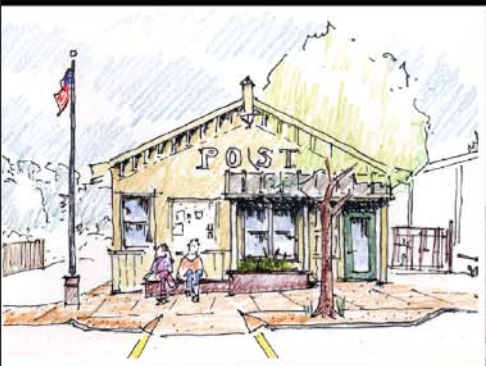
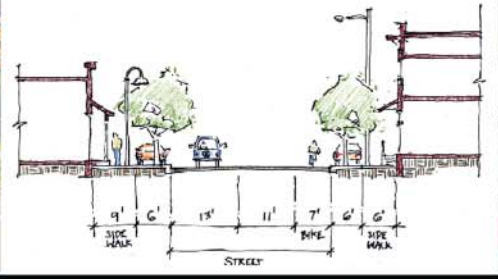
Grant Application Guide

Fiscal Year 2013-2014





Community-Based Transportation Planning

Environmental Justice Transportation Planning

Partnership Planning

Transit Planning

California Department of Transportation

Caltrans

Table of Contents

Transportation Planning Grant Programs…… 2

Transportation Planning Grant Summary Chart…… 4

General Information and Requirements ……..... 7

Grant Programs

- Environmental Justice and Community-Based Transportation Planning……..... 11
- Partnership Planning……...…… 17
- Transit Planning……..... 17
  - Statewide or Urban Transit Planning Studies ……...…….. 21
  - Rural or Small Urban Transit Planning Studies …….. 22
  - Transit Planning Student Internships …….. 22

Application Package……..... 23

Application Submittal Instructions…… 25

Transportation Planning Grant Application …… 27

Sample Scope of Work and Checklist……. 36

Sample Project Timeline and Checklist ……..……..... 42

Sample Third Party In-Kind Valuation Plan and Checklist……..... 44

Sample Local Resolution and Checklist ……..……..... 46

Maps ……..... 48

Caltrans Transportation Planning Grant District Contact List ……..... 50

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Transportation Planning Grant Programs

Transportation planning grants promote a balanced, comprehensive multi-modal transportation system. These grants may be used for a wide range of transportation planning purposes, which address local and regional transportation needs and issues. The implementation of these grants should ultimately lead to the adoption, initiation, and programming of transportation improvements.

The California Department of Transportation (Caltrans), Division of Transportation Planning, provides the following transportation planning grant programs:

- Environmental Justice (EJ)
- Community-Based Transportation Planning (CBTP)
- Partnership Planning
- Transit Planning
    - Statewide or Urban Transit Planning Studies
    - Rural or Small Urban Transit Planning Studies
    - Transit Planning Student Internships

All these grant programs improve the transportation system, however, it is important to note that these programs fall under distinct categories. The Environmental Justice and Community-Based Transportation Planning grant programs are State funded. The Partnership Planning and Transit Planning grant programs are federal funded. These federal and State grant programs adhere to slightly different administrative requirements. The commonalities between the Programs are described under the section *General Information and Requirements* (pages 7-10); otherwise, each grant program operates independently, as defined in their respective sections.

The State Transportation Planning goals provide the framework or basis for the EJ and CBTP grant programs. Both federal and State goals provide the framework or basis for the Partnership Planning and Transit Planning grant programs. Grant applicants must clearly demonstrate how their proposed planning project promotes the following transportation planning goals.

State Transportation Planning Goals[1]

1. Improve Mobility and Accessibility: Expand the system and enhance modal choices and connectivity to meet the state's future transportation demands.
2. Preserve the Transportation System: Maintain, manage, and efficiently utilize California's existing transportation system.
3. Support the Economy: Maintain, manage, and enhance the movement of goods and people to spur the economic development and growth, job creation, and trade.
4. Enhance Public Safety and Security: Ensure the safety and security of people, goods, services, and information in all modes of transportation.
5. Reflect Community Values: Find transportation solutions that balance and integrate community values with transportation safety and performance, and encourage public involvement in transportation decisions.
6. Enhance the Environment: Plan and provide transportation services while protecting our environment, wildlife, historical, and cultural assets.

[1] Source: California Transportation Plan

Federal Transportation Planning Goals[2]

1. Support the economic vitality of the metropolitan area, especially by enabling global competitiveness, productivity, and efficiency.
2. Increase the safety of the transportation system for motorized and non-motorized users.
3. Increase the security of the transportation system for motorized and non-motorized users.
4. Increase the accessibility and mobility of people and freight.
5. Protect and enhance the environment, promote energy conservation, improve the quality of life, and promote consistency between transportation improvements and state and local planned growth and economic development patterns.
6. Enhance the integration and connectivity of the transportation system, across and between modes, for people and freight.
7. Promote efficient system management and operation.
8. Emphasize the preservation of the existing transportation system.

Grant applications should also incorporate broader goals such as Regional Blueprint and Sustainable Communities.

[2] Source: Title 23, United States Code, Section 134

Transportation Planning Grant Summary Chart

Grant	Fund Source	Purpose	Who May Apply	Local Match
Community-Based Transportation Planning (CBTP)	State Highway Account **Budget** $3 million **Grant Cap** $300,000	Fund coordinated transportation and land use planning that promotes public engagement, livable communities, and a sustainable transportation system, which includes mobility, access, and safety.	**The following may apply directly or as a sub-applicant:** • Metropolitan Planning Organizations and Regional Transportation Planning Agencies • Cities and Counties • Transit Agencies • Native American Tribal Governments **The following may apply only as a sub-applicant:** • Universities and Community Colleges • Community-Based Organizations • Non-Profit Organizations (501.C.3) • Public Entities**	10% minimum of the grant amount requested. At least 7.5% of the grant amount requested must be cash match and the rest may be in-kind.*
Environmental Justice (EJ)	State Highway Account **Budget** $3 million **Grant Cap** $250,000	Promote community involvement in planning to improve mobility, access, and safety while promoting economic opportunity, equity, environmental protection, and affordable housing for low-income, minority, and Native American communities.	**The following may apply directly or as a sub-applicant:** • Metropolitan Planning Organizations and Regional Transportation Planning Agencies • Cities and Counties • Transit Agencies • Native American Tribal Governments **The following may apply only as a sub-applicant:** • Universities and Community Colleges • Community-Based Organizations • Non-Profit Organizations (501.C.3) • Public Entities**	10% minimum of the grant amount requested. At least 7.5% of the grant amount requested must be cash match and the rest may be in-kind.*

* For in-kind contribution requirements, refer to each grant program's section in this Guide.

** Public entities include state agencies, the Regents of the University of California, district, public authority, public agency, and any other political subdivision or public corporation in the State (Government Code Section 811.2). **Redevelopment agencies are not eligible applicants or sub-applicants.**

Transportation Planning Grant Summary Chart

Grant	Fund Source	Purpose	Who May Apply	Local Match
Partnership Planning	Federal Highway Administration State Planning and Research, Part 1 **Budget** Federal funds $1,200,000 **Grant Cap** $300,000	Fund transportation planning studies of multi-regional and statewide significance in partnership with Caltrans.	**The following may only apply as an applicant:** • Metropolitan Planning Organizations and Regional Transportation Planning Agencies **Caltrans District 4 Only**: • Transit Agencies • Cities and Counties • Native American Tribal Governments **The following may only apply as a sub-applicant:** • Universities and Community Colleges • Native American Tribal Governments • Cities and Counties • Community-Based Organizations • Non-Profit Organizations (501.C.3) • Other Public Entities**	20% minimum (in non-federal funds or an in-kind* contribution). The entire minimum 20% local match may be in the form of an in-kind contribution. Additional local funds above the minimum local match are desired.
Statewide or Urban Transit Planning Studies	Federal Transit Administration Section 5304 **Budget** Federal funds $1,500,000 **Grant Cap** $300,000	Fund studies on transit issues having statewide or multi-regional significance to assist in reducing congestion.	**The following may only apply as an applicant:** • Metropolitan Planning Organizations and Regional Transportation Planning Agencies **Caltrans District 4 Only**: • Transit Agencies • Cities and Counties • Native American Tribal Governments **The following may only apply as a sub-applicant:** • Transit Agencies • Universities and Community Colleges • Native American Tribal Governments • Cities and Counties • Community-Based Organizations • Non-Profit Organizations (501.C.3) • Other Public Entities**	11.47% minimum (in non-federal funds or an in-kind* contribution). The entire minimum 11.47% local match may be in the form of an in-kind contribution.

* For in-kind contribution requirements, refer to each grant program's section in this Guide.

** Public entities include state agencies, the Regents of the University of California, district, public authority, public agency, and any other political subdivision or public corporation in the State (Government Code Section 811.2). **Redevelopment agencies are not eligible applicants or sub-applicants.**

Transportation Planning Grant Summary Chart

Grant	Fund Source	Purpose	Who May Apply	Local Match
Rural or Small Urban Transit Planning Studies	Federal Transit Administration Section 5304 **Budget** Federal funds $900,000 **Grant Cap** $100,000	Fund public transportation planning studies in rural or small urban areas of California (transit service area with population of 100,000 or less).	**The following may only apply as an applicant:** • Metropolitan Planning Organizations and Regional Transportation Planning Agencies **Caltrans District 4 Only**: • Transit Agencies • Cities and Counties • Native American Tribal Governments **The following may only apply as a sub-applicant:** • Transit Agencies • Universities and Community Colleges • Native American Tribal Governments • Cities and Counties • Community-Based Organizations • Non-Profit Organizations (501.C.3) • Other Public Entities**	11.47% minimum (in non-federal funds or an in-kind* contribution). The entire minimum 11.47% local match may be in the form of an in-kind contribution.
Transit Planning Student Internships	Federal Transit Administration Section 5304 **Budget** Federal funds $300,000 **Grant Cap** $50,000	Fund student internship opportunities in transit planning at public transit agencies.	**The following may only apply as an applicant:** • Metropolitan Planning Organizations and Regional Transportation Planning Agencies **Caltrans District 4 Only**: • Transit Agencies • Cities and Counties • Native American Tribal Governments **The following may only apply as a sub-applicant:** • Transit Agencies • Universities and Community Colleges • Native American Tribal Governments • Cities and Counties • Community-Based Organizations • Non-Profit Organizations (501.C.3) • Other Public Entities**	11.47% minimum (in non-federal funds or an in-kind* contribution). The entire minimum 11.47% local match may be in the form of an in-kind contribution.

* For in-kind contribution requirements, refer to each grant program's section in this Guide.

** Public entities include state agencies, the Regents of the University of California, district, public authority, public agency, and any other political subdivision or public corporation in the State (Government Code Section 811.2). **Redevelopment agencies are not eligible applicants or sub-applicants.**

General Information and Requirements

This section provides a brief overview of the financial, subcontracting, and legal requirements pertaining to all grant programs. The content of this section should be notably considered in the development of grant applications, as it lays the foundation for what to expect when applying for these grant funds. Upon award, grantees will receive more specific guidelines, including administrative and reporting requirements.

Accounting Requirements

Grantees are required to maintain an accounting and record system that properly accumulates and segregates incurred project costs and matching funds by line item. The accounting system of the grantee, including its sub-applicants and subcontractors, must conform to Generally Accepted Accounting Principles that enable the determination of incurred costs at interim points of completion and provides support for reimbursement payment vouchers or invoices sent to or paid by Caltrans. Allowable project costs must comply with 49 Code of Federal Regulations (CFR), Part 18 and 2 CFR, Part 225. It is the grantee's responsibility, in conjunction with Caltrans' district staff, to monitor work and expenses to ensure the project is completed according to the contracted scope of work and project timeline. Grantees must monitor work and costs to ensure invoices are submitted on a regular and timely basis (monthly or quarterly as milestones are completed). Grantees must communicate with their local Caltrans District Planning Office to ensure any issues are addressed early during the project period.

Indirect and Direct Costs

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

Indirect Cost Allocation Plan (ICAP)

If a grantee, including sub-recipients and third party contractors/consultants, are seeking reimbursement of indirect costs, they must submit an Indirect Cost Allocation Plan (ICAP) or an Indirect Cost Rate Proposal (ICRP) to the Caltrans' Division of Audits and Investigations annually for review and approval prior to reimbursement. An ICAP or ICRP must be prepared and submitted in accordance with 2 CFR, Part 225 and 23 CFR, Part 420 (d) Eligibility of Costs. For more information visit the following website:

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

Eligible Activities and Expenses

Direct costs must be used ***only for planning-related activities.*** Consult with Caltrans' district staff for more information. Some eligible costs include:

- Community surveys
- Data gathering and analysis
- Planning consultants
- Conceptual drawings

Eligible Activities and Expenses (continued)

- Community meetings, charrettes, focus groups
- Bilingual services for interpreting and/or translation services for meetings
- Light snacks and non-alcoholic refreshments to facilitate meetings (for CBTP and EJ only)

Travel Expenses
Grantees may be eligible to claim travel expenses if they have been approved in the Scope of Work and Project Timeline. Travel expenses and per diem rates are not to exceed the rate specified by the State of California Department of Personnel Administration for similar employees (i.e. non-represented employees). For more information on eligible travel expenses, visit the following website:

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

Ineligible Activities and Expenses

Some activities, tasks, project components, etc. are not eligible under these grant programs, regardless of funding source. Any plan or report that is required under state or federal law is not considered to be consistent with the intent of the Transportation Planning grant programs. If an application has any of the following elements, it will be disqualified. Ineligible activities and expenses include:

- Environmental studies, plans, or documents normally required for project development under the National Environmental Policy Act or the California Environmental Quality Act
- Engineering plans and design specification work
- Project Initiation Documents
- Regional Transportation Plans (RTP) or updates to the RTP
- General Plans or updates to elements
- Construction projects, such as the building of a facility, or maintenance
- Purchasing of computers, software, office furniture, or other capital expenditures
- Decorations
- Acquisition of vehicles or shuttle programs
- Organizational membership fees
- Incentives (Partnership Planning or Transit Planning grant programs only)
- Charges passed on to sub-recipient for oversight of awarded grant funds
- Other items unrelated to the project

Third Party Contracts

The agreements between a grantee and a sub-recipient, consultant, or sub-consultant are referred to as "third party contracts." An eligible sub-applicant will be identified by an eligible applicant on the onset of the application. If a grantee or a sub-recipient is going to hire a consultant to perform work during the project, then proper procurement procedures must be used.

Grantees may use their agency's procurement procedures as long as they comply with 49 CFR, Part 18.36 and Local Assistance Procedures Manual, Chapter 10. In addition, work can only be contracted if it has been stated in the applicant's Scope of Work and Project Timeline. A grantee is fully responsible for all work performed by its sub-recipient, consultant, or sub-consultant. Caltrans only enters into contract directly with the grantee; therefore, the grantee is responsible to ensure that all

third parties adhere to the same provisions included in the contractual agreement between Caltrans and the grantee.

All government funded consultant procurement transactions must be conducted using a fair and competitive procurement process that is consistent with 49 CFR, Part 18.36.

All documentation of third party contract procurements must be retained and copies of all agreements must be submitted to Caltrans. For more information on third party contracting, visit the following links:

Code of Federal Regulations: **49 CFR, Part 18.36**
Local Assistance Procedures Manual: **Chapter 10**

Title VI Non-Discrimination Requirement

Title VI of the U.S. Civil Rights Act prohibits discrimination on the basis of race, color, or national origin in programs or activities receiving federal financial assistance. Specifically Title VI provides the following:

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

Caltrans is responsible for complying with Civil Rights requirements and for monitoring funding compliance of any sub-applicants. This is also applicable to sub-applicants of state funding. The Federal Highway Administration and the Federal Transit Administration each have requirements that recipients must demonstrate continued compliance with Title VI. Compliance with Title VI includes conducting meetings in a fair and reasonable manner that are open to all members of a community. Compliance also reflects not only law but is a good policy that builds the kind of trust and information sharing upon which successful planning is done. Even where a city or county may not be receiving federal funding for transportation, the Civil Rights Restoration Act of 1987 also obligates that a city or county comply with Title VI, if it receives any other federal funding for any program.

Pre-Award Audit

Partnership Planning, Statewide or Urban Transit Planning Studies, and Community-Based Transportation Planning grants are available in amounts up to $300,000. However, any awarded grant in excess of $250,000 may require a pre-award audit. The pre-award audit is to ensure that recipients of state and federal funds maintain adequate financial management systems prior to receiving the funds. Pre-award audits may be required of new grantees, agencies that have not recently been audited, agencies that have undergone prior audits with significant weaknesses or deficiencies in their financial management systems, or those determined to be a higher risk to the Department.

If a pre-award audit is needed, your local district contract manager will contact you to facilitate the appropriate action. This has the potential to delay the start of the project and applicants are encouraged to determine if the delay will hinder their ability to complete the project by the terms specified in the contract.

Past Performance

Previous grant performance will be considered during the evaluation process. Applicants with a history of poor performance such as poor project management, untimely invoice submittals, or an overall poor quality of the final product may be at a competitive disadvantage in the application review process. Grant funds may not be awarded to prior grant recipients with unresolved past performance issues. If you are a current or previous grant recipient, it is important that you contact your Caltrans District office before submitting your application to ensure that you do not currently have any unresolved past performance issues.

Award Terms

If awarded a grant, the applicant should include district staff when planning both technical advisory and community meetings. In addition, district staff will help to ensure that the approved scope of work, project timeline, and project funding will be maintained throughout the life of the contract. Caltrans wants to be an active partner.

If an agency does not demonstrate adequate performance and timely use of funds, Caltrans may take appropriate actions, which can include termination of the grant. Inadequate performance by grantees, sub-recipients, or consultants may hinder the grantee's ability to leverage future grant awards.

Ownership

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

Environmental Justice and Community-Based Transportation Planning

An electronic version of this guide and other grant-related resources are available at the following website:

http://www.dot.ca.gov/hq/tpp/grants.html

Environmental Justice (EJ) Grant Purpose and Objective

The EJ planning grant promotes the involvement of low-income and minority communities, and Native American Tribal Governments in the planning for transportation projects to prevent or mitigate disproportionate, negative impacts while improving mobility, access, safety, and opportunities for affordable housing and economic development.

Proposed projects should have a clear focus on transportation and community development issues that address the interests of low-income, minority, Native American, and other under-represented communities. Competitive grant applications should describe how the project will be carried forward to the next phase.

Community-Based Transportation Planning (CBTP) Grant Purpose and Objective

The CBTP grant funds coordinate transportation and land-use planning projects that encourage community involvement and partnership. Projects must support livable and sustainable community concepts with a transportation or mobility objective and promote community identity and quality of life.

Proposed projects should involve conceptual-level plans or study activities that include community-based stakeholder collaboration and consensus building through active public engagement. Each application should display a transportation and/or land use benefit. Competitive grant applications should describe how the project will be carried forward to the next phase.

Writing to Goals and Objectives

The State Transportation Planning goals provide the framework or basis for the EJ and CBTP grant programs. These goals are general statements or visions that Caltrans values and wants to ultimately achieve. A competitive grant application addresses and articulates how the project relates to multiple State goals. When preparing a grant application, bear in mind the goals as well as the purpose or objective of each grant program.

Caltrans continues to support the ongoing Regional Blueprints and Senate Bill 375 (2008), Sustainable Communities Strategy (SCS) efforts. Applications should compliment Regional Blueprints or SCS, if they exist in the geographical region. Regional Blueprints and SCS are tools that will help communities reduce greenhouse gas emissions and assist transportation agencies in creating sustainable communities for residents throughout the entire state. Information on these efforts can be found at:

Regional Blueprint: **http://calblueprint.dot.ca.gov**

Caltrans also supports complete streets and the Smart Mobility Framework (SMF). A competitive grant application should consider the tools and techniques contained in the SMF as well as typical components of complete streets. Specifically, this might include how the project addresses components of community design, regional accessibility, place types, and priority activities to achieve smart mobility outcomes, community transition, and associated multimodal performance measures for the appropriate context of the problem.

Information on these efforts can be found at:

Complete Streets: **http://www.dot.ca.gov/hq/tpp/offices/ocp/complete_streets.html**
SMF**:** **http://www.dot.ca.gov/hq/tpp/offices/ocp/smf.html**

Who May Apply

Metropolitan Planning Organizations (MPOs), Regional Transportation Planning Agencies (RTPAs), cities, counties, transit agencies, and federally recognized Native American Tribal Governments may apply for this grant program directly as an applicant or as a sub-applicant. Universities, community colleges, community-based organizations, non-profit organizations (501.C.3), and public entities may only apply as a sub-applicant. Sub-applicants are encouraged to work far in advance of the application deadline with the appropriate applicant to coordinate application development. Redevelopment agencies are not eligible applicants or sub-applicants.

Funding

Each grant cycle has an estimated funding target of $6 million for both grant programs, pending approval of the State budget. The maximum amount per grant cannot exceed $250,000 for Environmental Justice and $300,000 for Community-Based Transportation Planning. Funding distribution will depend upon the quality and amount of applications for each program.

Examples of Eligible Project Types

- Advances a community's effort to reduce greenhouse gases
- Assist transportation agencies in creating sustainable communities
- Advances a community's effort to address the impacts of climate change and sea level rise
- Community to school studies or plans/safe routes to school studies or plans
- Jobs and affordable housing proximity studies or plans
- Transit oriented/adjacent development or "transit village" studies or plans
- Infill or compact development studies or plans
- Mixed land use development studies or plans
- Context-sensitive streetscapes or town center studies or plans
- Complete street studies or plans
- Smart growth planning studies
- Bike and pedestrian safety enhancement studies or plans
- Traffic calming and safety enhancement studies or plans
- Rural smart growth studies or plans
- Corridor enhancement studies or plans
- Health equity transportation studies or plans
- Sea Level Adaptation Plan

Fact Sheets and Final Products from grants completed in previous grant cycles can be viewed at the following websites:

Environmental Justice:
http://www.dot.ca.gov/hq/tpp/offices/ocp/ej_grants_portal.html

Community-Based Transportation Planning:
http://www.dot.ca.gov/hq/tpp/offices/ocp/cbtp_grants_portal.html

Ineligible Activities

Applications containing any of the following components will be disqualified and will not be scored by the review committee. Any plan or report that is required under state or federal law is not considered to be consistent with the intent of the Environmental Justice and Community-Based Transportation Planning grant programs. Grantees need to seek funding from non-discretionary grant sources. Ineligible activities include:

- Environmental studies, plans, or documents normally required for project development under the National Environmental Policy Act or the California Environmental Quality Act.
- Engineering plans and design specification work.
- Project Initiation Document.
- Regional Transportation Plans (RTP) or updates to the RTP.
- Long/Short Range Transit Plans.
- General Plans or updates to the elements.

Local Resolution Requirement

A local resolution must be enacted by the application deadline and accompany each application. Resolutions more than a year old will not be accepted. Please refer to the local resolution checklist and sample on pages 46-47 of this guide.

Note: MPO's and RTPA's may submit the resolution that adopted their Overall Work Plan if it contains language authorizing any follow on agreements in order to implement the OWP.

Local Match Contribution

The EJ and CBTP grant programs require the applicant to provide a minimum 10% local match. The minimum local match is a percentage of the grant amount requested.

Local Cash Match

The 10% minimum requirement can be met by providing cash. An applicant can overmatch, however, at least 7.5% of the grant amount requested must be in the form of a local cash match with the remaining contribution as in-kind. Cash match must be distributed on a proportional basis throughout each task identified in the project timeline. Local cash match sources can include local sales tax, special bond measures, local, state or federal funds, but cannot be money already earmarked for other programs or projects. Third parties (sub-applicant or consultant) cannot provide a local cash match on behalf of the applicant**.**

Staff time from the applicant is an allowable expense and is considered cash match. For further explanation, please refer to the Grant Handbook:

Environmental Justice and Community-Based Transportation Planning Grants Handbook

In-Kind Match

An in-kind match is not required. In-kind contributions are goods and services **donated** from outside the applicant's agency such as equipment, printing, facilities, interpreters, staff time (staff time from the applicant is not permitted), advertising, refreshments provided at public participation events. All in-kind contributions must be given a monetary value and a Third Party In-Kind Valuation Plan must be submitted to Caltrans for approval. The Third Party In-Kind

Valuation Plan is an itemized breakdown by task and serves as documentation for the goods and/or services to be rendered. Refer to page 45 for a sample.

Review Process

All applications submitted to the EJ and CBTP grant programs go through three levels of review: Caltrans Districts, Caltrans Headquarters Office of Community Planning (OCP), and a multi-disciplinary review committee. District staff reviews all applications for content, submission of proper documentation, consistency between the Project Timeline and Scope of Work, and overall relationship to local and regional planning efforts. The district gives each application a rating of high, medium, or low. Applications given a low rating by the district will not be scored by the review committee. OCP staff review applications for content, completeness, and meeting technical requirements. OCP assesses the readiness of the applicant to enter into contract with Caltrans. The multi-disciplinary review committee composed of Caltrans and non-Caltrans employees are subject matter experts that review the content and quality of the overall application.

Catalyst Projects for Sustainable Strategies Program

Local governments with projects designated under the California Department of Housing and Community Development's (HCD) Catalyst Projects for Sustainable Strategies Program are welcome to apply. These projects will receive ten bonus points if the following conditions are met.

- The individual application will compete against all applications being evaluated and must score in the top 33 percent. If the application scores in the top 33 percent, ten bonus points will be added to the initial evaluation score. So, if the initial application score is 80 points and falls in the top 33 percent of all scores, ten bonus points will be added for a total score of 90 points.
- The proposed activity must be located within the project boundaries of a Designated Catalyst Project. Catalyst Designees need to work with HCD to provide necessary documentation to demonstrate eligibility for Catalyst bonus points.

For more information on the Catalyst Program, please contact HCD at (916) 323-3176 or visit the following website: **http://www.hcd.ca.gov/hpd/cpcsspp.html**

Grant Awards

Once awarded, these grant funds are available for a limited amount of time. All awarded project funds must be encumbered during the first fiscal year after the State budget is approved. Work may begin during the first fiscal year only after the grantee receives a fully executed contract and has been notified by Caltrans to begin work. This typically occurs the February after the grant is awarded. It is important for applicants to reflect this estimated project start date in the scope of work and project schedule. The second and third fiscal years are for project-related activities.

Keep these important dates in mind when developing your scope of work and project timeline.

February, 2014

- Anticipated start date.

February 28, 2016

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

April 28, 2016

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

Fiscal Management

All applications submitted to the EJ and CBTP grant programs must include Invoicing and Quarterly Reporting as separate sub-tasks under Fiscal Management. Furthermore, Fiscal Management **cannot** exceed 5% of the total grant amount requested.

Invoicing

Grant payments are made only as reimbursements. Invoices need to be submitted quarterly, but no more frequently than monthly in arrears as milestones are completed in accordance with the approved scope of work and project timeline. The grantee must pay its sub-recipients and named sub-contractors as milestones are completed before submitting an invoice to Caltrans. A lump sum invoice for the entire grant amount is not allowed.

Quarterly Reporting

The grantee is responsible for providing a quarterly progress report for all grants as outlined in the Environmental Justice and Community-Based Transportation Planning Grants Handbook. These reports are based on project activities, invoice summaries, and prior correspondence. Therefore, it is important that the grantee and district establish and maintain open and continuous communication throughout the project.

Final Product

Grantees must accredit the Transportation Planning Grant Program on the cover or title page of all final reports. Every final product delivered under these grant programs are expected to result in a documented study, plan, or concept. Final products are expected to include identification of potential barriers and then propose strategies and tools that could address those barriers and advance the project toward implementation.

Final Payment: The grantee must submit all deliverable(s) and the close-out survey to the Caltrans district contract manager prior to requesting final payment. Caltrans reserves the right to withhold payment to an agency pending receipt of final deliverable(s). Once the Caltrans district contract manager receives final deliverable(s), payment can be released.

Project Close Out: At the end of the contract, four hard copies and four CD's of the final product are required to be submitted to the Caltrans district contract manager.

Partnership Planning and Transit Planning

Statewide or Urban Transit Planning Studies
Rural or Small Urban Transit Planning Studies
Transit Planning Student Internships

An electronic version of this guide and other grant-related resources are available at the following website:

http://www.dot.ca.gov/hq/tpp/grants.html

For more information about the grant programs covered in this section, please visit the Office of Regional and Interagency Planning Grants website at:

http://www.dot.ca.gov/hq/tpp/offices/orip/Grants/grants.html

The four transportation planning grant programs included in this section are federally funded. The role of the Metropolitan Planning Organization (MPO) and Regional Transportation Planning Agency (RTPA) is to facilitate a fair and open competitive application and outreach process. For an MPO or RTPA to influence the applicant pool either formally or informally by pre-screening applications is contrary to both state and federal administration of these grant programs.

Who May Apply

Only MPOs and RTPAs that have a current Master Fund Transfer Agreement with the Caltrans Headquarters Office of Regional and Interagency Planning (ORIP) may apply for the Partnership Planning and Transit Planning Grant Programs. Universities and community colleges, Native American Tribal Governments, cities and counties, community-based organizations, non-profit organizations (501.C.3) and public entities may apply as a sub-applicant. Sub-applicants are encouraged to work far in advance of the application deadline with the appropriate MPO or RTPA to coordinate application development. It is also beneficial for sub-applicants to be informed of the appropriate MPO or RTPA process and schedule, as they may differ slightly from Caltrans. RTPAs residing within MPO boundaries should also coordinate application development with the MPO, as it is critical to ensure that proposed studies benefit the entire MPO region.

San Francisco Bay Area Applicants
The Metropolitan Transportation Commission, in Caltrans District 4, will not apply on behalf of sub-recipeints for Partnership Planning or Transit Planning Grants. Transit Agencies, Cities, Counties and Native American Tribal Governments may apply directly to Caltrans.

Caltrans will contract directly with District 4 grant award recipients. All awarded grant funds must be encumbered during the first fiscal year after the state budget is approved. Work may begin during the first fiscal year only after the grantee receives a fully executed contract and has been notified by Caltrans to begin work. This typically occurs the February after the grant is awarded. It is important for applicants to reflect this estimated project start date in the scope of work and project timeline. The second and third fiscal years are for project-related activities.

Keep these important dates in mind when developing your scope of work and project timeline.

February, 2014

- Anticipated start date.

February 28, 2016

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

April 28, 2016

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

Overall Work Program (OWP)

All grant recipients must have their approved projects identified as **individual** Work Elements in their current Overall Work Program (OWP) and in future OWPs until the project is complete. Projects should be completed no later than June 30, 2016. All grant recipients must file a Final Request for Reimbursement no later than 60 days after the end of the fiscal year to coincide with the submission of the MPO's/RTPA's OWP Final Expenditure Report.

Requests for Reimbursements

Grant payments are made only as reimbursements. Invoices or requests for reimbursement (RFR) need to be submitted no more frequently than monthly or at a minimum quarterly. Grantees must pay sub-recipients and subcontractors prior to submitting a RFR to Caltrans. A one-time, **lump sum RFR for the entire grant is not allowed.** Local match (cash and third party in-kind contributions) must be expended on a proportional basis coinciding with each grant work element and RFR. The proportional expenditure of local match must be clearly identified in the project timeline. The local match must be rendered during the invoicing period to which the matching requirement applies.

Local Match Contribution

All federal grant programs require a non-federal local match (i.e., state or local funds). Non-federal sources for local match can include local sales tax, special bond measures, private donations, private foundations, etc. Staff time from the primary applicant is an allowable expense and is considered cash match. The Partnership Planning Grant Program requires the applicant to provide a minimum 20 percent local match. The Transit Planning Grant Program requires the applicant to provide a minimum 11.47 percent local match. The minimum local match is a percentage of the total project cost (i.e., minimum local match amount plus the grant amount). The local match can be all cash, all third party in-kind contributions, or a combination of the two.

Third Party In-Kind Contributions

Third party in-kind contributions are goods and services donated from outside the grantee's agency. Examples of third party in-kind contributions include donated printing, facilities, interpreters, equipment, advertising, time and effort, staff time, and other goods and services. The value of third party in-kind contributions must be directly benefiting and specifically identifiable to the project. The third party in-kind contribution information must be identified on the cover page of the grant application, the project timeline, and the project specific Work Element in the OWP.

If third party in-kind contributions are used for the local match, a third party in-kind valuation plan must be submitted to Caltrans for approval as a condition of grant acceptance. The third party in-kind valuation plan is an itemized breakdown by task and serves as documentation for the goods and/or services to be rendered.

Quarterly Reporting

For MPOs and RTPAs, the progress of each awarded Partnership Planning and Transit Planning grant project must be included as part of the OWP Quarterly Progress and Expenditure Report.

San Francisco Bay Area grant recipients shall submit progress reports every quarter for each Partnership Planning and Transit Planning grant project. Caltrans staff will provide the brief reporting form and due dates.

Disadvantaged Business Enterprise (DBE) Reporting

Grant recipients are required to report any Partnership Planning and/or Transit Planning grant-funded contracting opportunities that may involve DBE participation. DBE reporting is required twice a year: April 1st and October 1st. For details about DBE requirements, visit the ORIP DBE website at: http://www.dot.ca.gov/hq/tpp/offices/orip/DBE/DBE.html

Final Product

All final reports funded through the Partnership Planning and the Transit Planning grant programs shall credit the Federal Transit Administration or Federal Highway Administration's financial participation on the cover or title page. An electronic copy of all final reports shall be forwarded to the Caltrans District Office responsible for the administration and oversight of the grant. The electronic copy will be accessible on the ORIP Grants website.

Review Process

All applications submitted to the Partnership Planning and Transit Planning grant programs go through three levels of review--Caltrans Districts, Caltrans Headquarters functional area experts, and two interagency review committees (one for Partnership Planning and one for Transit Planning). District staff reviews all applications for content, submission of proper documentation, and overall relationship to regional planning efforts. The district gives each application a rating of high, medium, or low. The district also provides comments to inform the interagency review committee. The Caltrans Headquarters functional area experts review and provide comments pertaining to the application subject matter, which are also used to inform the interagency review committee. The interagency review committees evaluate applications for content, completeness, meeting technical requirements, and overall relationship to statewide planning efforts. Once the interagency review committees evaluate, rank and select the best applications for grant funding, final recommendations are presented to Caltrans management for approval.

Writing to Goals and Objectives

Both federal and state goals provide the framework or basis for the Partnership Planning and Transit Planning grant programs. These goals are general statements or visions about what each organization values and wants to ultimately achieve. A competitive grant application would address and articulate how the project relates to multiple federal and state goals.

Grant specific objectives are the intermediary step between the goal and implementation. The grant specific program objectives indicate the specific purpose of each grant program. The proposed projects are the means of implementing the objectives and the goals. When preparing a grant application, bear in mind the goals as well as the purpose or objective of each grant program.

Partnership Planning

Funding

The Partnership Planning grant program is funded by the Federal Highway Administration (State Planning and Research, Part I). The Federal Highway Administration has authorized Caltrans to distribute these grant funds.
Approximately $1.2 million will be available for this grant cycle. The maximum amount per grant cannot exceed $300,000.

Grant Specific Program Objective

The objective of the Partnership Planning Program is to encourage or strengthen multi-agency and/or government-to-government partnerships. The projects must be jointly performed with Caltrans. The proposed Partnership Planning projects must have a statewide and/or regional benefit. The anticipated benefits of the project must ultimately result in improvements to the statewide or regional transportation system.

Example Project Types

- Studies that identify regional, inter-county, and/or statewide mobility and access needs
- Corridor studies and corridor preservation studies
- Projects that evaluate transportation issues involving ground access to international borders, seaports, airports, intermodal facilities, freight hubs, and recreational sites

Transit Planning

Funding

The Transit Planning Grant Program is funded by the Federal Transit Administration (Section 5304). The Federal Transit Administration has authorized Caltrans to distribute these grant funds. Funding distribution will depend on the quality and amount of applications for each **Transit Planning** program.

Statewide or Urban Transit Planning Studies

An estimated $1.5 million will be available for this grant cycle. The maximum amount per grant cannot exceed $300,000.

Grant Specific Program Objective

The objective of the Statewide or Urban Transit Planning Studies Program is to address transit planning issues of statewide or regional significance. The proposed planning studies are intended to improve transit services and to facilitate congestion relief by offering an alternative to the single occupant vehicle.

Example Project Types

- Identification of policies and procedures to integrate transit into the transportation system planning process
- Statewide transit planning surveys and research
- Identification of policies, strategies, and programs to preserve transit facilities and optimize transit infrastructure
- Development of transit planning and travel forecasting tools and models

Rural or Small Urban Transit Planning Studies

An estimated $900,000 will be available for this grant cycle. The maximum amount per grant cannot exceed $100,000.

Grant Specific Program Objective

The objective of the Rural or Small Urban Transit Planning Studies Program is to help transit providers with technical planning for the operation and maintenance of the transit system. The intent is to support transit and/or intermodal planning studies that show benefit to rural or small urban service areas with a population of 100,000 and less.

Example Project Types

- Short-range transit development plans
- Transit marketing plans
- Site selection studies
- Transit service implementation plans
- Ridership surveys
- Social service improvement studies

Transit Planning Student Internships

An estimated $300,000 will be available for this grant cycle. The maximum amount per grant cannot exceed $50,000.

Grant Specific Program Objective

The objective of the Transit Planning Student Internships Program is to provide student internships in transit planning at public transportation agencies. The intent is to foster the education of university and community college students with an interest in the field of transit planning. Internships are for students only. The application, including the project scope of work and timeline, should strike a balance between administration of the internship program and the specific intern assignments to be completed.

Due to the uniqueness of the Transit Planning Internships Program, please refer to the Grant Application beginning on page 27 to ensure appropriate responses are developed.

Application Package

Application Preparation

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

Required Documents

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

- Application Scope of Work
- Project Timeline
- Local Resolution **(EJ and CBTP grants only)**
- Third Party In-Kind Valuation Plan, if applicable **(EJ and CBTP grant programs require this document at the time of application submittal)**
- Map of project area that clearly identifies the boundaries of the project area and provides a sense of the local context of the project

Additional Documents

The following documents are not required, but enhance the overall application.

- Letters of Support
    - Letters of support must be submitted with the application package. Letters received separate from the application package may not be considered. The letters should be addressed to the applicant. Such letters can come from community-based organizations, local governments, Native American Tribal governments, service agencies, and elected officials.
- Photographs
    - Photographs of the proposed project area convey existing conditions and help to further explain the need for the grant.

Application Submittal Instructions

An applicant may submit more than one application. However, any **project** can only be submitted to one grant program. Caltrans Headquarters staff checks all applications between programs for duplication. At Caltrans' discretion, an application may be referred to a different grant program if it is better suited for that program. Caltrans' district staff are a valuable resource and will be available during the application process to answer questions and help interested groups complete their applications.

All grant application packages are required to be submitted **via e-mail**. **An agency may only submit one application package per e-mail.** The Caltrans District contact must be copied (refer to the **Transportation Planning Grant District Contact List**) and the subject line needs to identify the district number, grant program, and project title (e.g., D1 CBTP, City of Can Do Planning Project). The required items outlined on the Application Package Checklist, page 27, must be attached to the e-mail as separate documents.

Please submit your application package to one of the following programs:

- **Environmental Justice and Community-Based Transportation Planning Grants**
  OfficeofCommunityPlanning@dot.ca.gov

- **Partnership Planning and Transit Planning Grants**
  Regional_Planning_Grants@dot.ca.gov

APPLICATIONS MUST BE SUBMITTED VIA E-MAIL ON
TUESDAY, APRIL 2, 2013
BY 5:00 PM

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

The Transportation Planning Grant Application Guide and application is available at the following website: http://www.dot.ca.gov/hq/tpp/grants.html

Anticipated award announcements: Summer 2013 (contingent upon approval of the State budget)

Download the latest version of **Adobe Reader XI (11.0) ®** to complete the application. This version of Adobe is available free of charge.

GRANT APPLICATION CHECKLIST

The following documents are required and must be submitted via e-mail as separate attachments. Refer to the Transportation Planning Grant Guide for additional information and/or samples. Failure to include any of the required documents will result in a reduced application score.

- ☐ Application* (Complete the PDF form provided online at **http://www.dot.ca.gov/hq/tpp/grants.html**.)
- ☐ Application Signature Page (print, sign, and scan this page in PDF format)
- ☐ Scope of Work (Microsoft Word format)
- ☐ Project Timeline (Microsoft Excel format)
- ☐ Third Party In-Kind Valuation Plan, if applicable (EJ and CBTP grant programs require this document at the time of application submittal)
- ☐ Map of Project Area
- ☐ Local Resolution (applicable to CBTP and EJ only – PDF format)

Supplemental Information:

- ☐ Digital Photographs of Project Area (when applicable)
- ☐ Letter(s) of Support

***Scanned or hard copies of the application will not be accepted.**

Fiscal Year 2013-14
TRANSPORTATION PLANNING GRANT APPLICATION

Check One Grant Program

- ☐ Environmental Justice
- ☐ Community-Based Transportation Planning
  - ☐ Catalyst Project for Sustainable Strategies Pilot Program
- ☐ Partnership Planning
- ☐ Statewide or Urban Transit Planning Studies
- ☐ Rural or Small Urban Transit Planning Studies
- ☐ Transit Planning Student Internships

PROJECT TITLE	
PROJECT LOCATION (city and county)	

	APPLICANT	SUB-APPLICANT	SUB-APPLICANT
Organization			
Mailing Address			
City			
Zip Code			
Executive Director/designee and title	Mr.☐Ms.☐Mrs.☐	Mr.☐Ms.☐Mrs.☐	Mr.☐Ms.☐Mrs.☐
E-mail Address			
Contact Person and title	Mr.☐Ms.☐Mrs.☐	Mr. ☐Ms. ☐Mrs.☐	Mr.☐Ms.☐Mrs.☐
Contact E-mail Address			
Phone Number			

FUNDING INFORMATION
Use the Match Calculator to complete this section.
Match Calculator

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

Specific Source of Local Cash Match (i.e., local transportation funds, local sales tax, special bond measures, etc.)

Fiscal Year 2013-14
TRANSPORTATION PLANNING GRANT APPLICATION

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

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

Grant applications must clearly demonstrate how the proposed transportation planning project promotes federal and/or state transportation planning goals.

1. Select the goals that apply to your grant application.

STATE TRANSPORTATION PLANNING GOALS

For all Grant Programs

- ☐ Improve Mobility and Accessibility: Expand the system and enhance modal choices and connectivity to meet the State's future transportation demands.
- ☐ Preserve the Transportation System: Maintain, manage, and efficiently utilize California's existing transportation system.
- ☐ Support the Economy: Maintain, manage, and enhance the movement of goods and people to spur the economic development and growth, job creation, and trade.
- ☐ Enhance Public Safety and Security: Ensure the safety and security of people, goods, services, and information in all modes of transportation.
- ☐ Reflect Community Values: Find transportation solutions that balance and integrate community values with transportation safety and performance, and encourage public involvement in transportation decisions.
- ☐ Enhance the Environment: Plan and provide transportation services while protecting our environment, wildlife, historical and cultural assets.

Fiscal Year 2013-14
TRANSPORTATION PLANNING GRANT APPLICATION

FEDERAL TRANSPORTATION PLANNING GOALS

For Partnership Planning and Transit Planning

- ☐ Support the economic vitality of the metropolitan area, especially by enabling global competitiveness, productivity, and efficiency.
- ☐ Increase the safety of the transportation system for motorized and non-motorized users.
- ☐ Increase the security of the transportation system for motorized and non-motorized users.
- ☐ Increase accessibility and mobility of people and freight.
- ☐ Protect and enhance the environment, promote energy conservation, improve the quality of life, and promote consistency between transportation improvements and State and local planned growth and economic development patterns.
- ☐ Enhance the integration and connectivity of the transportation system, across and between modes, for people and freight.
- ☐ Promote efficient system management and operation.
- ☐ Emphasize the preservation of the existing transportation system.

Fiscal Year 2013-14
TRANSPORTATION PLANNING GRANT
APPLICATION

2. Project Description (Do not exceed the space provided.) (20 points)
A. Briefly summarize project. **(10 points)**
B. Describe the project area. (**10 points**)

***Section A*:** A good project description is one that can summarize the project in a clear and concise manner.

***Section B*:** This section needs to describe the geographical, socio-economic, and cultural setting of the project area—define the boundaries, urban/rural/suburban setting, ethnic make-up, languages spoken, income-levels, etc.

Fiscal Year 2013-14
TRANSPORTATION PLANNING GRANT APPLICATION

3. Project Justification (Do not exceed the space provided.) (20 points)

A. Describe the problems or deficiencies the project is attempting to address. (**10 points**)

B. Describe how the project will address the identified problems or deficiencies. **(10 points)**

Section A: This section needs to clearly define the existing issues surrounding the project (e.g., transportation issues, inadequate transit services, impacts of heavy trucking on local streets, air pollution, etc).

Section B. State how this project addresses issues raised in Section A. Describe how community assets/opportunities will aid in solving the issues presented.

Fiscal Year 2013-14
TRANSPORTATION PLANNING GRANT
APPLICATION

4. Public Participation (Do not exceed the space provided.) (20 points)

A. Identify the stakeholders (e.g. low-income and minority communities, Native American Tribal governments, other underrepresented groups, community-based organizations, and businesses) affected by the grant work. (**10 points**)

B. Describe the outreach and engagement methods that will be used to reach and gather input from stakeholders. (**10 points**)

Section A: Explain who the stakeholders are and how their participation will enhance this grant work.

For Transit Planning Internship proposals, the stakeholders would be the educational institutions or other agencies that will be used for recruiting potential interns.

Section B: Public awareness, acceptance, and involvement in the planning process are vital components for successful outcomes. Feedback collected through public participation is an integral part of developing the final product. These grants are the catalyst for creating partnerships in the transportation planning process, where the public can support and champion the project. Thoroughly describe the outreach methods that will be used to communicate, and engage traditionally underrepresented communities and stakeholders (e.g., community town hall meetings, charrettes, interactive websites, focus group meetings, surveys, workshops, door-to-door visitations, public events).

For Transit Planning Internship proposals, (1) provide details about the methods that will be used to recruit interns, and (2) provide details about the public outreach activities, which students will be exposed to during the course of the internship.

Fiscal Year 2013-14
TRANSPORTATION PLANNING GRANT
APPLICATION

5. Project Implementation (Do not exceed the space provided.) (20 points)
A. List the project's anticipated accomplishments and final deliverables. **(10 points)**
B. Explain how the final product will be carried forward into the implementation phase. **(10 points)**

Section A: Identify anticipated accomplishments and deliverables that will be produced. Realistic and achievable outcomes need to be identified by providing plans and recommendations that can be implemented. It is important that a project not only produce an identifiable final product, but also recognize obvious and practical outcomes that the public can support.

Section B: Implementation of the final product is the ultimate goal for these grant programs. Describe future steps that will be taken to implement the final product.

Fiscal Year 2013-14
TRANSPORTATION PLANNING GRANT
APPLICATION

6. **Project Management (20 points)**
   A. Scope of Work **(10 points)**
   B. Project Timeline **(10 points)**

See Scope of Work and Project Timeline samples and checklists for requirements.

Fiscal Year 2013-14
TRANSPORTATION PLANNING GRANT APPLICATION

Application Signature Page

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

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

Signature of Authorized Official (Applicant)	*Print Name*
Title	*Date*
Signature of Authorized Official (Sub-Applicant)	*Print Name*
Title	*Date*

SCOPE OF WORK CHECKLIST

The scope of work is the official description of the work that is to be completed during the contract. **The scope of work must be consistent with the project timeline.**

The scope of work must:

- ☐ Be completed using the FY 2013-14 template provided and in Microsoft Word format**.**
- ☐ List all tasks and sub-tasks using the same title as stated in the project timeline.
- ☐ Have task and sub-task numbers in accurate and proper sequencing; consistent with the project timeline.
- ☐ List the responsible party for each task and subtask and ensure that it is consistent with the project timeline (i.e., applicant, sub-applicant, or consultant).
- ☐ Have a thorough and accurate description of each task and sub-task.
- ☐ Include a task for a kick-off meeting with Caltrans at the start of the grant.
- ☐ Include a task for procurement of consultants, if consultants are needed.
- ☐ Include a task for invoicing.
- ☐ Include a task for quarterly reporting to Caltrans.
- ☐ Include public participation and services to diverse communities.
- ☐ NOT include environmental, complex design, or engineering work and other ineligible activities.
- ☐ List the project deliverable for each task in a table following each task and ensure that it is consistent with the project timeline.

NOTE: Applications with missing components will be at a competitive disadvantage. Please use this checklist to make sure your scope of work is complete.

SAMPLE SCOPE OF WORK:

City of Can Do Complete Street Plan

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

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

RESPONSIBLE PARTIES

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

OVERALL PROJECT OBJECTIVES

- Reduce street crown and replace surface with enhanced and/or porous street pavers.
- Sidewalk widening and fully accessible ramp improvements at intersections.
- Add and improve bicycle lanes.
- Installation of street trees with grates and tree grates for existing trees that can be preserved.
- Installation of pedestrian-scale street lighting at intersections.
- Installation of street furniture and other design features.
- Application of "green street" concepts, such as storm water planter boxes and porous pavement where possible.
- Conceptual designs for underground utilities.
- Conceptual designs to improve drainage conveyance.

1. Project Initiation

Task 1.1: Project Kick-off Meeting

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

Task 1.2: Staff Coordination

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

Task 1.3: RFP for Consultant Services

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

Task 1.4: Identify Existing Conditions

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

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

2. Public Outreach

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

Task 2.1: Community Workshop #1

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

Task 2.2: Community Workshop #2

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

Task 2.3: Community Workshop #3

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

Task	Deliverable
2.1	*PowerPoint Presentation, Workshop Summary, Photos*
2.2	*PowerPoint Presentation, Workshop Summary, Photos*
2.3	*PowerPoint Presentation, Workshop Summary, Photos*

3. Streetscape Plan

Task 3.1: Develop Streetscape Concept

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

Task 3.2: Develop Conceptual Design Concept Alternatives

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

Task 3.3: Draft Complete Street Plan

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

Task 3.4: Identify Potential Funding Sources

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

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

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

Task 3.6: Final Complete Street Plan

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

Task 3.7: City Council Adoption

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

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

4. Fiscal Management

Task 4.1: Invoicing

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

Task 4.2: Quarterly Reports

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

Task	Deliverable
4.1	*Invoice Packages*
4.2	*Quarterly Reports*

PROJECT TIMELINE CHECKLIST

The project timeline is the official documentation of the budget and time frame of the project. **The project timeline must be consistent with the scope of work.**

The project timeline must:

- ☐ Be completed using the FY 2013-14 template provided (do not alter the template) and submit in Microsoft Excel format.
- ☐ List all tasks and sub-tasks with the same title as stated in the scope of work.
- ☐ Have task and sub-task numbers in proper sequencing, consistent with the scope of work.
- ☐ Include a task for a kick-off meeting with Caltrans at the start of the grant.
- ☐ Include a task for procurement of consultants, if consultants are needed.
- ☐ Include a task for quarterly reporting to Caltrans.
- ☐ Include a task for invoicing.
- ☐ List the responsible party for each task and sub-task, and ensure that it is consistent with the scope of work (i.e., applicant, sub-applicant, or consultant).
- ☐ Complete all budget columns as appropriate: Total Cost, Grant Amount, Local Cash Match, and if applicable, Local In-Kind Match.
- ☐ State a realistic total cost for each task based on the work that will be completed.
- ☐ Include a proportional spread of local cash match. The percentage of local cash match contributed should be the percentage used to determine the local cash match amount for each task on the timeline. For example, if 7.5% local cash match is contributed, multiply 7.5% by the grant amount and note the product in the local cash match column. This must be done for each task.
- ☐ Have a best estimate of the amount of time needed to complete each task.
- ☐ Have the timeframe begin at the beginning of the contract period (Feb 2014).
- ☐ Have the timeframe extend all the way to the end of the contract period (Feb 2016).
- ☐ List the deliverable for each task as stated in the scope of work.

NOTE: Applications with missing components will be at a competitive disadvantage. Please use this checklist to make sure your project timeline is complete.

California Department of Transportation
Transportation Planning Grants
Fiscal Year 2013-2014

SAMPLE PROJECT TIMELINE

Project Title	City of Can Do Complete Street Plan						Grantee	The City of Can Do																													
			Budget				FY 2013/14												FY 2014/15												FY 2015/16							
Task Number	Task Title	Responsible Party	Total Cost	Grant Amount	Local Cash Match	Local In-Kind Match	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	Deliverable
1.0	***Project Initiation***																																						
1.1	Project Kick-off Meeting	The City	$550	$500	$50	$0																																	Meeting Notes
1.2	Staff Coordination	The City	$2,970	$2,700	$270	$0																																	Monthly Meeting Notes
1.3	RFP for Consultant Services	The City	$1,485	$1,350	$135	$0																																	Copy of Procurement Procedures and Executed Consultant Contract
1.4	Identify Existing Conditions	Consultant	$1,650	$1,500	$150	$0																																	Existing Conditions Report
2.0	***Public Outreach***																																						
2.1	Community Workshop #1	Consultant	$4,950	$4,500	$338	$113																																	PowerPoint Presentation, Workshop Summary, Photos
2.2	Community Workshop #2	Consultant	$6,930	$6,300	$473	$158																																	PowerPoint Presentation, Workshop Summary, Photos
2.3	Community Workshop #3	Consultant	$792	$720	$54	$18																																	PowerPoint Presentation, Workshop Summary, Photos
3.0	***Streetscape Plan***																																						
3.1	Develop Streetscape Concept	Consultant	$8,800	$8,000	$800	$0																																	Sketches,illustrations
3.2	Develop Conceptual Design Concept Alternatives	Consultant	$1,485	$1,350	$135	$0																																	Sketches, illustrations
3.3	Draft Complete Street Plan	Consultant	$8,800	$8,000	$800	$0																																	Draft report
3.4	Identify Potential Funding Sources	Consultant	$1,100	$1,000	$100	$0																																	Funding Source Report
3.5	Joint Planning/Parking and Safety/Bicycle Advisory Commission Meeting	The City/ Consultant	$792	$720	$72	$0																																	PowerPoint Presentation, Workshop Summary, Photos
3.6	Final Complete Street Plan	Consultant	$4,400	$4,000	$400	$0																																	Final Report
3.7	City Council Adoption	The City/ Consultant	$198	$180	$18	$0																																	Meeting Notes
4.0	***Fiscal Management***																																						
4.1	Invoicing	The City	$1,100	$1,000	$100	$0																																	Invoice Packages
4.2	Quarterly Reports	The City	$1,100	$1,000	$100	$0																																	Quarterly Reports
	TOTALS		**$47,102**	**$42,820**	**$3,994**	**$288**																																	

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

THIRD PARTY IN-KIND VALUATION PLAN CHECKLIST

The third party in-kind valuation plan is an itemized breakdown by task and sub-task and serves as documentation for the goods and/or services to be donated. **The third party in-kind valuation plan must be consistent with the information provided on the project timeline and grant application cover sheet.**

Due to time constraints, EJ and CBTP grant programs require this document at the time of application submittal.

Partnership Planning and Transit Planning grant programs require this document upon grant award as a condition of grant acceptance.

The third party in-kind valuation plan must:

- ☐ Be completed using the FY 2013-14 template provided (do not alter the format).
- ☐ Name the third party in-kind local match provider.
- ☐ Describe how the third party in-kind local match will be tracked and documented for accounting purposes.
- ☐ Describe the fair market value of third party in-kind contributions and how the values were determined.
- ☐ Include an itemized breakdown by task and sub-task consistent with the project timeline.
- ☐ Be consistent with the in-kind local match amount reflected on the grant application cover sheet.

Sample

Third Party In-Kind Valuation Plan

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

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

LOCAL RESOLUTION

(EJ and CBTP grants only)

The local resolution is a critical part of the grant application package. Applicants are strongly encouraged to plan ahead and ensure that there is adequate time to get the resolution on the agenda of the governing board in order to meet the application deadline. **Application packages without the required local resolution will be at a competitive disadvantage.**

The local resolution must:

- ☐ State the title of the project.
- ☐ State the title of the person authorized to enter into a contract with Caltrans on behalf of the applicant.
- ☐ Be enacted by the application deadline. Resolutions more than a year old will not be accepted.
- ☐ Be signed by the governing board of the grant applicant.

Note: MPO's and RTPA's may submit the resolution that adopted their Overall Work Plan if it contains language authorizing any follow on agreements in order to implement the OWP.

SAMPLE LOCAL RESOLUTION

CITY OF CAN DO
RESOLUTION NO. 009-2012

RESOLUTION OF THE BOARD OF DIRECTORS OF THE CITY OF CAN DO AUTHORIZING THE EXECUTIVE DIRECTOR TO EXECUTE AGREEMENTS WITH THE CALIFORNIA DEPARTMENT OF TRANSPORTATION FOR THE CITY OF CAN DO COMPLETE STREET PLAN

1

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

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

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

2

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

APPROVED AND PASSED this 4th day of February, 2013

3

4

John Doe, Chair

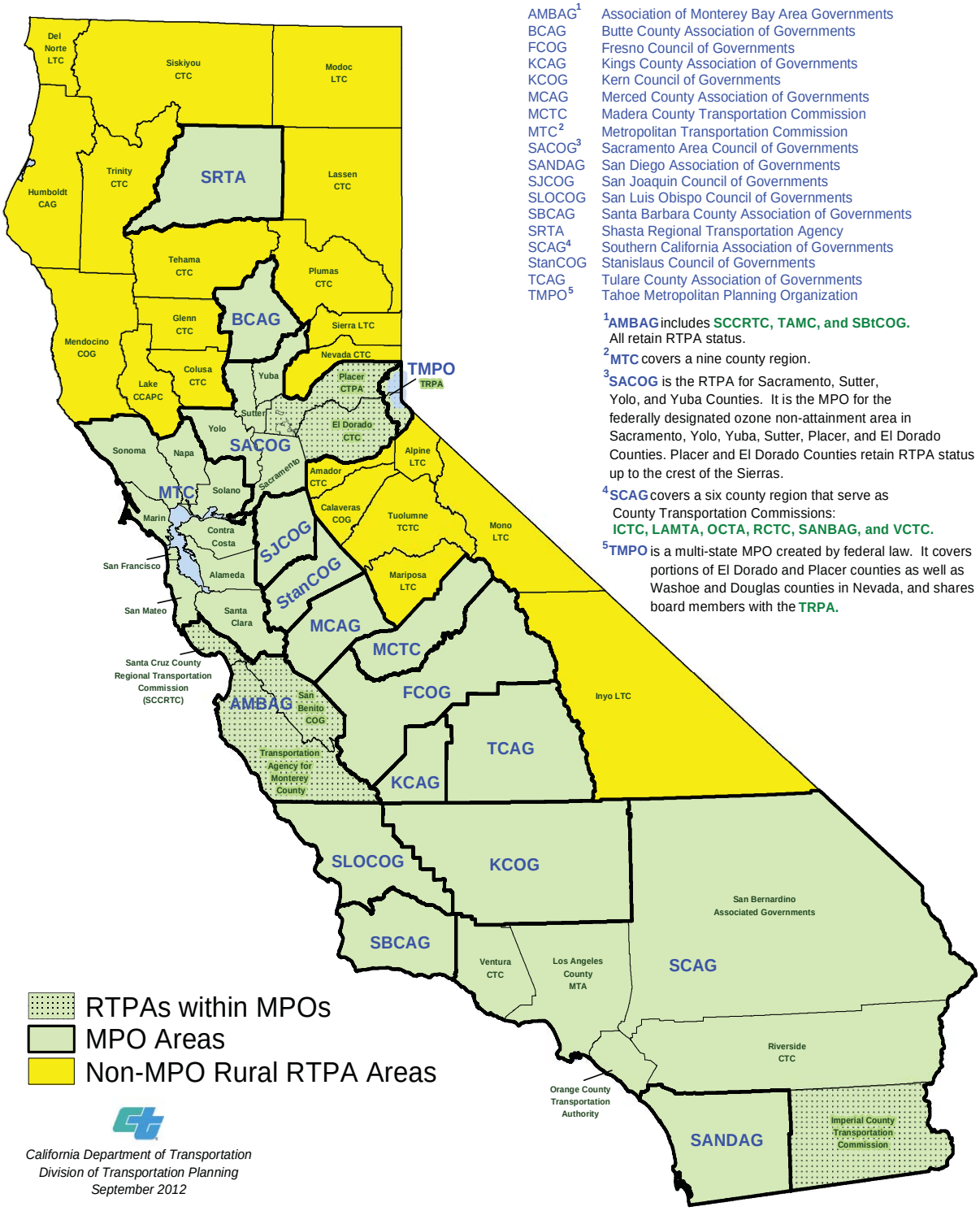
ATTEST:

Eileen Wright, Executive Director

State of California
Department of Transportation
District Boundaries

CALIFORNIA

Metropolitan Planning Organizations(MPOs) and Regional Transportation Planning Agencies (RTPAs)



AMBAG[1]	Association of Monterey Bay Area Governments
BCAG	Butte County Association of Governments
FCOG	Fresno Council of Governments
KCAG	Kings County Association of Governments
KCOG	Kern Council of Governments
MCAG	Merced County Association of Governments
MCTC	Madera County Transportation Commission
MTC[2]	Metropolitan Transportation Commission
SACOG[3]	Sacramento Area Council of Governments
SANDAG	San Diego Association of Governments
SJCOG	San Joaquin Council of Governments
SLOCOG	San Luis Obispo Council of Governments
SBCAG	Santa Barbara County Association of Governments
SRTA	Shasta Regional Transportation Agency
SCAG[4]	Southern California Association of Governments
StanCOG	Stanislaus Council of Governments
TCAG	Tulare County Association of Governments
TMPO[5]	Tahoe Metropolitan Planning Organization

[1] **AMBAG** includes **SCCRTC, TAMC, and SBtCOG.** All retain RTPA status.

[2] **MTC** covers a nine county region.

[3] **SACOG** is the RTPA for Sacramento, Sutter, Yolo, and Yuba Counties. It is the MPO for the federally designated ozone non-attainment area in Sacramento, Yolo, Yuba, Sutter, Placer, and El Dorado Counties. Placer and El Dorado Counties retain RTPA status up to the crest of the Sierras.

[4] **SCAG** covers a six county region that serve as County Transportation Commissions: **ICTC, LAMTA, OCTA, RCTC, SANBAG, and VCTC.**

[5] **TMPO** is a multi-state MPO created by federal law. It covers portions of El Dorado and Placer counties as well as Washoe and Douglas counties in Nevada, and shares board members with the **TRPA.**

California Department of Transportation
Division of Transportation Planning
September 2012

Caltrans Transportation Planning Grant
District Contact List

DISTRICT	CONTACT	MPO/RTPA
DISTRICT 1 1656 Union Street P.O. Box 3700 Eureka, CA 95502	**All Planning Grant Programs -** Rex Jackman (707) 445-6412 Email: rex_jackman@dot.ca.gov	• Del Norte LTC • Humboldt CAOG • Lake APC • Mendocino COG
DISTRICT 2 1657 Riverside Drive Redding, CA 96001	**All Planning Grant Programs -** Michelle Millette (530) 229-0517 Email: michelle_millette@dot.ca.gov	• Lassen CTC • Tehama CTC • Modoc LTC • Trinity CTC • Plumas CTC • Siskiyou CTC • Shasta RTA
DISTRICT 3 703 B Street Marysville, CA 95901	**All Planning Grant Programs –** Nora Hogan (530) 634-7799 Email: nora_hogan@dot.ca.gov	• Butte CAG • Sierra LTC • Colusa CTC • Glenn CTC • El Dorado CTC • Nevada CTC • Placer CTPA • Sacramento Area COG • TRPA – Tahoe Basin • Tahoe Metropolitan Planning Organization
DISTRICT 4 111 Grand Avenue P.O. Box 23660 Oakland, CA 94623-0660	**CBTP and Transit-** Becky Frank (510) 286-5536 Email: becky_frank@dot.ca.gov **EJ-** Blesilda Gebreyesus (510) 286-5575 Email: blesilda_gebreyesus@dot.ca.gov **Partnership –** TBD	• Metropolitan Transportation Commission

DISTRICT	CONTACT	MPO/RTPA
DISTRICT 5 50 Higuera Street San Luis Obispo, CA 93401-5415	**All Planning Grant Programs -** Brandy Rider (805) 549-3970 Email: brandy_rider@dot.ca.gov	• Monterey TAMC • Santa Cruz SCCRTC • San Benito COG • Association of Monterey County Bay Area Governments • Santa Barbara CAG • San Luis Obispo COG
DISTRICT 6 1352 W. Olive Avenue P. O. Box 12616 Fresno, CA 93778-2616	**All Planning Grant Programs** – Randy Treece (559) 488-4153 Email: randy_treece@dot.ca.gov	• Fresno COG • Tulare COG • Kern COG • Kings CAG • Madera CTC
DISTRICT 7 100 S. Main Street Los Angeles, CA 90012	**CBTP** and **EJ** - Wilford Melton (213) 897-1344 Email: wilford_melton@dot.ca.gov **Partnership** and **Transit-** Charles Lau (213) 897-0197 Email:charles_lau@dot.ca.gov	• Southern California Association of Governments
DISTRICT 8 464 W. 4th Street Sixth Floor San Bernardino, CA 92401	**CBTP** and **EJ** - Rebecca Forbes Email: rebecca_forbes@dot.ca.gov **Partnership** and **Transit-** Mark Roberts (909) 383-6040 Email: mark_roberts@dot.ca.gov	• Southern California Association of Governments
DISTRICT 9 500 S. Main Street Bishop, CA 93514	**All Planning Grant Programs** – Dave Bloom – Inyo & E. Kern (760) 872-6799 Email: dave_bloom@dot.ca.gov Forest Becket - Mono (760) 872- 0659 Email: forest_becket@dot.ca.gov	• Inyo LTC • Mono LTC • Eastern Kern (COG)

DISTRICT	CONTACT	MPO/RTPA
DISTRICT 10 1976 E. Dr. Martin Luther King Blvd. P.O. Box 2048 Stockton, CA 95201	**All Planning Grant Programs** – John Gedney – Mountain Counties (209) 948-7112 Email: john_gedney@dot.ca.gov Tom Dumas – Merced, San Joaquin, Stanislaus Counties (209) 941-1921 Email: tom_dumas@dot.ca.gov	• Alpine CTC • Amador CTC • Calaveras COG • Mariposa LTC • Merced CAG • Tuolumne CCAPC • San Joaquin COG • Stanislaus COG
DISTRICT 11 4050 Taylor Street Mail Station 240 San Diego, CA 92110	**All Planning Grant Programs -** Connery Cepeda (619) 688-6003 Email: connery_cepeda @dot.ca.gov	• San Diego Association of Governments
DISTRICT 12 3347 Michelson Drive Suite 100 Irvine, CA 92612-0661	**All Planning Grant Programs -** Damon Davis (949) 440-3487 Email: damon_davis@dot.ca.gov	• Southern California Association of Governments

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