities and other resources.

INSTRUCTIONS <i>(Proposal Template PROPOSAL THRESHOLDS & CRITERIA tab)</i>	
5	Describe how the proposed project will identify displacement vulnerability among existing low-income households and small businesses within the STEP Community. If not applicable, explain why. <i>(Scoring Criterion)</i>
6	Describe how displacement avoidance measures will be incorporated into the planning process, including how the project will help identify funding opportunities and partners to implement displacement avoidance activities in the future. If not applicable, explain why. <i>(Scoring Criterion)</i>

B. Affordable Housing and Land Use

Increasing the supply of affordable housing near transportation options facilitates GHG emission reductions and economic opportunities for residents. Where possible, the proposal should align with and complement policies, plans, or processes that have been locally adopted or are in active development to be locally adopted by a specific date, that support **affordable housing**,¹ and that have land use implications for transportation. These policies, plans and processes may use State planning funds, such as:

- SB 2 Planning Grants¹⁶
- Local Early Action Planning (LEAP) Grants¹⁷

¹⁶ <https://www.hcd.ca.gov/grants-funding/active-funding/planning-grants.shtml>

¹⁷ <https://www.hcd.ca.gov/grants-funding/active-funding/leap.shtml>

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- Sub-allocations to the local jurisdiction from a Regional Early Action Planning (REAP) Grant¹⁸

STEP's **Affordable Housing and Land Use Guidance** (linked in Appendix F) includes detailed information about how to address this component, including more examples, resources, and best practices.

INSTRUCTIONS <i>(Proposal Template PROPOSAL THRESHOLDS & CRITERIA tab)</i>	
7	Describe the relationship between the proposed project and the existing or potential uses of any other planning grants (including State planning grants) that are being administered or plan to be administered by the local jurisdiction with land use implications for transportation. If not applicable, explain why. <i>(Scoring Criterion)</i>

For questions about the above-listed planning grant programs, please contact EarlyActionPlanning@HCD.ca.gov.

¹⁸ <https://www.hcd.ca.gov/grants-funding/active-funding/reap.shtml>

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PROJECT-SPECIFIC THRESHOLDS AND CHARACTERISTICS

This section describes the proposal components in the Project-specific Thresholds and Criteria category. These components will help CARB understand the STEP Community, the overall proposal, and how the proposal aims to achieve objectives that intersect across the climate, transportation, equity, and housing sectors. Some components will be used to ensure eligibility thresholds identified in Appendix C, Section III are met. Some components will be scored during the proposal review process based on the quality of the component using the scoring criteria in Appendix D. Applicants must complete these proposal components using the Proposal Template in Appendix B.

I. PROJECT SCOPE

The proposal must include specific information about the plan for the project.

	INSTRUCTIONS (<i>Proposal Template PROJECT THRESHOLDS & CRITERIA tab</i>)
1	Describe the project’s scope and deliverables. Include information about all project elements as defined in Appendix E. Include what project details (if any) still need to be determined and how community residents will be involved in that process. (<i>Scoring Criterion</i>)

II. TRANSPORTATION EQUITY

The proposal should consider how the project will further transportation equity in the STEP Community. Considerations relevant to transportation equity may be specific to the STEP Community and may include, but not be limited to, the following:

- Access to key destinations (e.g., schools, grocery stores, workplaces, daycare facilities, community centers, medical facilities)
- Accessibility of transportation options (e.g., can people with different ability levels, people who don’t have credit cards or smartphones, or people who do not speak English use the transportation services)
- Affordability of transportation options
- Environmental sustainability (e.g., air quality)
- Reliability of services
- Safety of end users (e.g., traffic collision avoidance, impacts to diverse populations from the presence of law enforcement)

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INSTRUCTIONS <i>(Proposal Template PROJECT THRESHOLDS & CRITERIA tab)</i>	
2	Describe how the project considers the needs of different groups of residents within the STEP Community. In particular, describe how the project incorporates different facets of transportation equity (including accessibility to key destinations, accessibility of transportation options, affordability, environmental sustainability, reliability, and safety) as they are defined by community residents. <i>(Scoring Criterion)</i>

The proposal should identify a project that helps address community residents' transportation needs and maximizes direct, meaningful, and assured benefits to residents of disadvantaged and low-income communities.

CARB uses Benefit Criteria Tables¹⁹ (criteria tables) to determine if a project provides direct, meaningful, and assured benefits to residents of disadvantaged and low-income communities. While Applicants are not required to submit criteria tables as part of their STEP proposal, Applicants may use the criteria tables to better understand how CARB will track and report project benefits. However, Applicants are encouraged to include more details than the criteria tables identify about the specific benefits provided by the projects to disadvantaged community residents in the STEP Community.

For complex projects, there may be more than one applicable criteria table. Criteria tables that may be applicable to STEP proposals include, but are not limited to, Sustainable Transportation, Planning, and Job Training and Workforce Development.

INSTRUCTIONS <i>(Proposal Template PROJECT THRESHOLDS & CRITERIA tab)</i>	
3	Describe the direct, meaningful, and assured benefit(s) provided to residents of disadvantaged or low-income communities in the STEP Community. <i>(Scoring Criterion)</i>

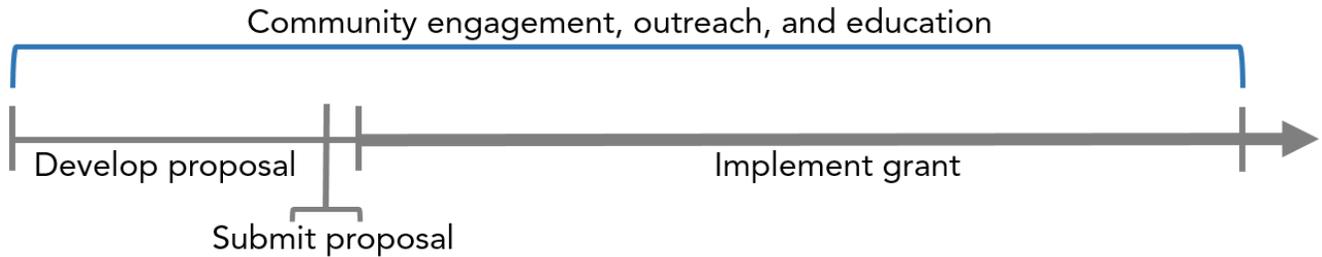
III. COMMUNITY INCLUSION

Applicants must directly engage community residents and key stakeholders, including but not limited to Community Partners, in all phases of the proposal's development and implementation to ensure the funded project provides direct, meaningful, and assured benefits to STEP Community residents, particularly those in disadvantaged and low-income communities. The figure below displays the timeline of the two components that are a part of community inclusion for the Planning and Capacity Building Grant: community engagement and outreach and education.

¹⁹ <https://www.arb.ca.gov/cc-resources>

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Figure 3: Community Inclusion Timeline



All aspects of community inclusion should be implemented with participation from a diverse group of community residents that represent the demographics of the STEP Community. Focus should be on engaging hard-to-reach residents, whose interests, due to social, economic, and institutional barriers, have historically been under-represented.

A. Community Engagement during Grant Implementation

For the proposed project, Applicants must use recommended **community engagement**¹ methods identified in STEP’s Community Inclusion Guidance (linked in Appendix F) to ensure that community residents have the opportunities and resources they need to actively participate in the decision-making process *during grant implementation* to inform project design and implementation. Applicants should follow community engagement best practices such as ensuring translation of meetings and materials, scheduling meetings at times and locations that are convenient to community residents, and including a process to report back to community residents on the information received during community engagement activities and how this information is being incorporated into project development and implementation. Focus should be on engaging hard-to-reach residents.

	INSTRUCTIONS (<i>Proposal Template PROJECT THRESHOLDS & CRITERIA tab</i>)
4	Describe the community engagement activities planned to ensure that community residents have the opportunities and resources to actively participate in the decision-making process during grant implementation. (<i>Scoring Criterion</i>)
5	Identify any hard-to-reach residents. (<i>Scoring Criterion</i>)
6	Describe how the planned community engagement activities focus on the hard-to-reach residents identified above. (<i>Scoring Criterion</i>)
7	Describe how the planned community engagement activities will be evaluated for success and updated accordingly. (<i>Scoring Criterion</i>)

STEP requires that, during implementation of STEP-funded projects, community engagement participants who are not already being paid for their participation (including Community Partners and other community residents, members of

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community groups and community-based organizations, community leaders, and members of environmental justice organizations) receive appropriate incentives for their time and expertise. See the Community Inclusion Guidance for more details on participant incentives.

B. Outreach and Education during Grant Implementation

For the proposed project, Applicants must use recommended **outreach**¹ and education methods identified in STEP’s Community Inclusion Guidance (linked in Appendix F) to ensure that community residents can actively participate in decision-making processes *during grant implementation*. Focus should be on engaging hard-to-reach residents.

INSTRUCTIONS <i>(Proposal Template PROJECT THRESHOLDS & CRITERIA tab)</i>	
8	Describe the outreach and education activities planned to ensure that community residents have knowledge that will help them actively participate in decision-making processes during the project. <i>(Scoring Criterion)</i>
9	Describe how the planned outreach and education activities focus on the hard-to-reach residents identified above. <i>(Scoring Criterion)</i>
10	Describe how the planned outreach and education activities will be evaluated for success and updated accordingly. <i>(Scoring Criterion)</i>

IV. DATA TRACKING AND REPORTING

CARB requires reporting on the benefits that result from funded projects such as community engagement and jobs supported.

Appendix H includes a list of the metrics funding recipients will be required to report to CARB. The complete set of metrics that funding recipients will be required to track and report will depend on the type of project funded in each proposal and will be finalized in consultation with the selected funding recipients during the grant agreement process.

INSTRUCTIONS <i>(Proposal Template PROJECT THRESHOLDS & CRITERIA tab)</i>	
11	Identify the Applicant(s) who will lead data tracking and reporting. <i>(Scoring Criterion)</i>
12	Describe the plan for tracking and collecting project-related data to report to CARB. <i>(Scoring Criterion)</i>

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V. CLIMATE ADAPTATION AND RESILIENCY

The proposal should plan to identify the specific direct and indirect impacts of climate change that the STEP Community will experience over the **project life**.¹ Where possible, the proposed project should help the community **adapt**¹ to identified direct and indirect climate impacts and build **community resilience**¹ in preparation for those impacts. Community engagement activities should engage residents on the impacts of climate change on the proposed project and the potential future climate benefits facilitated by the proposed project. STEP’s **Climate Adaptation and Resiliency Guidance** (linked in Appendix F) includes detailed information about how to address this component.

INSTRUCTIONS (<i>Proposal Template PROJECT THRESHOLDS & CRITERIA tab</i>)	
13	Describe how the proposed project will identify climate change risks and exposures within the STEP Community. If not applicable, explain why. (<i>Scoring Criterion</i>)
14	Describe how the project will help increase the community’s capacity to adapt to these impacts and contribute to community resilience. If not applicable, explain why. (<i>Scoring Criterion</i>)

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PROPOSAL IMPLEMENTATION PLAN

This section describes the budget and timeline that will be used to implement the proposal described in the sections above. Some components will be used to ensure eligibility thresholds identified in Appendix C, Section III are met. Some components will be scored during the proposal review process based on the quality of the component using the scoring criteria in Appendix D. Applicants must complete these proposal components using the Proposal Template in Appendix B.

I. PROPOSAL BUDGET

The proposal must include a budget that identifies all estimated labor, material, equipment, construction, installation, and administration costs associated with the proposal, including but not limited to:

- **Project Costs:** Requested funds and resource contributions for direct costs for all applicable elements of the identified project (see [Project Costs](#) below for more details).
- **Grant Implementation Costs:** Direct and indirect costs for administrative activities related to implementation of the grant (STEP contribution must account for no more than 20 percent of the value of requested funds, see [Grant Implementation Costs](#) below for more details).

The proposal budget must follow the format of the BUDGET tab in the Proposal Template (see Appendix B). Applicants should provide additional detail, as necessary, to show cost breakdown by task, subtask, and associated labor.

	INSTRUCTIONS (<i>Proposal Template BUDGET tab</i>)
1	Input all cost information and associated notes in the budget spreadsheet. (<i>Eligibility Threshold</i>)

	INSTRUCTIONS (<i>Proposal Template PROPOSAL IMPLEMENTATION PLAN tab</i>)
2	Confirm the total cost of the proposal (calculated based on inputs in the BUDGET tab). (<i>Eligibility Threshold</i>)
3	Confirm the total funds requested from STEP (calculated based on inputs in the BUDGET tab). If no resource contributions are included, this value should be the same as the total proposal budget. (<i>Eligibility Threshold</i>)

Labor rates are hourly rates that include direct labor and overhead and fringe benefits. Adjustments to labor rates that may occur over the grant term must be accounted for in the budget and explained in the Notes section of the BUDGET tab. Labor rates may not be increased at any time from those identified in the proposal.

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Similarly, any expectation of cost of living increases or increases in grant implementation costs due to inflation or other reasons needs to be included in the budget and explained in the Notes section of the BUDGET tab. Regardless of any proposed increase in costs due to cost of living, inflation, or other reasons, the total amount of funding for the proposal will not be changed once the grant agreement is executed unless, under CARB’s sole discretion, a grant amendment updates the grant agreement with additional funds and/or additional work.

If parts of the proposal have been or will be funded in whole or in part by other public incentive programs (e.g., other California Climate Investments programs, SB 1 programs) that are still under contractual obligations, their incentive program status must be clearly identified in the Notes section of the BUDGET tab. Applicants must also disclose information about other State grant programs (e.g., Clean Mobility Options Voucher Pilot, Active Transportation Program) they are currently applying for to fund the same project or project elements in the Notes section of the BUDGET tab.

A. Project Costs

Project costs include funds to directly implement any proposed STEP-eligible project, including but not limited to costs for labor, operations, community engagement, outreach, planning, and capacity building.

B. Grant Implementation Costs

Grant implementation costs include labor expenses and other costs for administrative activities related to implementation of the grant after the grant agreement has been executed. Grant implementation costs may be direct or indirect. The combination of direct and indirect grant implementation costs contributed by STEP may not exceed 20 percent of the total requested funds. CARB has the sole discretion to modify this maximum percent during grant agreement development.

	INSTRUCTIONS <i>(Proposal Template PROPOSAL IMPLEMENTATION PLAN tab)</i>
4	Confirm the total grant implementation funds requested (must be no more than 20 percent of the total requested funds, calculated based on inputs in the BUDGET tab). <i>(Eligibility Threshold)</i>

The final disbursement will be 10 percent of the total grant implementation costs covered by STEP or \$5,000 (whichever amount is greater) and will be withheld until the Grantee has delivered the Final Report. One percent of the total grant implementation costs covered by STEP will be withheld after 90 percent of the grant has been liquidated.

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Direct Grant Implementation Costs

The proposal may include a request for funds to cover direct costs associated with administrative activities related to implementation of the grant. **Direct grant implementation costs**¹ covered by the Applicants are also eligible resource contributions.

Examples of direct grant implementation costs include, but are not limited to:

- Submitting invoices and supporting documents
- Participating in meetings with CARB and other project partners
- Collecting, organizing, and reviewing data
- Drafting regular reports for CARB to track implementation of proposal
- Participating in CARB events and networks to share information about grant implementation with other jurisdictions

As part of the direct grant implementation costs, at least 2 percent of the total proposal budget must fund data tracking and reporting (see [Data Tracking and Reporting](#)).

	INSTRUCTIONS <i>(Proposal Template PROPOSAL IMPLEMENTATION PLAN tab)</i>
5	Identify the total funds set aside for data tracking and reporting (must be at least 2 percent of the total proposal budget). <i>(Eligibility Threshold)</i>

Indirect Grant Implementation Costs

The proposal may include a request for funds to cover indirect costs associated with administrative activities related to implementation of the grant. **Indirect grant implementation costs**¹ may not exceed 5 percent of the total requested funds. Indirect grant implementation costs covered by the Applicants are not eligible to be counted as resource contributions.

Examples of indirect grant implementation costs include, but are not limited to:

- General administrative expenses
- Rent and office space
- Phones and telephone services
- Printing

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INSTRUCTIONS <i>(Proposal Template PROPOSAL IMPLEMENTATION PLAN tab)</i>	
6	Confirm the total funds requested to cover indirect grant implementation costs (must be no more than 5 percent of the total requested funds, calculated based on inputs in the BUDGET tab). <i>(Eligibility Threshold)</i>

C. Resource Contribution

No resource contributions are required for the Planning and Capacity Building Grant. However, if supplied, resource contributions may be used to cover project costs or direct grant implementation costs. Resource contributions may include cash, in-kind services, or leveraged funding from other public or private sources including other California Climate Investments programs.

If any resource contributions will be provided to fund the proposal, these contributions must be identified and documented in as much detail as possible. The minimum dollar value and source of each resource contribution must be identified in the proposed budget and documented in attachments. If applicable, this documentation may be included in the letters of support from Lead Applicants and Sub-applicants (see [Eligible Applicants](#)). CARB may choose not to consider resource contributions with documentation that does not include specific dollar amounts. Documentation must show that each resource contribution has already been committed to the project or that each resource contribution will be available by the time it is needed during grant implementation.

Resource contributions identified and documented in the proposal will be included in the grant agreement for selected funding recipients. Grantees will be required to fulfill these identified resource contribution commitments.

Appendix G includes a list of eligible resource contributions and examples of eligible documentation for each resource contribution.

INSTRUCTIONS <i>(Attachments)</i>	
7	If applicable, provide documentation to verify each resource contribution identified and that each resource contribution will be available by the time it is needed. <i>(Eligibility Threshold)</i>

II. PROPOSAL TIMELINE

The timeline must follow the format of the TIMELINE tab in the Proposal Template (see Appendix B). Tasks must be linked to specific deliverables detailed in each project's scope.

All Applicants must participate in the development of the timeline and agree to be

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bound by it for the duration of the grant term.

INSTRUCTIONS (<i>TIMELINE tab</i>)	
8	<p>At a high level, outline all of the tasks needed to complete the project in chronological order, organized by disbursement schedule, including:</p> <ul style="list-style-type: none"> • A description of each task (tasks and task numbers should match the tasks and task numbers identified in the <i>BUDGET tab</i>) • The start date and completion date of each task • The roles of each relevant Applicant in completing each task • Any deliverables associated with each task <p><i>(Eligibility Threshold and Scoring Criterion)</i></p>

PROPOSAL DEVELOPMENT, SUBMISSION, REVIEW, AND SELECTION

I. TECHNICAL ASSISTANCE FOR APPLICANTS AND RECIPIENTS

Should SGC's technical assistance contract with Estolano Advisors be approved by the State Department of General Services, technical assistance will be available to support all STEP Applicants and recipients. Estolano Advisors is the contractor that may provide technical assistance to all STEP Applicants and recipients.

INSTRUCTIONS
<p>Provide your information in the following survey by 5:00 pm (Pacific Time) on July 15, 2020 to access technical assistance services should they become available: https://docs.google.com/forms/d/e/1FAIpQLSeZn9n-7gGU7ScAkaBjllPwReXRpkH6ohWUKut8DG4BzUN2tw/viewform</p>

The technical assistance contractor may provide Applicants with support on the following:

- Helping Applicants determine whether to apply for a Planning and Capacity Building Grant or an Implementation Grant
- Mapping of the STEP Community

The technical assistance contractor will also support all Planning and Capacity Building Grant recipients by providing information about relevant upcoming grant opportunities relevant to their STEP-funded projects.

II. APPLICANT TELECONFERENCES

CARB will hold three Applicant Teleconferences for the STEP Planning and Capacity Building Grant, at which time CARB staff will be available to answer potential Applicants' questions regarding eligibility thresholds, proposal components, solicitation process, and anything else related to the current STEP solicitation. The first and last teleconferences will be open to Applicants of both the STEP Planning and Capacity Building Grant and the STEP Implementation Grant. The Applicant Teleconferences will take place on the following dates and times:²⁰

First STEP Applicant Teleconference

Date: June 30, 2020

Time: 3:00 pm

Call-in Number: +1 (415) 655-0060

Passcode: 859-765-307

²⁰ Call-in numbers and passcodes may change. Should a change occur, the new call-in number and passcode will be listed on the CARB website at: <http://www.arb.ca.gov/msprog/aqip/solicitations.htm>. Potential Applicants are encouraged to confirm the call-in number and passcode by visiting the listed website prior to each teleconference.

Webinar registration:

<https://attendee.gotowebinar.com/register/3438438249644849933>

STEP Planning and Capacity Building Grant Applicant Teleconference

Date: July 22, 2020

Time: 10:00 am

Call-in Number: +1 (631) 992-3221

Passcode: 236-363-397

Webinar registration:

<https://attendee.gotowebinar.com/register/6139653545578850573>

Final STEP Applicant Teleconference

Date: August 13, 2020

Time: 3:00 pm

Call-in Number: +1 (562) 247-8422

Passcode: 256-596-403

Webinar registration:

<https://attendee.gotowebinar.com/register/1793756870980326669>

The Applicant Teleconferences will be open to all interested entities. Written questions submitted before each Applicant Teleconference will be given priority. Questions may be emailed to Bree Swenson at step@arb.ca.gov up to four business days prior to each Applicant Teleconference. Staff will only respond to questions regarding the STEP solicitation during the Applicant Teleconferences.

The questions and answers from the Applicant Teleconferences and any questions received via email will be posted on the CARB website no later than 5:00 pm (Pacific Time) three business days after the teleconference. This date may be extended at CARB's sole discretion.

CARB will not answer questions regarding this solicitation before, between, or after the Applicant Teleconferences. Any verbal communication with a CARB employee concerning this solicitation is not binding on the State and shall in no way alter a specification, term, or condition of the solicitation.

III. PROPOSAL SUBMISSION

All information and data submitted as a response to this solicitation are property of CARB and will become public record. If no qualified proposal is submitted, CARB will not award a grant and will consider other options for using STEP funds at CARB's sole discretion.

Proposals may be submitted electronically via email, by mail via postal service, or via in-person delivery.

A. Electronic Submission

If submitting electronically, CARB must receive one zipped and signed proposal, including all of the required components, no later than **5:00 pm (Pacific Time) on August 31, 2020** to step@arb.ca.gov. If the proposal is too large to send in one email, Applicants may submit different parts of the proposal in multiple emails. Please include information in the body of the email about the number of emails that contain parts of the proposal that CARB should receive, so staff can confirm that CARB has received all parts of the proposal.

Proposals submitted via email must be sent to:

Bree Swenson
California Air Resources Board
Sustainable Transportation and Communities Division
step@arb.ca.gov

CARB will send a confirmation email to the Applicant within 24 hours of receiving the electronic version of the proposal. Proposals received after 5:00 pm (Pacific Time) on August 31, 2020 may be rejected and not scored.

B. Mail or In-person Submission

If submitting by mail or in person, CARB must receive one signed original of, four copies of, and one flash drive with the proposal, including all of the required components, no later than **5:00 pm (Pacific Time) on August 31, 2020** at the California Air Resources Board headquarters at 1001 I Street, Sacramento, California 95814. Proposals submitted via U.S. Postal Service, United Parcel Service (UPS), Express Mail, Federal Express, or another delivery service provider must be dispatched with enough time so that CARB receives them no later than **5:00 pm (Pacific Time) on August 31, 2020** (delivery service provider's tracking number may be used to verify date of receipt).

Proposals submitted via the U.S. Postal Service must be mailed to the following address:

Bree Swenson
California Air Resources Board
Sustainable Transportation and Communities Division – Mailstop 6B
P.O. Box 2815
Sacramento, California 95812-2815

Proposals submitted via another delivery service or in person must be delivered to the following address:

Bree Swenson
California Air Resources Board
Sustainable Transportation and Communities Division – Mailstop 6B
1001 I Street

Sacramento, California 95814

Once the proposal has been mailed or delivered in person, send an email to step@arb.ca.gov indicating that you have submitted a proposal. CARB will send a confirmation email to the Applicant within 24 hours of receiving the hard-copy of the proposal. Proposals received after 5:00 pm (Pacific Time) on August 31, 2020 may be rejected and not scored.

IV. PROPOSAL REVIEW AND SELECTION

A. Review Process

The submitted proposal must include all proposal components.

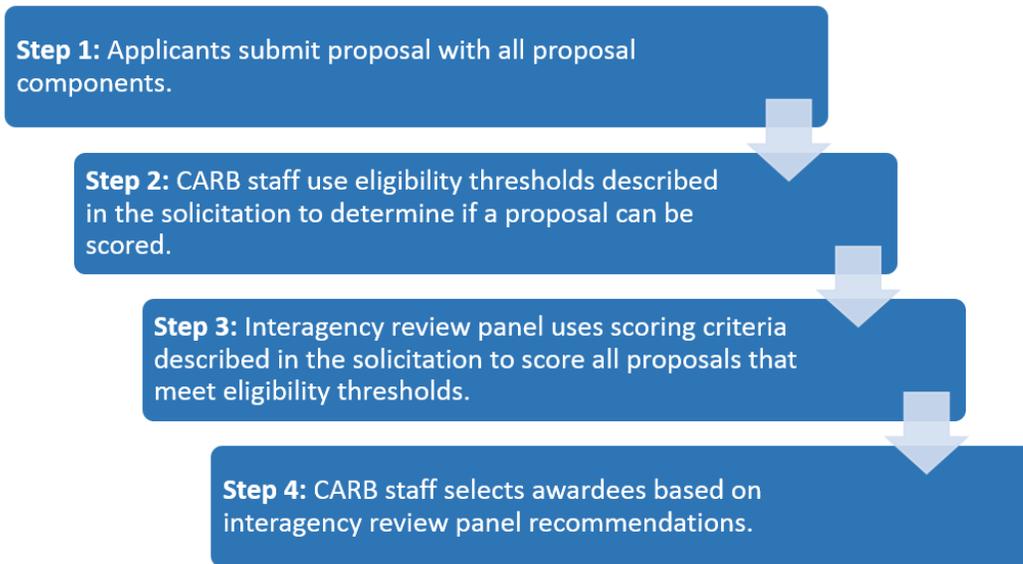
See **Appendix C, Section II** for a checklist that includes all proposal components. Applicants must use this checklist to ensure that all proposal components are included prior to submitting the proposal and submit a completed and signed checklist as part of the proposal cover page (see [Proposal Instructions](#) section).

CARB staff will evaluate all proposals that are submitted on time using the eligibility thresholds in Appendix C to ensure proposals meet basic eligibility requirements. If a proposal does not meet all eligibility thresholds, the Lead Applicant will be notified by CARB within four business days after the solicitation deadline and will have two business days to submit proof that missing eligibility thresholds have been met. Updates to eligibility thresholds during this time should not result in substantial changes to proposals. Eligibility thresholds will be evaluated at CARB's sole discretion. After that deadline, proposals that do not meet all eligibility thresholds will not proceed to the next step of the review process.

See **Appendix C, Section III** for a checklist that includes all eligibility thresholds that CARB staff will use to determine if a proposal will be scored. Applicants must use this checklist to ensure that all eligibility thresholds are met prior to submitting the proposal.

If a proposal meets all eligibility thresholds, an interagency review panel made up of CARB staff and other State agency staff will evaluate the proposal using the Scoring Criteria in Appendix D. Each proposal that is scored will receive a single score out of 100 points.

See **Appendix D** for a list of scoring criteria organized by proposal component.

Figure 4: Proposal Review Process

CARB may request clarification regarding proposal responses during the proposal review process. Clarifying questions will not be considered changes to the proposal for scoring purposes, but will be considered part of the proposal and will be included in the grant agreement if the proposal is selected for funding.

Applicants may be eligible to receive extra points for their proposal during the scoring process for meeting or addressing certain criteria. These extra points are intended to enable Applicants and communities with less capacity or experience with State grant programs to compete in the scoring process. Extra points will be assigned to:

- Proposals in which the Lead Applicant is a community-based organization or a federally recognized tribe
- Proposals for projects in rural²¹ communities

B. Selection Process

The Lead Applicant that submits the proposal with the highest overall score will be preliminarily selected as the Grantee. The preliminary selection of a proposal does not in any way commit CARB to approving or finalizing the grant. The selected funding recipient will be required to sign a grant agreement with CARB to fulfill the duties of the Grantee (see Appendix I).

CARB, in its sole discretion, may cancel the preliminary selection and select the next highest scoring project, and so on, until an agreement is reached, or exercise its right, in its sole discretion, through this process to not award a grant. CARB reserves the right, in its sole discretion, to cancel this solicitation, re-solicit for a Grantee, or direct

²¹ For the purposes of STEP, rural communities are the communities that are not in urbanized areas, as defined by the 2010 census (<https://www.census.gov/programs-surveys/geography/guidance/geo-areas/urban-rural/2010-urban-rural.html>) OR communities that are not served by a metropolitan planning organization.

funding to another project in the Funding Plan.

In the event funding has been awarded to the highest scoring proposal and there are remaining funds available, CARB may preliminarily select the Lead Applicant from the proposal with the second highest overall score as another Grantee, and so on. In the event funding has been awarded to the highest scoring proposals and the remaining available funds are less than the amount requested in the next highest scoring proposal, CARB, in its sole discretion, may offer to fund a portion of the next highest scoring proposal, carry the remaining funds forward to the next fiscal year, or direct funding to another project in the Funding Plan.

CARB retains the right to remove discrete elements of proposals selected for funding that CARB determines to be ineligible or to reduce the scope of a proposal to use any remaining funds.

If, in CARB's sole discretion, no submitted proposal meets the goals of this solicitation, the Funding Plan, or AQIP Guidelines, no selection of a Grantee is required to be made and funding can be directed to another project identified in the Funding Plan as needed.

V. SOLICITATION DEBRIEF

Once Applicants have been selected for funding and CARB announces the awards, the Applicants that were not selected for funding have thirty days to submit a written request to step@arb.ca.gov for a debrief meeting with CARB. The debrief will include a review of the strong and weak aspects of the proposal and recommendations for how to improve the proposal for potential use in future solicitations. The debrief opportunity will be offered to Lead Applicants, Sub-applicants, and any other project partners interested in participating.

IMPLEMENTATION PROCESS

After funding recipients are preliminarily selected, each selected funding recipient must work with CARB to develop a grant agreement.

I. SCOPE OF WORK

The draft scope of work, which outlines the selected Grantee's duties and requirements, is in the Draft Sample Grant Agreement (Appendix I). Applicants must consider these duties and requirements when developing their proposal, especially the proposal timeline and budget. This scope of work will be modified in coordination with the selected funding recipient during grant agreement development and included in the grant agreement that must be executed by May 14, 2021.

II. REQUIREMENTS PRIOR TO EXECUTION OF GRANT AGREEMENT

Once selected, and prior to execution of the grant agreement, the selected funding recipient will be required to submit a resolution of its governing board that commits the entity to:

- Comply with the requirements of the grant agreement
- Accept grant funds from CARB
- Allocate and authorize any resource contribution that the entity has committed as part of the proposal

CARB recommends the resolution allow for grant amendments without governing board approval.

In addition to the resolution, both CARB and the selected funding recipient must sign the grant agreement to execute it. The selected funding recipient will be required to sign the grant agreement with CARB to fulfill the administrative and technical duties associated with the project (see Appendix I, Draft Sample Grant Agreement). An executed grant agreement must be in place before work on the selected projects may begin.

Signed grant agreements and approved governing board resolutions must be returned to CARB no later than May 14, 2021. If grant agreements and approved governing board resolutions are not returned by the deadline, CARB, in its sole discretion, may deny the proposal and redirect funds to another submitted proposal to this solicitation or to another project in the Funding Plan, as needed.

CARB, in its sole discretion, may make changes to the proposed project milestones, work plan, or disbursement schedules in consultation with the Applicant, for inclusion in the grant agreement.

III. GRANT AND BUDGET REVISIONS

Changes in the project budget, deliverables, or extension of the project schedule should be avoided where possible. CARB will work with the Grantee to determine where flexibility is possible within the grant agreement to allow for community engagement to continue informing project design throughout grant implementation and will assist the Grantee with formal amendments where needed.

In cases where changes may be allowed, they must be approved in advance and in writing by CARB and may require a grant amendment. Once a grant agreement is in place, changes to the work to be done or other project scope changes may be considered by CARB, if necessary, in consultation with the Grantee.

IV. ADVANCE PAY

Consistent with the Legislature's direction to expeditiously disburse grants, CARB, in its sole discretion, may provide advance payments of grant awards to support project initiation and implementation, with a focus on mitigating the constraints of modest reserves and potential cash flow problems. Additional information on advance pay is in the Draft Sample Grant Agreement (Appendix I).

ADMINISTRATION

I. COST OF DEVELOPING PROPOSAL

The Applicant is responsible for the cost of developing a proposal, and this cost cannot be charged to the State. In addition, CARB is not liable for any costs incurred during environmental review or as a result of withdrawing a proposed award or of canceling the solicitation.

II. ERRORS

If an Applicant discovers any ambiguity, conflict, discrepancy, omission, or other error in the solicitation, the Applicant shall immediately notify CARB of such error in writing and request modification or clarification of the document before the Proposal Submittal Deadline. CARB shall not be responsible for failure to correct errors.

III. IMMATERIAL DEFECT

CARB may waive any immaterial defect or deviation contained in an Applicant's proposal. CARB's waiver shall in no way modify the proposal or excuse the successful Applicant from full compliance.

IV. DISPOSITION OF APPLICANT'S DOCUMENTS

On the date that the grant agreement is signed, all proposals and related material submitted in response to this solicitation become a part of the property of the State and public record.

V. APPLICANT'S ADMONISHMENT

This solicitation contains the instructions governing the requirements for funding proposals to be submitted by interested Applicants, including the format in which the information is to be submitted, the material to be included, the requirements that must be met to be eligible for consideration, and Applicant responsibilities. Applicants must carefully read the entire solicitation, ask appropriate questions in a timely manner, submit all required responses in a complete manner by the required date and time, and make sure that all procedures and requirements of the solicitation are followed and appropriately addressed.

VI. AGREEMENT REQUIREMENTS

The content of this solicitation and each grant recipient's proposal shall be incorporated by reference into the final grant agreement. See the Draft Sample Grant Agreement (Appendix I) terms and conditions included in this solicitation.

VII. CARB RESERVES THE RIGHT TO NEGOTIATE WITH APPLICANTS

CARB reserves the right to negotiate with Applicants to modify the project scope, the level of funding, or both. If CARB is unable to successfully negotiate and execute a

grant agreement with an Applicant, CARB, at its sole discretion, reserves the right to withdraw the pending award and fund the next highest ranked eligible project. This does not limit CARB's ability to withdraw a proposed award for other reasons, including for no cause.

VIII. NO AGREEMENT UNTIL SIGNED

No agreement between CARB and the successful Applicant is in effect until the agreement is signed by the grant recipient and by the authorized CARB representative. Costs are only subject to reimbursement by CARB after execution. No costs incurred prior to execution of the agreement are reimbursable using CARB funds.

IX. NO MODIFICATIONS TO THE GENERAL PROVISIONS

Because time is of the essence, if an Applicant at any time, including after preliminary selection, attempts to negotiate or otherwise seek modification to the General Conditions (attached as Appendix I, Draft Sample Grant Agreement), CARB may reject a proposal or withdraw a proposed award. This does not alter or limit CARB's ability to withdraw a proposed award for other reasons, including for failure of a third party agency to complete CEQA review or for no cause.

X. PAYMENT OF PREVAILING WAGES

All Applicants must read and pay particular attention to Appendix I, Draft Sample Grant Agreement Section 10.17 entitled "Prevailing wages and labor compliance." Prevailing wage rates can be significantly higher than non-prevailing wage rates.

Failure to pay legally-required prevailing wage rates can result in substantial damages and financial penalties, disruption of projects, and other complications including termination of the grant agreement.

XI. SOLICITATION CANCELLATION AND AMENDMENTS

CARB reserves the right to do any of the following:

- Cancel this solicitation
- Revise the amount of funds available under this solicitation
- Amend this solicitation as needed
- Reject any or all proposals received in response to this solicitation

Appendix A: Acronyms and Definitions

I. ACRONYMS

Acronym	Term
AB	Assembly Bill
CARB	California Air Resources Board
FY	Fiscal Year
GHG	Greenhouse Gas
MOU	Memorandum of Understanding
SB	Senate Bill
STEP	Sustainable Transportation Equity Project

II. DEFINITIONS

The terms below are defined for the purposes of the STEP solicitation.

Adaptation: The adjustment in natural or human systems to a new or changing environment. Adaptation to climate change refers to adjustment in natural or human systems in response to actual or expected changes in climatic stimuli or their effects, which moderates harm or exploits beneficial opportunities.¹

Affordable Housing: Housing with costs of not more than 30 percent of the gross income of low-income households.²

Applicants: Includes both the Lead Applicant and Sub-applicants. Applicants include all of the entities responsible for implementing the proposal.

Community-based Organizations: A nonprofit organization that is place-based, with an explicit geographic focus area that includes the STEP Community. The organization's staff members, volunteers, or board members should reside in the community where the project is located. The organization must have a demonstrated record of at least one full year providing transportation- or equity-related services in the STEP Community. To qualify as a Lead Applicant, a community-based organization must have tax-exempt status with the Internal Revenue Service under Internal Revenue Code Section 501, be tax exempt under California State law, have at least one year of incorporation prior to proposal submittal, and be based in California or have at least one full-time staff person based in California.

¹ <https://resources.ca.gov/CNRALegacyFiles/docs/climate/safeguarding/update2018/safeguarding-california-plan-2018-update.pdf>

² <https://www.hcd.ca.gov/grants-funding/income-limits/state-and-federal-income-limits/docs/Income-Limits-2020.pdf>

Community Engagement: The process of working collaboratively with a diverse group of stakeholders to address issues that affect their well-being. Community engagement involves multi-directional information sharing; building relationships, partnerships, and trust; and involving stakeholders in planning and decision-making with the goal of improving the outcomes of policies and programs. Community engagement starts in the project identification and design phase and continues throughout project implementation and operation. Community engagement should be iterative, consistently engaging residents on their use of the projects and services offered and adapting these projects and services based on community feedback.

Community Partner: A community group, community resident, health-based organization, small business, or other entity in the community that, while not responsible for implementing projects funded through STEP like Lead Applicants and Sub-applicants are, serves as a key stakeholder and representative of the STEP Community. Community Partners should have contributed to the development of the STEP proposal and should continue to participate in decision-making on all aspects of the STEP proposal throughout grant implementation.

Community Resilience: The ability of a community to mitigate harm and maintain an acceptable quality of life in the face of climate-induced stresses, which take different forms depending on that community's circumstances and location. Climate-induced stresses include direct and indirect impacts of climate change. An example of a direct impact of climate change is a higher number of extreme heat days. An example of an indirect impact is the increased cost of fire insurance for homes built in high-wildfire risk areas. Community resilience can include but is not limited to the physical and psychological health of the population, social and economic equity and well-being of the community, effective risk communication, integration of organizations (governmental and nongovernmental) in planning, response, and recovery, and social connectedness for resource exchange, cohesion, response, and recovery.¹

Disadvantaged Communities: Areas that are disproportionately affected by multiple types of pollution and areas with vulnerable populations, identified as disadvantaged by the California Environmental Protection Agency per SB 535. These census tracts include the top 25 percent in CalEnviroScreen 3.0³ along with other areas with high amounts of pollution and low populations.⁴

Direct Grant Implementation Costs: Direct costs associated with administrative activities related to implementation of the grant. Direct grant implementation costs may be covered by STEP funds or resource contributions.

Elements: Parts of the project that Applicants want STEP to fund. Identified by Applicants as a result of a community engagement process.

³ <https://oehha.ca.gov/calenviroscreen/report/calenviroscreen-30>

⁴ <https://oehha.ca.gov/calenviroscreen/sb535>

Eligibility Thresholds: The basic eligibility requirements that must be met for a proposal to be scored.

Federally Recognized Tribes: Federal recognition refers to acknowledgement by the federal government that a tribal government and tribal members constitute a tribe with a government-to-government relationship with the United States and acknowledgement of eligibility for the programs, services, and other relationships established for the United States for Indians, because of their status as Indians. Federally recognized tribes have the power to make and enforce laws on their lands and create governmental entities such as tribal courts. (25 U.S.C., § 83.2)⁵

Grant Term: The time period defined by the Applicant in which all STEP funds must be expended and all project activities must be completed. The grant term may differ based on the grant or project type.

Hard-to-reach Residents: Residents whose interests, due to social, economic, and institutional barriers, have historically been under-represented.

Indirect Grant Implementation Costs: Costs associated with administrative activities that are not tied directly or solely to the project (must account for no more than 5 percent of the value of the funds requested from STEP). Identified indirect grant implementation costs are not eligible resource contributions.

Lead Applicant: The entity that is responsible for leading the development of the proposal and implementation of the project funded through STEP. The Lead Applicant should be the organization most focused on and connected to the STEP Community and will enter into a partnership with other entities for the purpose of applying for a STEP grant. The Lead Applicant will be the Grantee in the grant agreement with CARB.

Local Governments: Any non-State public agency, including but not limited to cities, counties, councils of governments, air districts, transit agencies, school districts, and joint powers authorities.

Low-income Communities: Census tracts with median household incomes at or below 80 percent of the statewide median income or with median household incomes at or below the threshold designated as low-income by the Department of Housing and Community Development's list of State income limits adopted pursuant to Section 50093 of the California Health and Safety Code. Identified as low-income per AB 1550.⁶

⁵ <https://www.ncsl.org/research/state-tribal-institute/list-of-federal-and-state-recognized-tribes.aspx>

⁶ <https://ww3.arb.ca.gov/cc/capandtrade/auctionproceeds/communityinvestments.htm>

Low-income Household: Households identified as low-income per AB 1550.⁷

Outreach: Occurs during project implementation to ensure that community residents have knowledge that will help them actively participate in decision-making processes.

Partnership Structure: A framework between the Lead Applicant, Sub-applicants, and Community Partners that outlines the roles and responsibilities of each of the entities contributing to the proposal. The Partnership Structure will guide implementation of the entire STEP grant.

Projects: Planning and capacity building projects that Applicants want STEP to fund. Identified by Applicants as a result of a community engagement process.

Project Life: Defined by the Applicant based on project type.

Proposal: The collection of projects and supporting activities that make up the full STEP investment in a single community. A proposal must be submitted for either a Planning and Capacity Building Grant or an Implementation Grant. One proposal may not be used to apply for both grant types, though an Applicant may submit separate proposals to apply for both grant types.

Proposal Components: All items that must be submitted to CARB as part of the proposal in order for the proposal to be scored.

Public Schools: California Department of Education's definition of a public school.⁸

Resiliency: The capacity of any entity – an individual, a community, an organization, or a natural system – to prepare for disruptions, to recover from shocks and stresses, and to adapt and grow from a disruptive experience.¹

Resource Contributions: Assets contributed to funded projects to support their quality, breadth, and longevity throughout their lifetimes. Resource contributions may include cash, in-kind services, and leveraged funding from other public or private sources including other California Climate Investments programs. While resource contributions do not need to be monetary (i.e. cash match), Applicants are required to estimate the monetary value of all resource contributions. For resource contribution eligibility requirements, see Appendix G.

Scoring Criteria: The criteria used by the interagency review panel to score STEP proposals after determining that they meet all eligibility thresholds.

⁷ <https://ww3.arb.ca.gov/cc/capandtrade/auctionproceeds/communityinvestments.htm>

⁸ <https://www.cde.ca.gov/ds/si/ds/dos.asp>

Small Business: Defined by the Department of General Services as a for-profit business that is independently owned, is not dominant in its field of operation, and meets specific employee size and/or revenue requirements.⁹

STEP Community: The community (defined by the Applicants and community residents during proposal development) that is the focus of and will benefit from the proposed project. The STEP Community must be represented by a contiguous¹⁰ geographic boundary and contain residents that all use the same community-defined transportation system.

Sub-applicant: An entity that enters into a Partnership Structure with the Lead Applicant for the purpose of applying for a STEP grant and that is responsible for implementing project or project elements funded through STEP. Should the Lead Applicant's proposal be selected for funding, the Sub-applicants will be Subgrantees in the grant agreement with CARB.

Transportation Equity: When a community's transportation system provides accessible, affordable, environmentally sustainable, reliable, and safe transportation options to all residents, in particular those that have been disproportionately impacted by pollution or lack access to services. Transportation equity is intrinsically linked to access to economic opportunities and occurs when community residents have the power to make decisions about their transportation systems.

Tribal Governments: All California Native American Tribes. Either a federally recognized California tribal government listed on the most recent notice of the Federal Register or a non-federally recognized California tribal government, including those listed on the California Tribal Consultation List maintained by the California Native American Heritage Commission.¹¹

Vision: The Applicant and community-defined description of how the STEP proposal will meet STEP's objectives and address the community's needs.

⁹ <https://www.dgs.ca.gov/PD/Services/Page-Content/Procurement-Division-Services-List-Folder/Certify-or-Re-apply-as-Small-Business-Disabled-Veteran-Business-Enterprise>

¹⁰ Next to or touching

¹¹ <http://nahc.ca.gov/>

STEP Planning and Capacity Building Grant Proposal Template

INSTRUCTIONS tab

INSTRUCTIONS:	This proposal template should be used in conjunction with the STEP Planning and Capacity Building Grant Solicitation. The solicitation document outlines in detail the requirements and criteria for a STEP Planning and Capacity Building Grant proposal and the instructions that Applicants should follow to fill out each tab of this proposal template. The solicitation document can be found here: http://www.arb.ca.gov/msprog/aqip/solicitations.htm
TECHNICAL ASSISTANCE:	If you need help while developing your proposal, fill out the survey in the link below by 5:00 pm (Pacific Time) July 1, 2020. https://docs.google.com/forms/d/e/1FAIpQLSeZn9n-7qGU7ScAkaBillPwReXRpkH6ohWUKut8DG4BzUN2tw/viewform
TIPS:	When developing your answers to the questions in this template, type them into a Word document first. Copy + paste them into this Excel spreadsheet when they are final and ready to submit to CARB.
	Fill out all applicable white boxes. Blue boxes contain instructions. Gray boxes populate automatically based on your inputs in the white boxes.
	You may include attachments in response to any of the questions in this template. While CARB appreciates succinct responses, there may be situations where your responses need to be longer than the template allows or where your responses require formatting that is not supported by this template. Please include the file name of any attachments submitted in the relevant "Responses" box of the proposal template.

INSTRUCTIONS		
1	AFTER THE PROPOSAL IS COMPLETE Complete, sign, and date the cover page of the proposal (see Appendix C, Section I). Write the file name in the box to the right.	<i>[File name]</i>
2	AFTER THE PROPOSAL IS COMPLETE Complete the Proposal Components and Eligibility Thresholds checklists (see Appendix C, Sections II and III) to ensure that all proposal components (sections of the proposal template and attachments) have been included and all eligibility thresholds have been met before submitting to CARB. If you answer "No" to any of the items in the checklist, go back and complete those items before submitting the proposal to CARB. Submit the final completed checklist to CARB with the rest of the proposal. Write the file name in the box to the right.	<i>[File name]</i>

STEP Planning and Capacity Building Grant Proposal Template
GRANT FRAMEWORK tab

Proposal name	<i>[Enter the name of your proposal]</i>
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INSTRUCTIONS	RESPONSES
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VISION	
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1	Describe the vision for the STEP Community.	
2	Describe how residents and other key stakeholders were involved in the development of the vision statement identified above.	

PROJECTS	
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3	Project name	
4	Describe how residents and other key stakeholders were involved in the identification of this project.	
5	Provide a summary of the proposal that includes a brief description of the proposed STEP-funded project. Summaries from all Applicants will be posted publicly on CARB's website.	

STEP Planning and Capacity Building Grant Proposal Template
APPLICANTS tab

APPLICANTS	1	1	2	3	4	9	10
	Name of entity	Type of entity	Roles and responsibilities	Letter of support (attachment)	Statement of qualifications	Organizational readiness to conduct equity work	Conflict of interest declaration
Lead Applicant				<i>[file name]</i>			
	5	5	6	7	8	9	10
	Name of entity	Type of entity	Roles and responsibilities	Letter of support (attachment)	Statement of qualifications	Organizational readiness to conduct equity work	Conflict of interest declaration
Sub-applicant #1				<i>[file name]</i>			
Sub-applicant #2				<i>[file name]</i>			
Sub-applicant #3				<i>[file name]</i>			
Sub-applicant #4				<i>[file name]</i>			
Sub-applicant #5				<i>[file name]</i>			
Sub-applicant #6				<i>[file name]</i>			
Sub-applicant #7				<i>[file name]</i>			
Sub-applicant #8				<i>[file name]</i>			

COMMUNITY PARTNERS	11	11	12	13
	Name of entity	Type of entity	Roles and responsibilities	Letter of support (attachment)
Community Partner #1				<i>[file name]</i>
Community Partner #2				<i>[file name]</i>
Community Partner #3				<i>[file name]</i>
Community Partner #4				<i>[file name]</i>
Community Partner #5				<i>[file name]</i>
Community Partner #6				<i>[file name]</i>
Community Partner #7				<i>[file name]</i>
Community Partner #8				<i>[file name]</i>
Community Partner #9				<i>[file name]</i>
Community Partner #10				<i>[file name]</i>

STEP Planning and Capacity Building Grant Proposal Template
PARTNERSHIP STRUCTURE tab

INSTRUCTIONS		RESPONSES
ROLES AND RESPONSIBILITIES		
14	Describe how the Lead Applicant's and Sub-applicants' roles and responsibilities (identified in the APPLICANTS tab) complement each other.	
GOVERNANCE AND DECISION-MAKING		
15	Describe the governance and decision-making structure of the partnership. Include the process for handling disputes and the process for changing, adding, or removing partners.	
16	Describe how the governance and decision-making structure centers the voices of Community Partners and other community residents.	
17	Describe the role of online or in-person public meetings in the governance and decision-making structure. Include the frequency of meetings, the minimum number of public meetings that will be held, and how meeting agendas and notes will be posted for public access.	
18	Describe how Applicants will report back to and seek feedback from the community about how input is being incorporated into project development and implementation.	
LEGAL STRUCTURE		
19	Describe the legal structure of the partnership. Include who is contracting with whom and confirmation that the Lead Applicant will assume liability for the proposed project if selected.	
FINANCIAL STRUCTURE		
20	Describe the financial structure of the partnership. Include the process the Lead Applicant will use to pay Sub-applicants and Community Partners and the subcontractor procurement process, if applicable.	
EQUITY		
21	Describe how the Partnership Structure accounts for potential inequities between partners.	

STEP Planning and Capacity Building Grant Proposal Template
PROPOSAL THRESHOLDS & CRITERIA tab

INSTRUCTIONS		RESPONSES
STEP COMMUNITY		
1 (attachment)	Submit a map shapefile that identifies the STEP Community boundary, tentative project location, and benefiting disadvantaged or low-income community census tracts. Write the file name in the box to the right.	<i>[File name]</i>
2	Describe the residents of the STEP Community, including demographics such as gender, race/ethnicity, age, income, languages spoken, vehicle ownership, travel patterns to key destinations, and transportation mode share. Focus on demographics that are relevant to the community vision and identified projects.	
CONSISTENCY WITH EXISTING PLANS		
3 (attachment)	Submit at least one letter from the city, county, or tribal government's Planning Department, Community Development Department, Environmental Director, or other similar entity that has land use authority. The letter must demonstrate how the proposed project is aligned with the strategies, policies, and priorities identified in existing local and regional plans or that explains why the proposed strategies, policies, and plans in existing local and regional plans do not reflect the community's needs or priorities. If no local or regional plans exist, explain why. Write the file name in the box to the right.	<i>[File name]</i>
WORKFORCE DEVELOPMENT		
4	Describe how the proposed project will contribute to workforce development in the climate and clean transportation sectors, including how the project will help identify funding opportunities and partners to implement workforce development activities in the future for residents of the STEP Community. If not applicable, explain why.	
DISPLACEMENT AND HOUSING		
5	Describe how the proposed project will identify displacement vulnerability among existing low-income households and small businesses within the STEP Community. If not applicable, explain why.	
6	Describe how displacement avoidance measures will be incorporated into the planning process, including how the project will help identify funding opportunities and partners to implement displacement avoidance activities in the future. If not applicable, explain why.	
7	Describe the relationship between the proposed project and the existing or potential uses of any other planning grants (including State planning grants) that are being administered or plan to be administered by the local jurisdiction with land use implications for transportation. If not applicable, explain why.	

STEP Planning and Capacity Building Grant Proposal Template
PROJECT THRESHOLDS & CRITERIA tab

INSTRUCTIONS		RESPONSES
PROJECT SCOPE		
	Project Name	0
1	Describe the project scope and deliverables. Include information about all project elements as defined in Appendix D. Include what project details (if any) still need to be determined and how community residents will be involved in that process.	
TRANSPORTATION EQUITY		
2	Describe how the project considers the needs of different groups of residents within the STEP Community. In particular, describe how the project incorporates different facets of transportation equity (including accessibility to key destinations, accessibility of transportation options, affordability, environmental sustainability, reliability, and safety) as they are defined by community residents.	
3	Describe the direct, meaningful, and assured benefit(s) provided to residents of disadvantaged or low-income communities in the STEP Community.	
COMMUNITY INCLUSION		
4	Describe the community engagement activities planned to ensure that community residents have the opportunities and resources to actively participate in the decision-making process during grant implementation.	
5	Identify any hard-to-reach residents.	
6	Describe how the planned community engagement activities focus on the hard-to-reach residents identified above.	
7	Describe how the planned community engagement activities will be evaluated for success and updated accordingly.	
8	Describe the outreach and education activities planned to ensure that community residents have knowledge that will help them actively participate in decision-making processes during the project.	
9	Describe how the planned outreach and education activities focus on the hard-to-reach residents identified above.	
10	Describe how the planned outreach and education activities will be evaluated for success and updated accordingly.	
DATA TRACKING AND REPORTING		
11	Identify the Applicant(s) who will lead data tracking and reporting.	
12	Describe the plan for tracking and collecting project-related data to report to CARB.	
CLIMATE ADAPTATION AND RESILIENCY		
13	Describe how the proposed project will identify climate change risks and exposures within the STEP Community. If not applicable, explain why.	

14	Describe how the project will help increase the community's capacity to adapt to these impacts and contribute to community resilience. If not applicable, explain why.	
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STEP Planning and Capacity Building Grant Proposal Template
PROPOSAL IMPLEMENTATION PLAN tab

INSTRUCTIONS	RESPONSES	CALCULATIONS
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PROPOSAL BUDGET			
1	input cost information and associated notes in the BUDGET tab.		
2	Total proposal budget	\$ -	
3	Total funds requested from STEP	\$ -	
4	Grant implementation funds requested (must be no more than 20 percent of the total requested funds)	\$ -	#DIV/0!
5	Funds for data tracking and reporting (must be at least 2 percent of the total proposal budget)	\$ -	#DIV/0!
6	Indirect grant implementation funds requested (must be no more than 5 percent of the total requested funds)	\$ -	#DIV/0!
7 (attachment)	If applicable, write the file names of all resource contribution documentation in the box to the right.	<i>[File name]</i>	

PROPOSAL TIMELINE	
8	Fill out the TIMELINE tab.

STEP Planning and Capacity Building Grant Proposal Template
BUDGET tab

		Hourly rate	Hours	Request for STEP funds	Resource contribution	Total	Notes (if applicable)
GRANT IMPLEMENTATION							
Direct Labor plus Expenses							
	[Enter position/classification here]	\$ -		\$ -	\$ -	\$ -	
	[Enter position/classification here]	\$ -		\$ -	\$ -	\$ -	
	[Enter position/classification here]	\$ -		\$ -	\$ -	\$ -	
	[Enter position/classification here]	\$ -		\$ -	\$ -	\$ -	
	[Enter position/classification here]	\$ -		\$ -	\$ -	\$ -	
	[Enter position/classification here]	\$ -		\$ -	\$ -	\$ -	
Direct Costs (non-labor)							
	Travel costs	N/A	N/A	\$ -	\$ -	\$ -	
	Equipment and supplies	N/A	N/A	\$ -	\$ -	\$ -	
	Other direct costs	N/A	N/A	\$ -	\$ -	\$ -	
Indirect Costs (non-labor)							
	Indirect costs	N/A	N/A	\$ -	N/A	\$ -	
Total Grant Implementation Costs				\$ -	\$ -	\$ -	
PROJECT							
Direct Labor				0			
	[Enter position/classification here]	\$ -		\$ -	\$ -	\$ -	
	[Enter position/classification here]	\$ -		\$ -	\$ -	\$ -	
	[Enter position/classification here]	\$ -		\$ -	\$ -	\$ -	
Direct Costs							
	Travel/supplies	N/A	N/A	\$ -	\$ -	\$ -	
Project Costs							
Task 1	[Enter name of task here]	N/A	N/A	\$ -	\$ -	\$ -	
Task 2	[Enter name of task here]	N/A	N/A	\$ -	\$ -	\$ -	
Task 3	[Enter name of task here]	N/A	N/A	\$ -	\$ -	\$ -	
Task 4	[Enter name of task here]	N/A	N/A	\$ -	\$ -	\$ -	
Task 5	[Enter name of task here]	N/A	N/A	\$ -	\$ -	\$ -	
Task 6	[Enter name of task here]	N/A	N/A	\$ -	\$ -	\$ -	
Task 7	[Enter name of task here]	N/A	N/A	\$ -	\$ -	\$ -	
Task 8	[Enter name of task here]	N/A	N/A	\$ -	\$ -	\$ -	
[Etc.]	[Enter name of task here]	N/A	N/A	\$ -	\$ -	\$ -	
Total Project Costs				\$ -	\$ -	\$ -	
Total Proposal Costs							
[Enter the name of your proposal]				Total Request for STEP Funds	Total Resource Contribution	Total Proposal Budget	
				\$ -	\$ -	\$ -	

STEP Planning and Capacity Building Grant Proposal Template
TIMELINE tab

	Description	Start date	Completion date	Roles	Deliverables (if applicable)	Request for STEP funds
Task 1	[Enter description of task here]	0/0/0	0/0/0	[Enter description of Applicant roles here]	[Enter description of deliverables, if applicable]	\$ -
Task 2	[Enter description of task here]	0/0/0	0/0/0	[Enter description of Applicant roles here]	[Enter description of deliverables, if applicable]	\$ -
Task 3	[Enter description of task here]	0/0/0	0/0/0	[Enter description of Applicant roles here]	[Enter description of deliverables, if applicable]	\$ -
Task 4	[Enter description of task here]	0/0/0	0/0/0	[Enter description of Applicant roles here]	[Enter description of deliverables, if applicable]	\$ -
[Etc.]	[Enter description of task here]	0/0/0	0/0/0	[Enter description of Applicant roles here]	[Enter description of deliverables, if applicable]	\$ -
	Disbursement request #1		0/0/0			\$ -
	Description	Start date	Completion date	Roles	Deliverables (if applicable)	Request for STEP funds
Task 5	[Enter description of task here]	0/0/0	0/0/0	[Enter description of Applicant roles here]	[Enter description of deliverables, if applicable]	\$ -
Task 6	[Enter description of task here]	0/0/0	0/0/0	[Enter description of Applicant roles here]	[Enter description of deliverables, if applicable]	\$ -
Task 7	[Enter description of task here]	0/0/0	0/0/0	[Enter description of Applicant roles here]	[Enter description of deliverables, if applicable]	\$ -
Task 8	[Enter description of task here]	0/0/0	0/0/0	[Enter description of Applicant roles here]	[Enter description of deliverables, if applicable]	\$ -
[Etc.]	[Enter description of task here]	0/0/0	0/0/0	[Enter description of Applicant roles here]	[Enter description of deliverables, if applicable]	\$ -
	Disbursement request #2		0/0/0			\$ -

STEP PLANNING AND CAPACITY BUILDING GRANT-APPENDIX C: PROPOSAL COMPONENTS AND ELIBILITY THRESHOLDS

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STEP Planning and Capacity Building Grant

APPENDIX C: PROPOSAL COMPONENTS AND ELIBILITY THRESHOLDS

Submit this completed appendix to CARB alongside the proposal template in Appendix B and other requested attachments.

I. PROPOSAL COVER PAGE

Project:	
Lead Applicant Entity Name:	
Business Type:	
Contact Name and Title:	
Person with Contract Signing Authority/Air Pollution Control Officer (APCO):	
Mailing Address:	
City:	State:
Zip Code:	Telephone Number:
Email Address:	Fax Number:
<input type="checkbox"/> I have read and understood the terms and conditions of the Sample Grant Agreement.	
<input type="checkbox"/> I have read and understood the draft Grantee scope of work in the Sample Grant Agreement (Section F. Duties and Requirements).	
<input type="checkbox"/> I have read, understood, and submitted all proposal components listed in Table C-1 of this appendix.	
<input type="checkbox"/> I have read, understood, and complied with all eligibility thresholds listed in Table C-2 of this appendix.	

CERTIFICATION

I hereby certify under penalty of perjury that all information provided in this application and any attachments are true and correct.

Printed Name of Responsible Party or APCO:	Title:
Signature of Responsible Party or APCO:	Date:

STEP PLANNING AND CAPACITY BUILDING GRANT-APPENDIX C: PROPOSAL COMPONENTS AND ELIBILITY THRESHOLDS

THIRD PARTY CERTIFICATION (if applicable)

I have completed the application, in whole or in part, on behalf of the applicant.

Printed Name of Third Party:	Title:
Signature of Third Party:	Date:
Amount Being Paid for Application Completion:	Source of Funding to Third Party:

II. PROPOSAL COMPONENTS

Proposal components are all the parts of the proposal that must be submitted to CARB in order for the proposal to be scored. Applicants must submit a proposal using the Proposal Template in Appendix B.

Applicants must use this checklist to ensure that all proposal components are included prior to submitting the proposal and submit a completed and signed checklist as part of the proposal cover page (see above).

Table C-1: Proposal Components Checklist

Proposal Component	Submission Format	Yes/No
Cover page (this appendix)	Proposal Template	
<i>Grant Framework</i>	<i>Instructions</i>	<i>Yes/No</i>
Vision statement	Proposal Template	
Projects identified	Proposal Template	
Project summary for public posting	Proposal Template	
<i>Applicants and Partnership Structure</i>	<i>Submission Format</i>	<i>Yes/No</i>
Lead Applicant and Sub-applicant identification, qualifications, and letters of support	Proposal Template and Attachments	
Conflict of interest declaration	Attachments	
Community Partner identification and letters of support	Proposal Template and Attachments	
Partnership Structure	Proposal Template	
<i>Proposal Thresholds and Criteria</i>	<i>Submission Format</i>	<i>Yes/No</i>

STEP PLANNING AND CAPACITY BUILDING GRANT-APPENDIX C: PROPOSAL COMPONENTS AND ELIBILITY THRESHOLDS

STEP Community map	Attachments	
STEP Community description	Proposal Template	
Consistency with existing plans letter(s) of support	Attachments	
Workforce development component	Proposal Template	
Displacement avoidance component	Proposal Template	
Affordable housing and land use component	Proposal Template	
<i>Project-specific Thresholds and Criteria</i>	<i>Submission Format</i>	<i>Yes/No</i>
Project scope	Proposal Template	
Transportation equity component	Proposal Template	
Community engagement component	Proposal Template	
Outreach and education component	Proposal Template	
Data tracking and reporting component	Proposal Template	
Climate adaptation and resiliency component	Proposal Template	
<i>Proposal Implementation Plan</i>	<i>Submission Format</i>	<i>Yes/No</i>
Proposal budget	Proposal Template	
Resource contribution documentation (if applicable)	Attachments	
Proposal timeline	Proposal Template	

III. ELIGIBILITY THRESHOLDS

Eligibility thresholds are the basic eligibility requirements that must be met for the proposal to be scored.

CARB staff will use the checklist below to determine if a proposal meets STEP’s eligibility thresholds. If a proposal does not meet all eligibility thresholds, the Lead Applicant will be notified by CARB within four business days after the solicitation deadline and will have two business days to submit proof that missing eligibility thresholds have been met. Updates to eligibility thresholds during this time should not result in substantial changes to proposals. Eligibility thresholds will be evaluated at CARB’s sole discretion. After that deadline, proposals that do not meet all eligibility thresholds will not proceed to the next step of the review process.

STEP PLANNING AND CAPACITY BUILDING GRANT-APPENDIX C: PROPOSAL COMPONENTS AND ELIBILITY THRESHOLDS

Applicants must use this checklist to ensure that all eligibility thresholds are met prior to submitting the proposal.

Table C-2: Eligibility Thresholds Checklist

General Completeness	Yes/No
Proposal includes all proposal components.	
Proposal does not extend beyond the maximum grant term.	

Grant Framework	Yes/No
<i>Projects Identified</i>	
Projects identified are eligible (on the list of eligible projects or are eligible based on CARB's discretion, not on the list of ineligible projects)	

Applicants and Partnership Structure	Yes/No
<i>Lead Applicant and Sub-Applicant Identification, Qualifications, and Letters of Support</i>	
Lead Applicant is an eligible organization.	
If the Lead Applicant is not a federally recognized tribe, at least one of the Applicants is a local government.	
If the Lead Applicant is not a federally recognized tribe, at least one of the Applicants is a community-based organization.	
All Applicants have submitted letters of support.	
<i>Community Partner Identification and Letters of Support</i>	
All Community Partners have submitted letters of support.	
<i>Partnership Structure</i>	
Partnership Structure includes information about the governance, legal, and financial considerations of the partnership structure.	
Partnership Structure includes a process for transparent decision-making that involves Community Partners and other residents.	

Proposal Thresholds and Criteria	Yes/No
<i>STEP Community Map</i>	

STEP PLANNING AND CAPACITY BUILDING GRANT-APPENDIX C: PROPOSAL COMPONENTS AND ELIBILITY THRESHOLDS

Proposal Thresholds and Criteria	Yes/No
Map identifies the STEP Community boundary, the tentative location of each project, and the disadvantaged community or low-income community census tracts within the STEP Community.	
At least 50 percent of the geographic area of the STEP Community is disadvantaged or low-income community census tracts.	
<i>Consistency with Existing Plans Letter(s) of Support</i>	
Letter from the city, county, or tribal government’s Planning Department, Community Development Department, Environmental Director, or other similar entity that has land use authority describes how the proposed project is aligned with the strategies, policies, and priorities identified in existing local and regional plans or that explains why the proposed strategies, policies, and plans in existing local and regional plans do not reflect the community’s needs and priorities. If no local or regional plans exist, the letter explains why.	

Proposal Implementation Plan	Yes/No
<i>Project Budget</i>	
Total grant implementation funds account for no more than 20 percent of the total funds requested from STEP.	
At least 2 percent of the total proposal budget funds data tracking and reporting.	
Indirect grant implementation costs account for no more than 5 percent of the total proposal budget.	
<i>Resource Contribution Documentation (if applicable)</i>	
Proposal includes supporting documentation for any identified resource contributions.	

APPENDIX D: SCORING CRITERIA

Scoring criteria are the criteria used by the evaluation panel to score STEP proposals after determining that they meet the eligibility thresholds.

If a proposal meets all **eligibility thresholds**,¹ CARB staff and an evaluation panel will evaluate the proposal. Each proposal that is scored will receive a single score out of 100 points.

Table D-1: General Scoring Criteria

Category	Maximum Points
Grant Framework	21
Applicants and Partnership Structure	25
Proposal Thresholds and Criteria	14
Project-specific Thresholds and Criteria	34
Proposal Implementation Plan	6
Total Proposal	100
Extra points	4

A review panel will evaluate each scoring criterion using the scoring scale below.

Table D-2: Scoring Scale

Possible Percent of Maximum Points	Interpretation	Explanation for Percentage of Points
0%	Not Responsive	Response does not include or fails to address the criterion.
1-24%	Minimally Responsive	Response minimally addresses the criterion. Any omissions, flaws, or defects are significant and unacceptable.
25-49%	Inadequate	Response addresses the criterion, but there are one or more omissions, flaws, or defects OR the criterion is addressed in such a limited way that the reviewer has a low degree of confidence in the proposal.
50-69%	Adequate	Response adequately addresses the criterion. Any omissions, flaws, or defects are minimally consequential.
70-89%	Good	Response fully addresses the criterion in a way that gives the reviewer a good degree of confidence in the proposal. Any omissions, flaws, or defects are minimal and inconsequential.
90-100%	Excellent	Response fully addresses the criterion in a way that

¹ See definition in Appendix A.

Possible Percent of Maximum Points	Interpretation	Explanation for Percentage of Points
		gives the reviewer a high degree of confidence in the proposal. The response exceeds expectations by providing one or more creative or innovative approaches or solutions.

CARB staff and the interagency review panel will evaluate each proposal that meets all eligibility thresholds using the specific scoring criteria below.

Table D-3: Scoring Criteria Breakdown

Grant Framework	Maximum Points (21)
<i>Vision statement</i>	
Vision for the community aligns with STEP objectives and articulates how the proposed project will help address the transportation needs of the community.	5
Residents and other key stakeholders were involved in the development of the vision statement using recommended, context-specific methods of community engagement from the Community Inclusion Guidance.	2
<i>Projects identified</i>	
Proposed project complements past or existing planning and capacity building projects.	3
Proposed project prioritizes increasing accessibility to key destinations for community residents with diverse transportation needs.	4
Proposed project has a clear goal for how capacity built will be used in a manner that addresses the transportation needs of community residents.	3
Residents and other key stakeholders were involved in the identification of the proposed project using recommended, context-specific methods of community engagement from the Community Inclusion Guidance.	4

Applicants and Partnership Structure	Maximum Points (25)
<i>Lead Applicant and Sub-applicant identification, qualifications, and letters of support</i>	
Lead Applicant has the organizational capacity and ability to implement the STEP proposal through relevant expertise, experience, and skillsets (e.g., has experience managing planning projects, implementing grants, working with community residents)	4

Applicants and Partnership Structure	Maximum Points (25)
Sub-applicants have the organizational capacity and ability to support the Lead Applicant to implement the STEP proposal for their identified role through relevant expertise, experience, skillsets, and resources.	5
Applicants have the organizational readiness to conduct equity work.	3
<i>Partnership Structure</i>	
Lead Applicant and Sub-applicants have the capacity to equitably work together to implement a complex grant. This may include past work history, a commitment to regular communication, etc.	3
Partnership Structure includes a diverse group of other key stakeholders that represent the community (e.g., community-based organizations, local governments, transit agencies, nonprofits, regional agencies, health-based organizations, small businesses)	4
Partnership Structure includes a meaningful process to involve Community Partners and other residents in the decision-making process for each proposed project. In this way, community engagement is tied to a governance structure that will help community ideas and concerns shape project design and implementation.	6

Proposal Thresholds and Criteria	Maximum Points (14)
<i>Workforce development component</i>	
Proposal considers how to incorporate workforce development in the climate and clean transportation sectors into the project with a focus on STEP Community residents that live in disadvantaged and low-income community residents and that face barriers to employment.	6
<i>Displacement avoidance component</i>	
Proposal considers how to identify displacement vulnerability among existing households and small businesses within the STEP Community.	1
Proposal considers how to incorporate displacement avoidance measures into planning project.	4
<i>Affordable housing and land use component</i>	
Proposed project complements or is complemented by the existing or prospective uses of other planning grants being administered by the local jurisdiction with land use implications for transportation.	3

Project-specific Thresholds and Criteria	Maximum Points (34)
<i>Project scope</i>	
Project scope is feasible and identify all deliverables needed to achieve objectives.	4
<i>Transportation equity component</i>	
Proposed project considers the needs of the different groups of residents within the STEP Community. The project addresses the different facets of transportation equity (including accessibility, affordability, safety, reliability, and environmental sustainability) as they are defined by community residents.	5
Proposed project will maximize benefits to the disadvantaged and low-income community census tracts within the STEP Community.	4
<i>Community engagement component</i>	
Proposal incorporates diverse, context-specific, and recommended community engagement activities from the Community Inclusion Guidance for the duration of the project's implementation to involve residents in decision-making processes. Proposal emphasizes quality over quantity of engagement.	5
Proposal is feasible (including timelines, tasks, deliverables, and budgets).	2
<i>Outreach and education component</i>	
Projects help educate residents about the proposed project to better participate in decision-making processes using recommended, context-specific outreach and education activities from the Community Inclusion Guidance.	4
Proposal is feasible (including timelines, tasks, deliverables, and budgets).	2
<i>Data tracking and reporting component</i>	
Proposal for data tracking and reporting satisfies applicable requirements and is feasible (including timelines, tasks, deliverables, and budgets).	4
<i>Climate adaptation and resiliency component</i>	
The proposal includes a plan to identify climate change risks and exposures within the STEP Community.	2
Adaptation to direct and indirect climate risks and community resiliency will be incorporated into proposed projects.	2

Proposal Implementation Plan	Maximum Points (6)
<i>Proposal timeline</i>	
Plan is feasible (including timelines, tasks, deliverables, and budget).	6

Extra points will be awarded to proposals that meet the qualifications below. No proposal may receive more than four extra points.

Extra Points	Maximum Points (4)
Lead Applicant is a community-based organization or a federally recognized tribe. If the proposal meets this criteria, the full two points will be awarded. If not, no points will be awarded.	2
Proposal is for a project in a rural community. ² If the proposal meets this criteria, the full two points will be awarded. If not, no points will be awarded.	2

² For the purposes of STEP, communities that are not in urbanized areas, as defined by the 2010 census (<https://www.census.gov/programs-surveys/geography/guidance/geo-areas/urban-rural/2010-urban-rural.html>) OR communities that are not served by a metropolitan planning organization.

APPENDIX E: PROJECT ELIGIBILITY

STEP Planning and Capacity Building Grants will fund projects that support disadvantaged and low-income communities to identify residents' transportation needs and to help prepare those communities to implement clean transportation and supporting projects.

Each proposal¹ may contain only one project.¹ Each project may contain multiple project elements.¹ Each project element must abide by STEP's eligible cost requirements (defined in this appendix). Projects that are not on the eligible list may be determined to be eligible at CARB's sole discretion.

The project must be completed within the grant term. The project must be compliant with all relevant laws, regulations, policies, and procedures.

ELIGIBLE PROJECTS

Project elements must directly serve the associated eligible projects in the table below.

Table E-1: Eligible Projects for the Planning and Capacity Building Grant

Eligible Projects	Examples of STEP Project Elements
Community and stakeholder engagement for new or existing clean transportation planning, operations, or infrastructure projects	<ul style="list-style-type: none"> • Community engagement events and activities • Community transportation needs assessments • Education campaigns • Engagement and contracting with local businesses and local workforce • Participant incentives • Participatory budgeting and other forms of community decision-making • Partnership and relationship building • Pop-up and demonstration projects and other forms of tactical urbanism² • Surveys and information gathering
Land use or transportation-focused plan development	<ul style="list-style-type: none"> • Automated and connected vehicle plans to enable equitable shared mobility • Combined land use and mobility plans • Community engagement, outreach, and education for land use and transportation plans • Feasibility studies • Mobility equity analysis³

¹ See definition in Appendix A.

² Low-cost, temporary changes to the built environment, often meant to test out changes before making them more permanent

³ Assessment of the quality and impact of existing transportation options and proposed new

Eligible Projects	Examples of STEP Project Elements
	<ul style="list-style-type: none"> • Mobility plans, including but not limited to: <ul style="list-style-type: none"> ○ Active transportation, bicycle, or pedestrian plans ○ Alternative fuel infrastructure plans (e.g., electric vehicle readiness plans) ○ Multi-modal corridor plans ○ New mobility plans ○ Safe routes to schools and to transit plans ○ Transit plans • Other studies, plans, or planning methods that advance a community’s effort to reduce single occupancy vehicle trips and transportation-related GHG emissions • Plans for data collection, tracking progress, monitoring goals, and sharing results • Traffic calming and safety enhancement plans such as: <ul style="list-style-type: none"> ○ Collision. Safety, and speed limit analysis ○ Traffic collision reduction and traffic calming plans (e.g., Vision Zero plans) • Transportation equity work plans
Capacity building to implement new or enhance existing clean transportation planning, operations, or infrastructure projects	<ul style="list-style-type: none"> • Community resource portals, toolkits, and documents • Educational resources (e.g., classes, training sessions, materials, curricula) • Job assistance and career development programs • Relationship building and network development • Trip planners, street teams, and community ambassadors to connect residents to clean transportation options

ELIGIBLE COSTS

I. ELIGIBLE COSTS

The list below includes the eligible costs for all of the project elements listed in the chart above.

- Access to proprietary data or research material
- Electronic software licenses, services, and development or hardware support services
- Labor, including but not limited to:
 - Salaries, wages, and stipends for nonprofit or consultant staff dedicated to the project
 - Staff time spent on the project, including outreach and engagement
 - Training for staff
 - Travel
- Materials and supplies, including but not limited to:

transportation projects

- Language translation services
- Printing and mailing
- Preparation of materials
- Outreach and community engagement events and support, including but not limited to:
 - Community and stakeholder advisory groups
 - Language translation and interpretation services
 - Rental costs of equipment, facilities, or venues (Applicants are encouraged to seek access to free or low-cost facilities through partnerships with community facilities where possible.)
 - Marketing and advertisements
 - Participant incentives
 - Public transit subsidies for low-income, disabled, or other participants with accessibility or transportation challenges

II. INELIGIBLE COSTS

- Advocacy work, such as direct lobbying for the passage of specific bills or local propositions
- Bonus payments of any kind
- Ceremonial expenses (including food and beverages)
- Commission fees
- Costs for implementing existing policies, plans, ordinances, or programs (e.g., local government staff salaries, supplies, meetings, etc.)
- Damage judgments arising from the acquisition, construction, or equipping of a facility, whether determined by judicial process, arbitration, negotiation, or otherwise
- Expenses for publicity not related to the STEP-funded projects
- Indirect costs in excess of 5 percent of the total proposal budget
- Lobbying
- Real estate brokerage fees or expenses
- Services, materials, or equipment obtained under any other State program
- Specific expenses related to community engagement, outreach, and education:
 - Childcare related costs
 - Food and refreshments
 - General meetings that do not specifically discuss or advance implementation of the STEP-funded project
- Stewardship of legal defense funds
- Using funds for mitigation activities that are already mandated by local or State governing bodies or agencies

ELEMENT REQUIREMENTS

I. FOR FUNDED COMMUNITY ENGAGEMENT, OUTREACH, AND EDUCATION ACTIVITIES

- Funded activities must be directly related to the implementation of the STEP grant.
- Funded activities must focus on engaging community residents located or involved in the STEP Community.
- Funded activities must emphasize language access with multilingual outreach activities where appropriate.
- Funded activities must also collect data on residents' current knowledge regarding clean transportation options.
- Funded activities must include an evaluation of the success of the activities throughout implementation and adapt methods used accordingly.
- Funded activities should appropriately incentivize community residents for their time and expertise when participating in community engagement activities (see Community Inclusion Guidance linked in Appendix F).

APPENDIX F: PROPOSAL GUIDANCE

CARB has a variety of resources that can help STEP applicants develop projects and proposals equitably and effectively. All resources can be found on the [STEP Moving California webpage](#).

Workforce Development Guidance: Includes example activities and recommendations for workforce development activities identified within the proposal
https://ww3.arb.ca.gov/msprog/step/step_workforce_development_guidance.pdf

Displacement and Housing Guidance: Includes example activities and recommendations for displacement activities; Information and resources about example pro-affordable housing policies, plans, and processes with which STEP-funded projects should coordinate
https://ww3.arb.ca.gov/msprog/step/step_displacement_and_housing_guidance.pdf

Community Inclusion Guidance: Includes recommended activities, best practices, and other resources for engaging community residents in project development and implementation
https://ww3.arb.ca.gov/msprog/step/step_community_inclusion_guidance.pdf

Climate Adaptation and Resiliency Guidance: Includes recommendations, example projects, and resources to support consideration of climate adaptation and resiliency in STEP-funded projects
https://ww3.arb.ca.gov/msprog/step/step_climate_adaptation_and_resiliency_guidance.pdf

Guiding Legislation: Includes descriptions of the State legislation that informs STEP implementation
https://ww3.arb.ca.gov/msprog/step/step_guiding_legislation.pdf

APPENDIX G: RESOURCE CONTRIBUTION ELIGIBILITY

Resource contributions¹ are assets contributed to the project to support its quality, breadth, and longevity through the **project lifetime**.¹ Resource contributions do not need to be monetary (i.e., cash match), but Applicants are required to estimate the monetary value of all resource contributions.

Resource contributions may be used to cover project costs or direct grant implementation costs. No resource contributions are required for the Planning and Capacity Building Grant.

However, if any resource contributions will be provided to fund the proposal, these contributions must be identified and documented in as much detail as possible. The minimum dollar value and source of each resource contribution must be identified in both the proposed budget and documented in attachments. See examples of eligible resource contribution documentation attachments in the table below.

Resource contributions may not be combined with STEP funds to exceed an item's purchase price.

Resource contributions identified and documented in the proposal will be included in the grant agreement for selected funding recipients. Grantees will be required to fulfill these identified resource contribution commitments.

TYPES OF RESOURCE CONTRIBUTIONS

The table below includes a list of eligible resource contributions and examples of the types of documentation that must be submitted with the proposal to support the resource contribution claim. CARB may choose not to consider resource contributions with documentation that does not include specific dollar amounts. Documentation must show that each resource contribution has already been committed to the project(s) or that each resource contribution will be available by the time it is needed during grant

The proposal may identify resource contributions that are not listed in the table below. CARB maintains the discretion to allow or disallow additional types of resource contributions.

¹ See definition in Appendix A.

Table G-1: Types of Resource Contributions and Documentation

Type of Resource Contribution	Type of Documentation
<p>Contributions of staff or labor (including volunteer labor) from Community Partners, such as community groups and community-based organizations, and other partners (partnerships that are not part of the core Applicant team)</p>	<ul style="list-style-type: none"> • Descriptions of involvement or benefit to project • Letters of support • MOUs
<p>Data collection and coordination with project-related, non-CARB-funded research initiatives</p>	<ul style="list-style-type: none"> • Data sharing agreements • MOUs • Research contracts or grants • Research product deliverables
<p>Project-related labor costs and in-kind labor contributions during the grant term¹ that are not reimbursed or paid for by STEP. Examples include, but are not limited to:</p> <ul style="list-style-type: none"> • Executive leadership, involvement, or buy-in • Infrastructure permitting and construction • No-cost labor • Operations • Outreach and marketing • Partnership development and planning • Program management, involvement, or buy-in • Quality control, quality assurance, oversight, and accountability • Workforce training and development 	<ul style="list-style-type: none"> • Budgets • Letters of support • Task descriptions or duty statements
<p>Project-related materials or assets and in-kind contributions already owned by project participants, or purchased for or donated to the project,² that will be used during the grant term. Examples include, but are not limited to:</p> <ul style="list-style-type: none"> • Community engagement, outreach, and education expenses, including but not limited to: <ul style="list-style-type: none"> ○ Advertising ○ Broadcast media ○ Childcare for event participants ○ Community meetings and outreach events ○ Incentives for participation of residents in community engagement activities ○ Food for events 	<ul style="list-style-type: none"> • Budgets • Contracts • Grant agreements • Invoices • Letters of support • Work plans

² Can be from other publicly-funded projects.

Type of Resource Contribution	Type of Documentation
<ul style="list-style-type: none"> ○ Newsletters ○ Printing and mailing ○ Reporting ○ Travel expenses ○ Websites ● Event venues ● Travel expenses ● Web platforms and software 	
Cash from other funding sources, which includes other agency grants and foundation awards ³	<ul style="list-style-type: none"> ● Award announcements ● Letters of support
Committed funding for future projects that are eligible under STEP but that are not proposed to be funded by STEP. These projects must be within and benefit the STEP Community and contribute to the community's vision and STEP's objectives.	<ul style="list-style-type: none"> ● Award announcements ● Contracts ● MOUs

³ May not be double-counted with other resource contributions. Cash from other sources may refer to funds that have not been allocated to a specific expense but that will be committed to the project.

APPENDIX H: DATA COLLECTION REQUIREMENTS

Tables H-1 through H-7, below, list the types of data that CARB will require the Grantee to collect from STEP-funded projects. Additional data may be collected beyond what is presented below, and CARB may require additional data based on the type of projects proposed and selected for funding. CARB and the selected funding recipient will collaborate on finalizing the list of data to be collected. CARB must approve the final data collection plan.

Any data collected that contains personally identifiable information, such as the names, personal phone numbers, and home addresses of end users must be secured and protected in compliance with State and federal privacy laws. All information and data submitted to CARB is the property of CARB and will become a public record. As such, any information or data that contains personally identifiable information should be reported only in aggregate or with the personally identifiable information removed.

Where possible, data collected should be disaggregated by basic demographic data (e.g., gender, race/ethnicity, age, income).

In addition to data collection and monitoring, the Grantee will be required to provide analysis of the data, including a compilation and summary of the data for each quarterly report and for the final report.

I. ASSESSMENTS, PLANS, AND PROGRAMS

Table H-1: Example Data for Plans, Assessments, or Analyses

Plan, Assessment, or Analysis
<ul style="list-style-type: none"> i) Schedule of development and implementation ii) Copy of plan, assessment, or analysis once complete iii) Description of impacted or target audience

Table H-2: Example Data for Capacity Building Programs

Program
<ul style="list-style-type: none"> i) Schedule of development and implementation ii) Outcomes of program

Participants
<ul style="list-style-type: none"> i) Number of participants ii) List of unique identifiers (unique number or code) for all participants with census tract of residents and zip code and basic demographic information, if available iii) Participant survey data, including:

Participants
<ol style="list-style-type: none"> 1. Census tract of residence, zip code, and county and basic demographic information (e.g., gender, race/ethnicity, age, income, ADA needs) 2. Purpose of participating in the program 3. Feedback on participant experience and outcomes

II. DEMONSTRATION PROJECTS

Table H-3: Example Data for Pop-up and Demonstration Projects

Pop-up or Demonstration Project
<ol style="list-style-type: none"> i) Location of project ii) Schedule of implementation iii) Number of users iv) User survey data, including: <ol style="list-style-type: none"> 1. Census tract of residence, zip code, and county and basic demographic information (e.g., gender, race/ethnicity, age, income, ADA needs) 2. Transportation patterns, vehicle ownership, and average annual vehicle miles traveled (e.g., via personal vehicles, ride-hailing, carsharing) in last two years prior to participation in the project 3. List of unmet transportation and mobility needs 4. Purpose of using the facility (e.g., work commute, grocery shopping, medical appointments, etc.) 5. Baseline scenario (e.g., if not for the project, would the trip have been taken; if not for the project, what mode would have been used) 6. Feedback on user experience 7. Outcomes of project

III. COMMUNITY ENGAGEMENT, OUTREACH, AND EDUCATION

The Grantee shall track and report information on community engagement, outreach, and education conducted to ensure that identified end users in the community have the knowledge necessary to participate in decision-making processes during project implementation.

Table H-4: Example Data for Community Engagement, Outreach, and Education

Outreach
<ol style="list-style-type: none"> i) Schedule of community engagement, outreach, and education conducted, materials used (including copies of any written documents or surveys used), and number of people contacted ii) Method of outreach (e.g., online, flyer, door-to-door notice, etc.) iii) Evaluation of outreach and engagement strategies deployed

Events
<ul style="list-style-type: none"> i) Location, date, time of event ii) Type of event (e.g., workshop, in-person meeting, webinar, educational forum) iii) Approximate number of attendees iv) List of unique identifiers (unique number or code) for all participants with census tract of residents and zip code and basic demographic information, if available v) Number of speakers or other active participants vi) Title of event vii) A summary of key takeaways from the event iv) Participant survey data, including: <ul style="list-style-type: none"> 1. Census tract of residence, zip code, and county and basic demographic information (e.g., gender, race/ethnicity, age, income, ADA needs) 2. Purpose of participating in the event 3. Feedback on participant experience 4. Feedback from participants regarding effectiveness of outreach efforts and materials

IV. LESSONS LEARNED

The Grantee shall track and report information on lessons learned.

Table H-5: Example Data for Lessons Learned

Lessons Learned
<ul style="list-style-type: none"> i) Challenges that occurred during implementation and resolutions ii) Successes and best practices

V. JOBS SUPPORTED

Once the grant agreement is executed, the Grantee shall submit the following information to estimate the jobs supported by STEP funds.

Table H-6: Example Data for Modeled Jobs

Modeled Jobs
<ul style="list-style-type: none"> i) Top three funded project activities, by cost ii) Percent of total project budget associated with each of the top three project activities

The Grantee shall track and report information on employment outcomes from projects funded over \$1,000,000 that provide jobs or job training, including the data in the table below.

Table H-7: Example Data for Employment Outcomes

Employment Outcomes
iii) Job classifications or trades
iv) Job training credentials
v) Number of jobs provided (in full and for disadvantaged and low-income communities)
vi) Total project work hours (in full and for disadvantaged and low-income communities)
vii) Average hourly wage (in full and for disadvantaged and low-income communities)
viii) Total number of workers that completed job training (in full and for disadvantaged and low-income communities)
ix) Description of job quality (e.g., benefits provided such as health care and paid time off)
x) Targeted hiring strategy

VI. PROJECT OUTCOMES

The Grantee shall track and report annual data on the outcomes of projects with a total project cost of one million dollars or more during the first three years after the projects begin. CARB and the Grantee will collaborate on finalizing the list of data required.

APPENDIX I: DRAFT SAMPLE GRANT AGREEMENT

An actual Grant Agreement will align with a project's implementation plan, schedule, budget, and other details. Note, however, that much of the language in a Grant Agreement is not subject to change and not negotiable, including but not limited to the language in sections J. Oversight and Accountability, K. Project Records, and N. General Provisions.

EXHIBIT A

GRANT PROVISIONS

A. AGREEMENT

This Grant is from the California Air Resources Board (hereinafter referred to as CARB or the Board) to _____ (hereinafter referred to as the Grantee).

The parties agree to comply with the requirements and conditions herein as well as all commitments identified in the Grantee Proposal Package (Exhibit C) and the Fiscal Year (FY) 2019-20 Grant Solicitation for the Sustainable Transportation Equity Project (STEP) (Exhibit D).

B. GRANT ACKNOWLEDGEMENT

Where applicable, the Grantee agrees to acknowledge the California Climate Investments program and CARB as a funding source for STEP, as outlined in the California Climate Investments Messaging and Communications Guide.¹ Below are specific requirements for acknowledgement.

The Grantee agrees to acknowledge the California Climate Investments program from CARB's Low Carbon Transportation program whenever projects funded, in whole or in part by this Agreement, are publicized in any news media, websites, brochures, publications, audiovisuals, or other types of promotional material. The acknowledgement must read as follows: 'This publication (or project) was supported by the "California Climate Investments" program.' Guidelines for the usage of the California Climate Investments logo can be found at <http://www.caclimateinvestments.ca.gov/logo-graphics-request>.

The California Climate Investments logo and name serves to bring under a single brand the many investments whose funding comes from the Greenhouse Gas

¹ California Climate Investments Communications Guide <http://www.caclimateinvestments.ca.gov/logo-graphics-request>

Reduction Fund (GGRF). The logo represents a consolidated and coordinated initiative by the State to address climate change by reducing greenhouse gases, while also investing in disadvantaged communities and achieving many other co-benefits.



The Grantee agrees to acknowledge CARB as a funding source for STEP when publicized in any news media, websites, applications, brochures, publications, audiovisuals, or other types of promotional material. The Grantee agrees to adhere to the Board's logo usage requirements in a manner directed by CARB. CARB logos shall be provided to the Grantee by CARB Project Liaison.



The CARB logo is a visual representation of our air environment. The arcs represent: the different elements that make up the air we breathe, the protection of our atmosphere and the efforts we take to protect the health of Californians, the collaboration of multiple stakeholders all moving in the same direction together, and innovation with the arcs all growing and changing.



Finally, when preparing flyers, brochures, or other handout material that will be used to promote STEP as one of CARB's Low Carbon Transportation Investment projects, the Grantee will incorporate Moving California typeset and branding, as appropriate. Moving California is the branding of CARB's suite of Low Carbon Transportation Investment projects, including both light- and heavy-duty projects. The Moving California typeset is displayed below and branding materials will be provided by the CARB Project Liaison.

C. GRANT SUMMARY AND AMENDMENTS

Project Title: STEP
Authorized Official:
Title:

Total Grant Amount: \$
Total Resource Contribution: \$

D. GRANT PARTIES AND CONTACT INFORMATION

1. The CARB Project Liaison is Bree Swenson. Correspondence regarding this project shall be directed to:

Bree Swenson
Sustainable Transportation and Communities Division
California Air Resources Board
1001 I Street
Sacramento, California 95814
Phone: (916) 440-8284
Email: Breanna.Swenson@arb.ca.gov

2. The Grantee Liaison is _____. Correspondence regarding this project shall be directed to:

Grantee Liaison Name:
Title:
Address:
Phone:
Email:

3. If the CARB Project Liaison identified above changes, CARB will notify the Grantee Liaison of said change and provide the new contact information. If the Grantee Liaison identified above changes, the Grantee will notify the CARB Project Liaison of said change and provide the new contact information.

E. TIME PERIOD

1. Performance of work or other expenses billable to CARB under this Grant may commence after full execution of this Grant by parties. Performance on this Grant ends once the Grantee has submitted and CARB approves the final report or if this Grant is terminated, whichever is earlier.
2. Upon completion of the project, the Grantee shall submit a draft final report to the CARB Project Liaison no later than **January 31, 2025**.
3. Final request for payment and Final Report shall be received by CARB no later than **March 31, 2025**.
4. The CARB Executive Officer retains the authority to terminate, or reduce the grant amount of, this Grant Agreement for nonperformance. In the event of such termination or reduction of the grant amount, Section G.7, Termination

and Suspension of Payments, of this Grant Agreement shall apply.

F. DUTIES AND REQUIREMENTS

This section defines the respective duties and requirements of CARB and the Grantee in implementing STEP.

1. CARB's Role

CARB is responsible for the following:

- a. Participating in regular meetings with the Grantee to discuss program refinements and guide program implementation
- b. Reviewing and approving all Grant Disbursement Request Forms (MSCD/ISB-90) and distributing grant funds to the Grantee
- c. Reviewing and approving community engagement, outreach, and education materials provided by the Grantee, such as outreach and education materials, webpages, initial participant surveys, quarterly reports, and the final report
- d. Reviewing and approving the data collection plan
- e. Providing program oversight and accountability (in conjunction with the Grantee)

2. The Grantee's Tasks

At a minimum, the Grantee's program duties and requirements include, but are not limited to, the following tasks:

- a. The Grantee's key project personnel will participate in meetings with CARB staff. The Grantee may be asked to schedule additional meetings at the sole discretion of the CARB Project Liaison. Meetings may be conducted by phone if deemed appropriate by the CARB Project Liaison.
 - i. Initial Project Kick-off Meeting: The Grantee's key project personnel, in collaboration with CARB's Project Liaison, will plan, conduct, and attend an initial meeting with CARB staff following execution of the Grant Agreement. Topics for discussion may include, but not be limited to, the following:
 1. Project tasks, timelines, and milestones
 2. Project design and community engagement, outreach, and education activities
 3. Content and format for quarterly reports and final reports

4. Schedule for ongoing coordination meetings
 5. Participant surveys and reporting
 6. Other items as necessary
- ii. Ongoing Project Coordination: Ongoing Grantee coordination and review meetings with the CARB Project Liaison to discuss project status held at least quarterly, as well as a final meeting, or conference call pending CARB Project Liaison approval, held at the conclusion of the project. Additional meetings may be scheduled at the discretion of the CARB Project Liaison. Meetings may be conducted by phone if deemed appropriate by the CARB Project Liaison. Project coordination and review meetings are the responsibility of the Grantee and should contain:
 1. Agenda for the meeting with conference call information provided prior to the meeting
 2. Discussion of project activities, deliverables, schedule, and milestones
 3. Discussion of any difficulties encountered since the last project update
 4. Concerns or questions requiring resolution from CARB
 5. Notification of any pending disbursement requests
 6. Scheduling the next project coordination meeting
 - iii. Responses to CARB and public requests in a timely manner.
 - iv. Coordination with other CARB projects (e.g., One Stop Shop, Clean Mobility Options Voucher Pilot) where appropriate and as requested by CARB.
- b. The Grantee will coordinate with all project partners, including Subgrantees and Community Partners, following the decision-making structure and the governance, legal, and financial relationships set out in the Partnership Structure. This must include:
 - i. Regular communication with all Subgrantees, such as check-ins to keep track of progress made and troubleshoot issues encountered. The Grantee is responsible for keeping CARB informed of progress on the project.
 - ii. Regular communication with all Community Partners in a mutually agreed-upon format to share progress and receive feedback on project implementation and design
 - iii. Accessible public meetings to share progress and receive feedback on project implementation and design
 - iv. Updates to Community Partners and other community stakeholders on how their feedback is being incorporated into the design and implementation of the project

- v. Incentivize participation of all project partners, including Community Partners, appropriately
- c. The Grantee will directly and actively engage community residents during project implementation to ensure that project design and implementation meet the needs of the residents. The Grantee must:
 - i. Use community engagement methods recommended in STEP's Community Inclusion Guidance.
 - ii. Develop and implement a process for community engagement that maximizes the power of community residents to make decisions about project design and implementation.
 - iii. Conduct community engagement activities that help maximize residents' ability to participate, such as translating meetings and materials and scheduling meetings at times that are convenient to community residents
 - iv. Focus on engaging hard-to-reach residents whose interests have historically been under-represented
 - v. Incentivize community residents appropriately for their time and expertise during their participation in community engagement activities
- d. The Grantee will conduct outreach and education with community residents to inform their participation in decision-making processes. The Grantee must:
 - i. Use outreach and education methods recommended in STEP's Community Inclusion Guidance
 - ii. Conduct outreach and education activities that meet the needs of the residents, such as translating materials and creating events at times that are convenient to community residents
- e. Develop Policies and Procedures Manuals. Such documents and process flow charts should describe the Grantee's administrative actions for evaluating and processing project participants and data gathering and reporting for all aspects of the project. Examples include, but are not limited to:
 - i. Organizational charts
 - ii. Details on how key project processes are conducted and how associated documentation of data, signatures, and authorizations are gathered and recorded, including, but not limited to:
 - 1. Community engagement, outreach, and education
 - 2. Participant information
 - 3. Data collection and reporting
 - iii. Develop and maintain accounting procedures to track expenditures by:
 - 1. Grant Agreement number

2. Fiscal year
3. Funding source
- iv. Provisions to protect against conflict of interest
- v. Provisions to protect against fraud, and to identify, respond to, and report if fraud has occurred
- vi. Provisions to protect personally identifiable information
- f. Establish and maintain records on, but not limited to, participants and events as follows:
 - i. Identify participant data that are confidential and develop measures to keep these data confidential. For example, residential addresses must be kept confidential.
 - ii. Record the physical address and census tracts of each event location.
 - iii. Develop a systematic process and schedule to back up database(s) on a daily basis at a minimum.
 - iv. Develop and enforce security measures to safeguard project database(s).
 - v. Store all records in a secured and safe storage facility that maintains confidentiality and provides fire and natural disaster protection.
 - vi. Retain files during the term of the Grant Agreement plus three years after the grant term expires.
 - vii. Transfer all project records to CARB once the project ends or three years after the grant term expires, whichever comes first.
- g. The Grantee will report on and assess progress throughout project implementation via participant and project metrics, Status Reports, and the Final Report, as follows:
 - i. The Grantee will develop plans for the collection of data and carry out those plans using appropriate metrics and tools. CARB will coordinate with the Grantee to identify parameters and determine the most effective mechanism for obtaining information and measures to safeguard confidential individual information. At a minimum, participant metrics should be collected prior to launch of a new project, midway through a project, and at the end for Final Report reporting.
 - ii. The Grantee will track and report metrics, such as, but not limited to, the information outlined in Appendix H of this Grant Solicitation. The Grantee must track and report this data at least quarterly.
 - iii. Participate in third-party research projects as requested by CARB.
 - iv. Status Reports: The Grantee will submit numbered status reports accompanying grant disbursement requests to CARB at least quarterly, but may submit on a monthly basis if necessary to justify more frequent

disbursements with prior approval from CARB. These reports must be approved by CARB and must contain at minimum, in either Microsoft Word or PDF as a single electronic file, the information outlined in Section I of this Grant Agreement.

- v. Final Report: The Grantee will provide a Draft Final Report within 90 days of project completion or by January 31, 2025, whichever comes first. Final reports will contain at minimum the information outlined in Section I of this Grant Agreement.
- h. The Grantee will implement the project defined in the Grantee's proposal. Any modifications to or additional design of the project will incorporate community decision-making. Project design may include a combination of the elements described in Appendix E of the Grant Solicitation. The project identified in the Grantee's proposal must:
 - i. Meet applicable State laws
 - ii. Meet STEP's objectives, including:
 - 1. Address a community-identified transportation need
 - 2. Support increasing access to key destinations
 - 3. Facilitate or achieve GHG emission reductions
 - iii. Meet all requirements specified in Appendix E of the Grant Solicitation
- i. Meeting applicable requirements of statutes; applicable State law; the FY 2019-20 Funding Plan; the FY 2019-20 STEP Planning and Capacity Building Grant Solicitation; this Grant Agreement; and all Attachments, Exhibits, and Appendices to this Grant Agreement. The FY 2019-20 Funding Plan for Clean Transportation Incentives is available at: <https://ww2.arb.ca.gov/sites/default/files/2019-09/fy1920fundingplan.pdf>

G. FISCAL ADMINISTRATION

- 1. Budget
 - a. The maximum amount of this Grant is \$XX. Under no circumstance will CARB reimburse the Grantee for more than this amount. A formal Grant Agreement amendment is required whenever there is a change to the amount of this grant.
 - b. The budget for this program is shown in Exhibit B, Attachment I. Grant Disbursement Requests (Form MSCD/ISB-90) for funds shall not exceed the grant amount.
 - c. No grant funds may be used to purchase equipment or computers that would be required to be returned to the State at the completion of STEP.

- d. Under no circumstance will CARB reimburse a Grantee for vehicles or equipment that exceeds the purchase price.
- e. Line item shifts are not anticipated under this program. However, shifts of up to 10 percent of the grant total may be made over the life of the grant, subject to prior written approval from CARB. Line item shifts greater than 10 percent require a formal amendment to the grant. Line item shifts may be proposed by either CARB or the Grantee and must not increase or decrease the total grant amount. All line item shifts must be approved in writing by CARB within 10 business days of approval for inclusion in the grant folder. If the grant is formally amended, all line item shifts must be included in the amendment.
- f. Funds not liquidated by March 31, 2025 must be returned by **April 15, 2025**. Expenditure of funds granted may not be reduced due to any loss incurred in an insured bank or investment account.

2. Pilot Project Eligible Costs

Draft allowable expenditures for costs associated with the grant are defined in Appendix E of the Grant Solicitation and subject to change pending the selected Grantee's proposal and work plan.

3. Resource Contributions

Resource contributions from the Grantee can be used to increase the number of vehicles or equipment funded or to increase the effectiveness and timeliness of other project elements, as directed by CARB. Resource contributions must meet the criteria specified in Appendix G of the Grant Solicitation and the additional following criteria:

- a. Documentation of resource contributions must be retained for a minimum of three years after the grant term has ended.
- b. Funds expended on resource contributions must be documented in the STEP Final Report to CARB.

Resource contributions are further defined in Appendix G of the Grant Solicitation.

4. Advance Payment

Consistent with the Legislature's direction to expeditiously disburse grants, CARB in its sole discretion may provide advance payments of grant awards in a timely manner to support program initiation and implementation with a focus on mitigating the constraints of modest reserves and potential cash flow problems.

Recognizing that appropriate safeguards are needed to ensure grant monies are used responsibly, CARB has developed the grant conditions described below to establish control procedures for advance payments. CARB may provide advance payments to Grantees of a grant program or project if CARB determines all of the following:

- a. The advance payments are necessary to meet the purposes of the grant project.
- b. The use of the advance funds is adequately regulated by grant or budgetary controls.
- c. The request for application or the request for proposals contains the terms and conditions under which an advance payment may be received consistent with this section.
- d. The Grantee is either a small air district or the Grantee meets all of the following criteria:
 - v. Has no outstanding financial audit findings related to any of the moneys eligible for advance payment and is in good standing with the Franchise Tax Board and Internal Revenue Service
 - vi. Agrees to revert all unused moneys to CARB if they are not liquidated within the timeline specified in the Grant Agreement
 - vii. Submits a spending plan to CARB for review prior to receiving the advance payment
 - viii. The spending plan shall include project schedules, timelines, milestones, and the Grantee's fund balance for all State grant programs
 - ix. CARB shall consider the available fund balance when determining the amount of the advance payment
 - x. Reports to CARB any material changes to the spending plan within 30 days
 - xi. Agrees to not provide advance payment to any other entity
- e. In the event of the nonperformance of the Grantee, CARB shall require the full recovery of the unspent moneys. A Grantee shall provide a money transfer confirmation within 45 days upon the receipt of a notice from CARB.
- f. The Grantee must complete and submit to CARB for review and approval an Advance Payment Request Form, along with each grant disbursement that is

requesting advance payment. The Advance Payment Request Form shall be provided by CARB to the Grantee after the grant execution.

- g. CARB may provide an advance of the direct project costs of the grant, if the program has moderate reserves and potential cash flow issues. Advance payments will not exceed the Grantee's interim cash needs.
- h. The Grantee assumes legal and financial risk of the advance payment.
- i. The Grantee shall place funds advanced under this section in an interest-bearing account. The Grantee shall track interest accrued on the advance payment. Interest earned on the advance payment shall only be used for eligible grant-related expenses as outlined in the Grant Provisions, Exhibit A, or will be returned to CARB.
- j. The Grantee shall report to CARB the value of any unused balance of the advance payment and interest earned and submit quarterly fiscal accounting reports consistent with Section I (Reporting and Documenting Expenditure of State Funds) of this Grant Agreement.
- k. The Grantee shall remit to CARB any unused portion of the advance payment and interest earned within 90 days following the end date of this Grant Agreement term or the reversion date of the appropriation.

5. Grant Disbursements

With each disbursement request, the Grantee must provide documentation as required in this section:

- a. Requests for payment shall be made with the Grant Disbursement Request Form (MSCD/ISB-90) and conform to the instructions identified in Sections G and I of this Grant Agreement. Grant payments shall be made only for reasonable costs incurred by the Grantee and only when the Grantee has submitted a Grant Disbursement Request Form; has completed milestones stipulated in Exhibit B, Attachment II; the requirements specified herein, including Section F, Section G, Section H, and Section I of this Grant Agreement have been accomplished; documentation of accomplishment has been provided to CARB in the form of the Status Report; and any associated deliverables (if applicable) have been provided to CARB. CARB will have sole discretion to accelerate the timeline for allowable disbursements of funds identified in Exhibit B, Attachment II (with the exception of the final disbursement of funds), necessary to assure the goals of the program are met.
- b. Grant payments are subject to CARB's approval of Status Reports and any

- accompanying deliverables (see Sections F, G, H and I of this Grant Agreement). A payment will not be made if the CARB Project Liaison deems that a milestone has not been accomplished or documented; that a deliverable meeting specifications has not been provided; that claimed expenses are not documented, not valid per the budget, or not reasonable; or that the Grantee has not met other terms of the grant.
- c. Requests for project funds in advance of performing the work or incurring the cost requires an Advance Payment Request Form (see Section G.5, Advance Payment) and a detailed list of the future work the Grantee intends to fund with the disbursement. The Grantee must demonstrate in a subsequent report that the advance has been expended appropriately by supplying documents required in Section G.6, Grant Disbursements. The recipient of a CARB advance payment cannot advance pay any other entity. No further advance shall be disbursed until the Grantee is fully compliant with all terms of the grant. Failure to comply shall require the Grantee to return all amounts of the inappropriate or unapproved expenditure to CARB within 45 calendar days of written notification.
 - d. The Chief of the Sustainable Transportation and Communities Division or designee of CARB may review the CARB Project Liaison's approval or disapproval of a Grant Disbursement Request. No reimbursement will be made for expenses that, in the judgment of the Division Chief of the Sustainable Transportation and Communities Division, are not reasonable or do not comply with the Grant Agreement.
 - e. The Grantee shall mail completed and signed Grant Disbursement Requests to the CARB Project Liaison.
 - f. CARB will withhold payment of up to 10 percent of the grant funds until completion of the Final Report, intellectual property has been relinquished to CARB in accordance with Sections I and L of these provisions, CARB has received and approved the Grantee's mechanism for receiving annual activity reports, and submission of the Final Report to CARB by the Grantee. It is the Grantee's responsibility to submit a Grant Disbursement Request for this final disbursement of funds.
 - g. CARB shall disburse funds in accordance with the California Prompt Payment Act, Government Code, Section 927, et seq.
 - h. The Grantee will pay out CARB funds to other sub-grantees or subcontractors on a reimbursement basis only.
6. Suspension of Payments and Grant Termination

- a. CARB reserves the right to issue a grant suspension order in the event that a dispute should arise. The grant suspension order will be in effect until the dispute has been resolved or the grant has been terminated. If the Grantee chooses to continue work on the project after receiving a grant suspension order, the Grantee will not be reimbursed for any expenditure incurred during the suspension in the event CARB terminates the grant. If CARB rescinds the suspension order and does not terminate the grant, CARB will reimburse the Grantee for any expenses incurred during the suspension that are reimbursable in accordance with the terms of the grant.
- b. CARB reserves the right to terminate this grant upon 30 days' written notice to the Grantee. In case of early termination, the Grantee will submit a Grant Disbursement Request, a Status Report covering activities up to, and including, the termination date and following the requirements specified herein and in Section I of these provisions. Upon receipt of the Grant Disbursement Request Form and Status Report, and when all intellectual property has been relinquished to CARB, a final payment will be made to the Grantee. This payment shall be for all CARB-approved, actually incurred costs that in the opinion of CARB are justified. However, the total amount paid shall not exceed the total grant amount.
- c. Upon termination, grant funds must be returned to CARB within 45 days.

7. Contingency Provision

In the event this grant is terminated for any reason, the CARB Executive Officer or designee reserves the right in his or her sole discretion to award a grant to the next highest scored Applicant and if an agreement cannot be reached, to the next Applicant(s) until an agreement is reached. If CARB is unable to award a grant under these circumstances, CARB may award a grant in a manner consistent with direction provided in the FY 2019-20 Funding Plan for STEP.²

8. Documentation of Administration Funds

- a. Personnel documentation must make use of timesheets or other labor tracking software. Duty statements or other documentation may also be used to verify the number of staff and actual hours or percent of time staff devoted to STEP implementation and outreach.
- b. Fees for external consultants must be documented with copies of the consultant contract and invoices. All external consultant fees must be pre-approved by CARB. Fees included in the budget as a part of the Grantee Proposal Package (Exhibit C) are considered pre-approved by CARB.

² Funding Plan for Fiscal Year 2019-20 <https://ww2.arb.ca.gov/our-work/programs/low-carbon-transportation-investments-and-air-quality-improvement-program/low-1>

- c. Printing, mailing, records retention, and travel expenses must be documented with receipts or invoices.
- d. Any reimbursement for necessary supporting project costs need receipts or invoices.
- e. Any reimbursement for necessary travel and per diem shall be at rates not to exceed those amounts set by the California Department of Human Resources (CalHR). No travel outside the State of California shall be reimbursed unless prior written authorization is obtained from CARB. The CalHR travel and per diem reimbursement amounts may be found online at: <https://www.calhr.ca.gov/employees/pages/travel-reimbursements.aspx>. Reimbursement will be at the State travel and per diem amounts that are current as of the date costs are incurred by the Grantee.
- f. The above documentation, records, and referenced materials must be made available for review during monitoring visits and audits by CARB, or its designee. These records must be retained for a minimum of three years after submittal of the final STEP grant disbursement request to CARB.
- g. The above documentation must be provided to CARB in quarterly Status Reports and a Final Report.

9. Earned Interest

“Earned interest” means any interest generated from State funds provided to the Grantee and held in an interest-bearing account.

- a. Interest earned by the Grantee on STEP funds must be reported to CARB. All interest income on STEP funds must be expended on eligible program costs (see Section G of this Grant Agreement) or returned to CARB. The Grantee is responsible for reporting to CARB on all interest earned and reinvested into STEP or returned.
- b. All interest income on advance payment at CARB’s discretion must be reinvested into the program or returned to CARB. Interest earned that is reinvested in the program is not included as part of the Total Grant Amount from CARB. Grantee is responsible for reporting to CARB all project expenditures funded with interest earned on advanced funds or returned.
- c. The Grantee must maintain accounting records (e.g., general ledger) that track interest earned and expended on STEP funds, as follows:
 - i. The calculation of interest must be based on average daily balance or

- some other reasonable and demonstrable method of allocating the proceeds from the interest-generating account back into the program.
- ii. The methodology for tracking earned interest must ensure that it is separately identifiable from interest earned on non-STEP funds.
 - iii. The methodology for calculating earned interest must be consistent with how it is calculated for the Grantee's other fiscal programs.
 - iv. Earned interest must be fully expended by March 31, 2025 or returned to CARB.
- d. Documentation of interest earned on STEP funds must be retained for a minimum of three years after it is generated. Documentation of interest expended on STEP must be retained for a minimum of three years after the funds have been reinvested into the project.
- e. The above documentation must be provided to CARB in Status Reports and a Final Report.

H. PROJECT MONITORING AND MEETINGS

1. Meetings

- a. Initial meeting: A meeting will be held between key program personnel and the CARB Project Liaison before work on the program begins. The purpose of the initial meeting is to discuss the overall approach, details of performing essential tasks, the program schedule and milestones, details of work group process, and any issues that may need to be resolved prior to beginning work. Topics may include process for program decision-making and frequency and process for ongoing project team coordination.
- b. Review meetings: After the initial meeting with CARB staff, monthly meetings will be required until the tasks related to project initiation (scope of work, task dates, etc.) are finalized. After the project is operational, CARB and the Grantee can hold less frequent meetings (quarterly, at minimum), if deemed appropriate. Additional meetings may be scheduled at the sole discretion of the CARB Project Liaison. Such meetings may be conducted by phone, if deemed appropriate by the CARB Project Liaison. The Grantee is responsible for developing the agenda in collaboration with the CARB Project Liaison, and for facilitating the meetings.
- c. Site visits: If applicable, site visits shall be established by CARB Project Liaison during the term of this grant.

2. Technical Monitoring

- a. Any changes in the scope or schedule for the program shall require the prior written approval of the CARB Project Liaison and may require a written Grant Agreement amendment.
- b. The Grantee shall notify the CARB Project Liaison in writing immediately if any circumstances arise (technical, economic, or otherwise), which might place completion of the project in jeopardy. The Grantee shall also make such notification if there is a change in key project personnel (see Exhibit B, Attachment III).
- c. In addition to Status Reports (see Section I of this Grant Agreement), the Grantee shall provide information requested by the CARB Project Liaison that is needed to assess progress in completing tasks and meeting the objectives of the program.
- d. Any change in budget allocations, re-definition of deliverables, or extension of the program schedule must be requested in writing to the CARB Project Liaison and approved by CARB, in its sole discretion, and may require a Grant Agreement amendment.

I. REPORTING AND DOCUMENTING EXPENDITURE OF STATE FUNDS

The Grantee must provide CARB with documentation accounting for the proper expenditure of funds. The documentation must be provided in Status Reports submitted at a minimum every three months to CARB and a Final Report submitted prior to the Grantee receiving their last disbursement of project funds.

1. Status Reports

- a. The Grantee shall submit Status Reports at a minimum of three-month intervals. The Status Reports shall be provided in a format agreed upon between the CARB Project Liaison and the Grantee and meet the requirements specified herein. CARB may specify an electronic format for quarterly reporting.
- b. Status Reports provide a mechanism for the Grantee to justify a need for additional grant disbursements from CARB.
- c. Every Grant Disbursement Request Form (MSCD/ISB-90) shall be accompanied by a Status Report that documents the completion of a milestone specified in Exhibit B, Attachment II.
- d. Each Status Report must include, at minimum:

- i. Project Status Report number, title of project, name of Grantee, date of submission, and project grant number
 - ii. Summary of work completed since the last progress report, noting progress toward completion of tasks and milestones identified in the work plan
 - iii. Statement of work expected to be completed by the next progress report
 - iv. Notification of problems encountered and an assessment of their effects on the project's outcomes
 - v. Data collected from participants since the last data reporting
 - vi. Schedule of community engagement, outreach, and education activities conducted, materials used, number of people contacted, and number of participants, where applicable
 - vii. An evaluation of any community engagement, outreach, and education strategies deployed
 - viii. Accounting records, including expenditure and income information and supporting documentation
 - ix. Itemized invoices (invoices must include enough details to ensure that only eligible costs are paid for) and any other appropriate documentation
 - x. Discussion of the project's adherence to the project timeline
 - xi. Other data and analysis as mutually agreed upon between the Grantee and CARB
- a. If the tasks outlined in this Grant Agreement are behind schedule, the Grantee must notify CARB immediately and explain how they will return to schedule.

2. Final Report

- a. When the project is complete, the Grantee shall submit a draft Final Report. The draft Final Report must be submitted to CARB in an appropriate format agreed upon between CARB Project Liaison and the Grantee. The Final Report must meet the requirements specified herein. Upon approval of the draft Final Report by CARB Project Liaison, the Grantee shall provide a

- written copy of the final version, plus an electronic file.
- b. The Grantee must provide a Final Report to CARB after all STEP funding has been expended. The Final Report must be submitted within 90 days of program completion or by March 31, 2025, whichever comes first. A draft Final Report is due to CARB by January 31, 2025.
 - c. The Final Report must include, at a minimum:
 - i. Total expenditures in detail to date and for the period between the last quarterly report and the Final Report
 - ii. Excel spreadsheet of the funded project and project milestones
 - iii. Summary report of the projects for the period covered by the Grant Agreement (may be provided as summaries or previously submitted Status Reports – see Status Report)
 - iv. Overview of the project as whole from beginning through the end of the grant term, including project and community background, partnerships, and funding sources
 - v. Analysis of participant evaluations, such as results of any pre- and post-surveys conducted
 - vi. Changes in participant knowledge of and acceptance of clean transportation options
 - vii. Description of community engagement, outreach, and education efforts, including materials used, schedule of events conducted, and an assessment of effectiveness of the efforts
 - viii. Co-benefits provided by the project as mutually agreed upon between the Grantee and CARB
 - ix. Accounting records, including expenditure and income information and supporting documentation. Includes earned interest, if any, and how it was expended or returned to CARB.
 - x. Best practices and lessons learned, including suggestions for future project considerations for wider scale implementation in other communities
 - xi. Implementation challenges and recommendations for potential program improvements

- xii. Other data and analysis as mutually agreed upon between the Grantee and CARB

J. OVERSIGHT AND ACCOUNTABILITY

1. The Grantee shall comply with all oversight responsibilities.
2. CARB or its designee may recoup the grant funds which were received based upon misinformation or fraud, or for which a Grantee is in significant or continual non-compliance with the terms of this Grant or State law. CARB also reserves the right to prohibit any entity from participating in STEP due to non-compliance with program requirements.
3. If the Grantee detects any actual or potentially fraudulent activity by anyone or entity associate with the project, it shall notify CARB as soon as possible and work with CARB to determine an appropriate course of action.

K. PROJECT RECORDS

As further described below, program records include but are not limited to the Grantee, financial, and participant records. All project records must be retained for a period of three (3) years after final payment under this grant. All project records are subject to audit pursuant to Section N (4) of this Grant Agreement. Upon completion of the third year of record retention, the Grantee shall submit all program records to CARB. Hardcopy or electronic records are suitable. Acceptable forms of electronic media include hard drives, CDs, and DVDs. Other forms of electronic media may be allowed based on prior written concurrence from CARB.

1. Grantee Records

The Grantee shall retain a STEP file containing:

- b. Original executed copy of the STEP Grant Agreement and Grant Agreement Amendments (if applicable)
- c. Policies and Procedures Manual
- d. Copies of Grant Disbursement Request Forms and attachments
- e. Copies of Status Reports
- f. Documentation of earned interest generation and expenditure (see Section G for more information)

2. Financial Records

Without limitation of the requirement to maintain program accounts in accordance with generally accepted accounting principles, the Grantee must:

- a. Establish an official file for the project, which shall adequately document all significant actions relative to the program
- b. Establish separate accounts which will adequately and accurately depict all amounts received and expended on the project
- c. Establish separate accounts which will adequately and accurately depict all income received which is attributable to the project including cash and in-kind donations, if any
- d. Establish an accounting system which will adequately depict final total costs of the project, including grant implementation costs

3. Project Participant Records

The Grantee is required to establish and maintain participant records, which must include, at minimum:

- a. Project participant proposals (denied, approved, and removed)
- b. Initial participant surveys and survey updates
- c. Unique identifier that links each project to its corresponding project and associated cost
- d. Documentation of any deviations from the normal processing of projects (examples include enforcement action, CARB case-by-case approvals)

L. INTELLECTUAL PROPERTY

Any webpage(s), software, databases, program data, or other intellectual property developed or purchased by the Grantee for the purposes of administering or implementing STEP are the property of CARB.

M. CONFIDENTIALITY AND DATA SECURITY

It is expressly understood and agreed that information the Grantee collects on behalf of the State or from a third party in performing its obligations under this Grant Agreement may be deemed confidential by the State. Therefore:

1. All information or data gathered pursuant to this grant shall be held confidential and released only to CARB or other entities as CARB may specify in writing.
2. The Grantee certifies that it has appropriate systems and controls in place to ensure that State funds will not be used in the performance of this Grant Agreement for the acquisition, operation, or maintenance of computer software in violation of copyright laws.
3. Information or data, including but not limited to all application records and supporting documentation that personally identifies or describes an individual or individuals is confidential in accordance with California Civil Code sections 1798, et seq. and other relevant State or Federal statutes and regulations. The Grantee shall safeguard all such information or data which comes into their possession under this agreement in perpetuity, and shall not release or publish any such information, data or application records.
4. The Grantee must observe complete confidentiality with respect to such information or data collected pursuant to this grant, including without limitation, agreeing not to disclose or otherwise permit access to such information by any person or entity in any manner whatsoever unless such disclosure is required by law or legal process.
5. The Grantee must acknowledge the confidential nature of such information and ensure by agreement or otherwise that they are prohibited from copying or revealing, for any purpose whatsoever, the contents of such information or any part thereof, or from taking any action otherwise prohibited under this section.
6. The Grantee must ensure that the Grantee's employees are informed of the confidential nature of such information and ensure by agreement or otherwise that they are prohibited from copying, revealing, or utilizing for any purpose in fulfillment of this grant, the contents of such information or any part thereof, or from taking any action otherwise prohibited under this section.
7. The Grantee shall limit access to information and data gathered pursuant to this grant only to necessary employees to perform their job duties.
8. The Grantee must not use such information or any part thereof in the performance of services to others or for the benefit of others in any form whatsoever whether gratuitously or for valuable consideration.
9. The Grantee must notify the State promptly and in writing of the circumstances surrounding any possession, use, or knowledge of such information or any part thereof, by any person other than those authorized by this document.
10. The Grantee must adhere to all CARB confidentiality, disclosure, and privacy

policies.

11. The Grantee must treat all information, deliverables, and work products developed or collected pursuant to this grant as confidential. All information, deliverables, and work products cannot be disclosed in any form to any third party without CARB's written consent except when required by law or legal process.
12. The Grantee must not use, without CARB written approval, any CARB materials for any purpose other than performing the agreed upon services.
13. At the conclusion of the engagement or upon termination of this Grant Agreement, the Grantee shall surrender all information in any form developed or collected pursuant to this grant.
14. If the Grantee suspects loss or theft, the Grantee must report any lost or stolen information, data, or equipment developed or collected pursuant to this grant to CARB immediately.
15. The Grantee must provide CARB all pass phrases and passwords for private keys to encrypt data used, produced, or acquired in the course of performing duties under this Grant Agreement.
16. The Grantee must sign non-disclosure and confidentiality agreements as provided by CARB.
17. The Grantee agrees to notify CARB immediately of any security incident involving the information system, servers, data, or any other information developed or collected pursuant to this grant. The Grantee agrees that CARB has the right to participate in the investigation of a security incident involving its data or conduct its own independent investigation, and that the Grantee shall cooperate fully in such investigations.
18. The Grantee agrees that it shall be responsible for all costs incurred by CARB due to security incident resulting from the Grantee's failure to perform or negligent acts of its personnel, and resulting in an unauthorized disclosure, release, access, review, or destruction; or loss, theft, or misuse of information or data developed or gathered pursuant to this grant. If the Grantee experiences a loss or breach of data, the Grantee shall immediately report the loss or breach to CARB. If CARB determines that notice to the individuals whose data has been lost or breached is appropriate, the Grantee will bear any and all costs associated with the notice or any mitigation selected by CARB. These costs include, but are not limited to, staff time, material costs, postage, media announcements, credit monitoring for impacted individuals, and other identifiable costs associated with the breach or loss of data.

19. The Grantee agrees that it shall immediately notify and work cooperatively with CARB to respond timely and correctly to public records act requests.

N. GENERAL PROVISIONS

1. **Amendment:** No amendment or variation of the terms of this Grant Agreement shall be valid unless made in writing, signed by the parties, and approved as required. No oral understanding or agreement not incorporated in the Grant Agreement is binding on any of the parties.
2. **Assignment:** This grant is not assignable by the Grantee, either in whole or in part, without consent of CARB in a formal written amendment.
3. **Availability of funds:** CARB's obligations under this Grant Agreement are contingent upon the availability of funds. In the event funds are not available, the State shall have no liability to pay any funds whatsoever to the Grantee or to furnish any other considerations under this Grant Agreement.
4. **Audit:** The Grantee agrees that CARB, the Department of General Services, Department of Finance, the Bureau of State Audits, or their designated representative shall have the right to review and to copy any records and supporting documentation pertaining to the performance of this grant and all State funds received. The Grantee agrees to maintain such records for possible audit for three (3) years after the term of this grant is completed, unless a longer period of records retention is stipulated. The Grantee agrees to allow the auditor(s) access to such records during normal business hours and to allow interview of any employees who might reasonably have information related to such records. Further, the Grantee agrees to include similar right of the State audit records and interview staff in any grant related to performance of this agreement.
5. **Compliance with law, regulations, etc.:** The Grantee agrees that it will, at all times, comply with and require its contractors and subcontractors to comply with all applicable federal and State laws, rules, guidelines, regulations, and requirements.
6. **Conflict of interest:** The Grantee certifies that it is in compliance with applicable State and federal conflict of interest laws. The Grantee may have no interest, and shall not acquire any interest, direct or indirect, which will conflict with its ability to impartially complete the tasks described herein. The Grantee must disclose any direct or indirect financial interest or situation which may pose an actual, apparent, or potential conflict of interest with its duties throughout the grant term. CARB may consider the nature and extent of any actual, apparent, or potential conflict of interest with its duties throughout the

grant term. CARB may consider the nature and extent of any actual, apparent, or potential conflict of interest in the Grantee's ability to perform the grant. The Grantee must immediately advise CARB in writing of any potential new conflicts of interest throughout the grant term.

7. **Disadvantaged communities:** The Grantee, for the purposes of this program, will designate disadvantaged communities, as identified by CalEnviroScreen 3.0. The identified disadvantaged community census tracts are available at: <https://oehha.ca.gov/calenviroscreen/report/calenviroscreen-30>.
8. **Disputes:** The Grantee shall continue with the responsibilities under this Grant Agreement during any dispute. Grantee staff or management may work in good faith with CARB staff or management to resolve any disagreements or conflicts arising from implementation of this Grant Agreement. However, any disagreements that cannot be resolved at the management level within 30 days of when the issue is first raised with the CARB Project Liaison shall be subject to resolution by the CARB Executive Officer, or designated representative. Nothing contained in this paragraph is intended to limit any rights or remedies that the parties may have under law.
9. **Environmental justice:** In the performance of this Grant Agreement, the Grantee shall conduct its programs, policies, and activities that substantially affect human health or the environment in a manner that ensures the fair treatment of people of all races, cultures, and income levels, including minority populations and low-income populations of the State.
10. **Fiscal management systems and accounting standards:** The Grantee agrees that, at a minimum, its fiscal control and accounting procedures will be sufficient to permit tracing of grant funds to a level of expenditure adequate to establish that such funds have not been used in violation of State law or this Grant Agreement. Unless otherwise prohibited by State or local law, the Grantee further agrees that it will maintain separate Project accounts in accordance with generally accepted accounting principles.
11. **Force majeure:** Neither CARB nor the Grantee must be liable for or deemed to be in default for any delay or failure in performance under this Grant Agreement or interruption of services resulting, directly or indirectly, from acts of God, enemy or hostile governmental action, civil commotion, strikes, government orders, national or state declared pandemics, lockouts, labor disputes, fire, flood, earthquakes or other physical natural disaster. If either party intends to invoke this clause to excuse or delay performance, the party invoking the clause must provide written notice to the other party immediately but no later than fifteen (15) calendar days of when the force majeure event occurs and reasons that the force majeure event is preventing that party from or delaying that party in performing its obligations under this contract. CARB may

terminate this Grant Agreement immediately in writing without penalty in the event Grantee invokes this clause.

If the Grant Agreement is not terminated by CARB pursuant to this clause, upon completion of the event of force majeure, the Grantee must as soon as reasonably practicable recommence the performance of its obligations under this Grant Agreement. The Grantee must also provide a revised schedule to minimize the effects of the delay caused by the event of force majeure. An event of force majeure does not relieve a party from liability for an obligation which arose before the occurrence of that event.

12. **Governing law and venue:** This grant is governed by and shall be interpreted in accordance with the laws of the State of California. CARB and the Grantee hereby agree that any action arising out of this Grant Agreement shall be filed and maintained in the Superior Court in and for the County of Sacramento, California, or in the United States District Court in and for the Eastern District of California. The Grantee hereby waives any existing sovereign immunity for the purposes of this Grant Agreement.
13. **Grantee's responsibility for work:** The Grantee shall be responsible for work and for persons or entities engaged in work, including, but not limited to, contractors, subcontractors, suppliers, and providers of services. The Grantee shall be responsible for any and all disputes arising out of its contract for work on the project, including but not limited to payment disputes with contractors, subcontractors, and providers of services. The State will not mediate disputes between the Grantee and any other entity concerning responsibility for performance of work. The Grantee will pay out CARB funds to other entities on a reimbursement basis only.
14. **Indemnification:** The Grantee agrees to indemnify, defend, and hold harmless the State and the Board and its officers, employees, agents, representatives, and successors-in-interest against any and all liability, loss, and expense, including reasonable attorneys' fees, from any and all claims for injury or damages arising out of the performance by the Grantee, and out of the operation of equipment that is purchased with funds from this grant award.
15. **Independent contractor:** The Grantee, and its agents and employees, if any, in their performance of this Grant Agreement, shall act in an independent capacity and not as officers, employees, or agents of CARB.
16. **Non-discrimination clause:** During the performance of this Grant Agreement, the Grantee and its subcontractors, if any, shall not unlawfully discriminate, harass, or allow harassment against any employee or Applicant for employment because of sex, race, color, ancestry, religious creed, national origin, physical disability (including HIV and AIDS), mental disability, medical condition (e.g.,

cancer), age (over 40), marital status, and denial of family care leave. The Grantee and subcontractors shall ensure that the evaluation and treatment of their employees and Applicants for employment are free from such discrimination and harassment. The Grantee and subcontractors shall comply with the provisions of the Fair Employment and Housing Act (Gov.Code §2990 (a-f) et seq.) and the applicable regulations promulgated thereunder (California Code of Regulations, Title 2, section 7825 et seq.). The applicable regulations of the Fair Employment and Housing Commission implementing Government Code Section 12990 (a-f) set forth in Chapter 5 of Division 4 of Title 2 of the California Code of Regulations, are incorporated into this Agreement by reference and made a part hereof as if set forth in full. The Grantee and its subcontractors shall give written notice of their obligations under this clause to labor organizations with which they have a collective bargaining or other agreement. The Grantee shall include the non-discrimination and compliance provisions of this clause in all subcontracts to perform work under the agreement.

17. **No third party rights:** The parties to this Grant Agreement do not create rights in, or grant remedies to, any third party as a beneficiary of this Grant Agreement, or of any duty, covenant, obligation, or undertaking establish herein.
18. **Ownership:** All information, data, documents, intellectual property including but not limited to webpages received or generated by the Grantee under this grant is the property of CARB. No information, data, documents, intellectual property received or generated under this grant shall be released without CARB's approval.
19. **Personally Identifiable Information:** Information or data, including but not limited to all records and supporting documentation that personally identifies an individual or individuals is confidential in accordance with California Civil Code sections 1798, et seq. and other relevant State or Federal statutes and regulations. The Grantee must safeguard all such information or data which comes into their possession under this agreement in perpetuity, and must not release or publish any such information, data, or project records.
20. **Prevailing wages and labor compliance:** If applicable, the Grantee agrees to be bound by all the provisions of State Labor Code Section 1771 regarding prevailing wages. If applicable, the Grantee shall monitor all agreements subject to reimbursement from this Grant Agreement to ensure that the prevailing wage provisions of State Labor Code Section 1771 are being met.
21. **Professionals:** For projects involving installation or construction services, the Grantee agrees that only licensed professionals will be used to perform services under this Grant Agreement where such services are called for and licensed

professionals are required for those services under State law.

22. **Severability:** If a court of competent jurisdiction holds any provision of this Grant agreement to be illegal, unenforceable, or invalid in whole or in part for any reason, the validity and enforceability of the remaining provisions, or portions of those provisions, will not be affected.
23. **Termination:** In addition to the termination provisions in Section G of this Grant Agreement, CARB may terminate this Grant Agreement by written notice at any time prior to completion of this Grant Agreement, upon violation by the Grantee of any material provision after such violation has been called to the attention of the Grantee and after failure of the Grantee to bring itself into compliance with the provisions of this Grant Agreement. CARB also reserves the right to terminate this grant upon 30 days written notice to the Grantee if CARB determines that the project has not progressed satisfactorily during the previous three months and the Grantee and CARB have been unable to agree on modifications. Upon termination, the Grantee must return unused grant funds to CARB within 45 calendar days.
24. **Timeliness:** Time is of the essence in this Grant Agreement. The Grantee shall proceed with and complete the project in an expeditious manner.
25. **Waiver of rights:** Any waiver of rights with respect to a default or other matter arising under this Grant Agreement at any time by either party shall not be considered a waiver of rights with respect to any default or matter. Any rights and remedies of the State provided for in this Grant Agreement are in addition to any other rights and remedies provided by law.

O. INSURANCE REQUIREMENTS

The Grantee must comply with all requirements outlined in the (1) General Provisions and (2) Insurance Requirements outlined below. No payments will be made under the grant until the Grantee fully complies with all insurance requirements.

1. General Provisions Applying to All Policies:
 - a. Coverage Term – Coverage needs to be in force for the complete term of the grant. If insurance expires during the term of the grant, a new certificate must be received by the State at least thirty (30) days prior to the expiration of this insurance. Any new insurance must comply with the original grant terms.
 - b. Policy Cancellation or Termination & Notice of Non-Renewal – The Grantee is responsible to notify the Program Administrator within five (5) business days of any cancellation, non-renewal or material change that affects

- required insurance coverage. New certificates of insurance are subject to the approval of the Department of General Services and the Grantee agrees no work or services will be performed prior to obtaining such approval. In the event that the Grantee fails to keep in effect at all times the specified insurance coverage, the State may, in addition to any other remedies it may have, terminate this grant upon the occurrence of such event, subject to the provisions of this grant.
- c. Premiums, Assessments, and Deductibles – The Grantee is responsible for any premiums, policy assessments, deductibles or self-insured retentions contained within their insurance program.
 - d. Primary Clause – Any required insurance contained in this grant shall be primary, and not excess or contributory, to any other insurance carried by the State.
 - e. Insurance Carrier Required Rating – All insurance companies must carry an AM Best rating of at least “A–” with a financial category rating of no lower than VI. If the Grantee is self-insured for a portion or all of its insurance, review of financial information including a letter of credit may be required.
 - f. Endorsements – Any required endorsements requested by the State must be physically attached to all requested certificates of insurance and not substituted by referring to such coverage on the certificate of insurance.
 - g. Inadequate Insurance – Inadequate or lack of insurance does not negate Awardee’s obligations under the grant.
 - h. Satisfying a Self-Insured Retention (SIR) – All insurance required by this contract must allow the State to pay and/or act as the contractor’s agent in satisfying any self-insured retention (SIR). The choice to pay and/or act as the contractor’s agent in satisfying any SIR is at the State’s discretion
 - i. Available Coverages/Limits – All coverage and limits available to the Awardee shall also be available and applicable to the State.
 - j. Use of Subcontractor – In the case of the Grantee’s utilization of Subcontractors to complete the grant scope of work, the Grantee shall include all Subcontractors as insured’s under the Grantee’s insurance or supply evidence of Subcontractor’s insurance to The State equal to policies, coverages, and limits required of the Grantee.
2. Grant Insurance Requirements – The Grantee shall display evidence of the following on a certificate of insurance. After the solicitation is awarded, failure to provide the certificate upon request will result in the termination of the

grant. The Grantee must assure the community pilot project(s) funded by the Program Administrator (CARB) fully complies with all insurance requirements before starting the project. The following coverages must be evidenced on the certificate of insurance and all endorsements required must be attached:

- a. Commercial General Liability – The Grantee shall maintain general liability on an occurrence form with limits not less than \$5,000,000 per occurrence for bodily injury and property damage liability combined with a \$5,000,000 annual policy aggregate. The policy shall include coverage for liabilities arising out of premises, operations, independent the Grantees, products, completed operations, personal & advertising injury, and liability assumed under an insured contract or grant. This insurance shall apply separately to each insured against whom claim is made or suit is brought subject to the Grantee’s limit of liability.

The policy must name “State of California and California Air Resources Board, its officers, agents, and employees as additional insured with respect to liability arising out of work or operations performed by or on behalf of the awardee including any electric bikes and scooters in connection with any such work or operations”.

- b. Workers Compensation and Employers Liability – The Grantee shall maintain statutory worker’s compensation and employer’s liability coverage for all its employees who will be engaged in the performance of the grant. In addition, employer’s liability limits of \$1,000,000 are required. By signing this contract, Contractor acknowledges compliance with these regulations.

A Waiver of Subrogation or Right to Recover endorsement in favor of the State of California must be attached to certificate.

- c. Either policy must name “State of California and California Air Resources Board, its officers, agents, and employees as additional insured with respect to liability arising out of work or operations performed by or on behalf of the awardee including any electric bikes and scooters in connection with any such work or operations. “Non-Profit Organization with Volunteers Only (if applicable): A Volunteer Accident Insurance Policy with a limit not less than \$1,000,000. The policy shall contain a waiver of subrogation in favor of the State of California, if such endorsement is available in the open market. Said policy shall be issued by an insurance company with a rating which is acceptable to the Department of General Services, Office of Risk and Insurance Management. CARB reserves the right to review and adjust insurance requirements as necessary during the grant term.
- d. Cyber Liability coverage, with limits not less than \$1,000,000 per occurrence or claim. Coverage shall be sufficiently broad to respond to the duties and

obligations as is undertaken by the Grantee in the grant agreement and shall include, but not be limited to, claims involving infringement of intellectual property, including but not limited to infringement of copyright, trademark, trade dress, invasion of privacy violations, information theft, damage to or destruction of electronic information, release of private information, alteration of electronic information, extortion and network security. The policy shall provide coverage for breach response costs as well as regulatory fines and penalties as well.

WORK STATEMENT

Attachment I – Budget Summary

Grantee:

Project:

Grant Number:

	Total Costs and Funding
Project Costs	\$
Direct Grant Implementation Costs	\$
Indirect Grant Implementation Costs	\$
Total Grant Funds	\$
Resource Contribution	\$
Total Proposal Funds	\$

EXHIBIT B

Attachment II – Project Milestones and Disbursement Schedule

Sample only. Sample only. This will be adapted from the timeline in the Applicant’s proposal template.

	Description	Start date	Completion date	Roles	Deliverables (if applicable)	Request for STEP funds
Task 1		0/0/0	0/0/0			\$
Task 2		0/0/0	0/0/0			\$
Task 3		0/0/0	0/0/0			\$
Task 4		0/0/0	0/0/0			\$
[Etc.]		0/0/0	0/0/0			\$
	Disbursement request #1		0/0/0			\$

	Description	Start date	Completion date	Roles	Deliverables (if applicable)	Request for STEP funds
Task 5		0/0/0	0/0/0			\$
Task 6		0/0/0	0/0/0			\$
Task 7		0/0/0	0/0/0			\$
Task 8		0/0/0	0/0/0			\$
[Etc.]		0/0/0	0/0/0			\$
	Disbursement request #2		0/0/0			\$

Attachment III – Key Project Personnel

Grantee:
Project:
Grant Number:

Name	Position	Duties

Grantee Proposal Package

CARB will insert the Applicant's proposal package here.

Grant Solicitation Package

CARB will insert the STEP solicitation package here.

EXHIBIT E

PAYEE DATA RECORD

The Grantee's payee data record is included in this section.

State of California
Financial Information System for California (FI\$Cal)
GOVERNMENT AGENCY TAXPAYER ID FORM

2000 Evergreen Street, Suite 215
Sacramento, CA 95815
www.fiscal.ca.gov
1-855-347-2250



The principal purpose of the information provided is to establish the unique identification of the government entity.

Instructions: You may submit one form for the principal government agency and all subsidiaries sharing the same TIN. Subsidiaries with a different TIN must submit a separate form. Fields marked with an asterisk (*) are required. Hover over fields to view help information. Please print the form to sign prior to submittal. You may email the form to: vendors@fiscal.ca.gov, or fax it to (916) 576-5200, or mail it to the address above.

Principal Government Agency Name*

Remit-To Address (Street or PO Box)*

City* State * Zip Code*+4

Government Type: City County Special District Federal Other (Specify) Federal Employer Identification Number (FEIN)*

List other subsidiary Departments, Divisions or Units under your principal agency's jurisdiction who share the same FEIN and receives payment from the State of California.

Dept/Division/Unit Name	<input type="text"/>	Complete Address	<input type="text"/>
Dept/Division/Unit Name	<input type="text"/>	Complete Address	<input type="text"/>
Dept/Division/Unit Name	<input type="text"/>	Complete Address	<input type="text"/>
Dept/Division/Unit Name	<input type="text"/>	Complete Address	<input type="text"/>

Contact Person* Title

Phone number* E-mail address

Signature* Date