



California Department of Transportation  
Division of Transportation Planning

## Sustainable Transportation Planning Grant Program

Fiscal Year 2020-21

# GRANT APPLICATION GUIDE

Sustainable Communities and  
Strategic Partnerships

### Grant Application Deadline

Friday, October 11, 2019 at 5:00 P.M.

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



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Updated August 16, 2019

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## Sustainable Transportation Planning Grant Program Overview

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

The California Legislature passed, and Governor Edmund G. Brown Jr. signed into law, Senate Bill (SB) 1, the Road Repair and Accountability Act of 2017, a transportation funding bill that will provide a reliable source of funds to maintain and integrate the State's multi-modal transportation system. In addition to the \$9.5 million in traditional State and federal grants, approximately \$25 million in SB 1 funds for Sustainable Communities Grants is available for the Fiscal Year (FY) 2020-21 grant cycle. The SB 1 grant funding is intended to support and implement Regional Transportation Plan (RTP) Sustainable Communities Strategies (SCS) (where applicable) and to ultimately achieve the State's greenhouse gas (GHG) reduction target of 40 and 80 percent below 1990 levels by 2030 and 2050, respectively.

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

### Sustainable Communities - Competitive Grants

Approximately \$12 million in State Road Maintenance and Rehabilitation Account (RMRA) funds and \$5 million in State Highway Account (SHA) funds, or a combined total of \$17 million will be distributed through a competitive program to Metropolitan Planning Organizations (MPOs) with a sub-applicant(s), Regional Transportation Planning Agencies (RTPAs), cities and counties, transit agencies, and Native American Tribal Governments. MPOs can apply to the Sustainable Communities Competitive Grants only in collaboration with a sub-applicant(s). Up to \$2 million will be set-aside for technical projects such as data acquisition or travel model updates. Funding distribution for the competitive program will depend on the quality and number of applications.

### Sustainable Communities - Formula Grants

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

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

### Strategic Partnerships

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

## Sustainable Transportation Planning Grant Summary Chart

Grant	Fund Source	Purpose	Who May Apply	Local Match
Sustainable Communities Competitive	<p><b>Budget</b></p> <p>RMRA***and SHA</p> <p>State funds</p> <p>Approx. \$17 million</p> <p>Up to \$2 million will be set-aside for technical projects such as data acquisition or travel model updates</p> <p><b>Grant Minimum</b></p> <p>\$50,000 for Disadvantaged Communities, including Native American Tribal Governments and rural communities;</p> <p>\$100,000 for All Others</p> <p><b>Grant Maximum</b></p> <p>\$1,000,000</p>	<p>Funds local and regional multimodal transportation and land use planning projects that further the region's RTP SCS (where applicable), contribute to the State's GHG reduction targets, and assist in achieving the Caltrans Mission and Grant Program Overarching Objectives (See Page 4).</p>	<p><b>The following are eligible to apply as a primary applicant:</b></p> <ul style="list-style-type: none"> <li>• MPOs with sub-applicants</li> <li>• RTPAs</li> <li>• Transit Agencies;</li> <li>• Cities and Counties;</li> <li>• Native American Tribal Governments</li> <li>• Other Public Transportation Planning Entities</li> </ul> <p><b>The following are eligible to apply as a sub-applicant:</b></p> <ul style="list-style-type: none"> <li>• MPOs/RTPAs</li> <li>• Transit Agencies</li> <li>• Universities and Community Colleges</li> <li>• Native American Tribal Governments</li> <li>• Cities and Counties</li> <li>• Community-Based Organizations</li> <li>• Non-Profit Organizations (501.C.3)</li> <li>• Other Public Entities**</li> </ul>	<p>11.47 percent minimum (in cash or an in-kind* contribution).</p> <p>The entire minimum 11.47 percent local match may be in the form of an eligible in-kind contribution.</p> <p>Staff time from the primary applicant counts as cash match.</p>
Sustainable Communities Formula	<p><b>Budget</b></p> <p>RMRA***</p> <p>State funds</p> <p>\$12.5 million</p>	<p>Funds local and regional multimodal transportation and land use planning projects that further the region's RTP SCS (where applicable), contribute to the State's GHG reduction targets, and assist in achieving the Caltrans Mission and Grant Program Overarching Objectives (See Page 4).</p>	<p><b>The following are eligible to apply as a primary applicant:</b></p> <ul style="list-style-type: none"> <li>• MPOs</li> </ul>	<p>11.47 percent minimum (in cash or an in-kind* contribution).</p> <p>The entire minimum 11.47 percent local match may be in the form of an eligible in-kind contribution.</p> <p>Staff time from the primary applicant counts as cash match.</p>
<p>* For third party in-kind contribution requirements, refer to Page 31 of this Guide.</p> <p>** Public entities include state agencies, the Regents of the University of California, district, public authority, public agency, and any other political subdivision or public corporation in the State (Government Code Section 811.2).</p> <p>*** SB1 funds are subject to potential repeal. If SB 1 is repealed, the \$25 million split equally between Sustainable Communities Competitive and Formula Grants will be eliminated.</p>				

## Sustainable Transportation Planning Grant Summary Chart

Grant	Fund Source	Purpose	Who May Apply	Local Match
Strategic Partnerships	<b>Budget</b> FHWA SPR, Part I Federal funds \$1.5 million <b>Grant Minimum</b> \$100,000 <b>Grant Maximum</b> \$500,000	Funds transportation planning studies in partnership with Caltrans that address the regional, interregional and statewide needs of the State highway system, and also assist in achieving the Caltrans Mission and Grant Program Overarching Objectives (See Page 4).	<b>The following are eligible to apply as a primary applicant:</b> <ul style="list-style-type: none"> <li>• MPOs</li> <li>• RTPAs</li> </ul> <b>The following are eligible to apply as a sub-applicant:</b> <ul style="list-style-type: none"> <li>• MPOs/RTPAs</li> <li>• Transit Agencies</li> <li>• Universities and Community Colleges</li> <li>• Native American Tribal Governments</li> <li>• Cities and Counties</li> <li>• Community-Based Organizations</li> <li>• Non-Profit Organizations (501.C.3)</li> </ul>	20 percent minimum (in non-federal funds or an in-kind* contribution). The entire minimum 20 percent local match may be in the form of an eligible in-kind contribution. Staff time from the primary applicant counts as cash match.
	<b>Budget</b> FTA Section 5304 Federal funds \$3 million \$75,000 for rural RTPAs; all others \$100,000 State funds \$500,000 <b>Grant Max.</b> \$500,000			

\* For third party in-kind contribution requirements, refer to Page 31 of this Guide.

\*\* Public entities include state agencies, the Regents of the University of California, district, public authority, public agency, and any other political subdivision or public corporation in the State (Government Code Section 811.2).

## Integrating Objectives and Considerations

Successful grant applications address and articulate how the project relates to the Caltrans Mission, Grant Program Overarching Objectives, Grant Program Considerations, and the region's RTP SCS (where applicable). The Grant Specific Objectives on Pages 17-24 indicate the specific purpose of the Sustainable Communities Grants and Strategic Partnership Grants, respectively, and must also be considered when preparing an application.

### Grant Program Overarching Objectives

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

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



## Sustainable Communities and Strategic Partnerships Grant Program Considerations

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

- California Transportation Plan (CTP) 2040 and the modal plans that feed into the CTP:
  - Interregional Transportation Strategic Plan (ITSP)
  - California Freight Mobility Plan (CFMP)
  - California State Rail Plan
  - California State Bicycle and Pedestrian Plan
  - California High-Speed Rail Business Plan
  - Statewide Transit Strategic Plan
  - California Aviation System Plan
- 2017 RTP Guidelines and Promoting Sustainable Communities in California
- Complete Streets and Smart Mobility Framework
- Climate Ready Transportation
- California Sustainable Freight Action Plan
- Addressing Environmental Justice and Disadvantaged Communities
- 2017 Climate Change Scoping Plan Update, Appendix C
- Planning for Housing

### California Transportation Plan 2040

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

#### **CTP 2040**

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

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

#### **Caltrans Strategic Management Plan**

<https://dot.ca.gov/-/media/dot-media/programs/sustainability/documents/caltrans-strategic-mgmt-plan-033015-a11y.pdf>

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

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

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

CTP 2040 is the umbrella plan that pulls together the State's long-range modal plans described below to envision the future system:

### **Interregional Transportation Strategic Plan**

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

A Caltrans document that provides guidance for the identification and prioritization of interregional transportation improvements to be funded in the Interregional Transportation Improvement Program (ITIP). The 2015 ITSP expanded the analysis from focusing on ITIP investment in interregional highways and intercity rail to analyzing the entire interregional transportation system regardless of funding source. The purpose of the plan is to be a guiding document for all investment in the interregional transportation system.

### **California Freight Mobility Plan**

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

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

### **California State Rail Plan**

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

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

### **California State Bicycle and Pedestrian Plan**

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

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

### **California High-Speed Rail Business Plan**

[https://www.hsr.ca.gov/about/business\\_plans/business\\_plan\\_2018.aspx](https://www.hsr.ca.gov/about/business_plans/business_plan_2018.aspx)

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

### **Statewide Transit Strategic Plan**

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

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

### **California Aviation System Plan**

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

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

## 2017 RTP Guidelines and Promoting Sustainable Communities in California

The California Transportation Commission adopted the *2017 RTP Guidelines for RTPAs and 2017 RTP Guidelines for MPOs* which includes *Appendix K – Promoting Health and Health Equity in MPO RTPs* and *Appendix L – Planning Practice Examples*. These appendices highlight planning practices that are undertaken by large, medium, and small MPOs in both rural and urban areas throughout the State. The intent of additional Sustainable Communities grant funding, pursuant to SB 1 - The Road Repair and Accountability Act of 2017, is to encourage local and regional planning that furthers state goals, including but not limited to, the goals and best practices cited in the RTP Guidelines. Competitive applications will incorporate these cutting-edge planning practices into their proposed planning projects.

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

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

Caltrans supports SB 375 (Steinberg, Statutes of 2008) RTP SCS efforts. Successful applications must be compatible with an existing adopted SCS, where applicable, that meets the region's GHG targets, and must strongly support and aim to implement regional SCS efforts. The SCS planning process is intended to help communities reduce transportation related GHG emissions, coordinate land use and transportation planning, and assist local and regional governments in creating sustainable communities for residents throughout the State. Information on SB 375-related planning efforts can be found at: <https://ww2.arb.ca.gov/our-work/topics/sustainable-communities>.

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

## Complete Streets and Smart Mobility Framework

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

### **Complete Streets**

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

### **Smart Mobility Framework**

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

## Climate-Ready Transportation

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

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

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

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

The Governor's Office of Planning and Research (OPR) led a Technical Advisory Group to develop guidance to help State agency personnel decide when to take climate change into account when planning infrastructure and investments, and how to do so while implementing the four above principles, including how to increase social equity and health for vulnerable communities in the course of planning and operations. The Guidance to implement Executive Order B-30-15 is available here: [http://opr.ca.gov/docs/20180313-Building\\_a\\_Resilient\\_CA.pdf](http://opr.ca.gov/docs/20180313-Building_a_Resilient_CA.pdf).

### **Community Climate Resiliency**

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

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

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

The Governor's Office of Planning and Research, with input from the Integrated Climate Action and Resiliency Program (ICARP) Technical Advisory Council, developed a resource guide for

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

### **Climate Action Plans**

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

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

### **Safeguarding California**

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

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

### **California Climate Adaptation Planning Guide**

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

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

## **California Sustainable Freight Action Plan**

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

### **California Sustainable Freight Action Plan**

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

## Addressing Environmental Justice and Disadvantaged Communities

Caltrans integrates environmental justice in all activities. In the past, low-income and minority communities disproportionately bore many of the negative impacts of transportation projects. It is the goal of environmental justice to ensure that when transportation decisions are made, low-income and minority communities have a full opportunity to participate in the decision-making process, and they receive an equitable distribution of benefits and not a disproportionate share of burdens, which contribute to poor health outcomes. The following tools are provided to assist grant applicants with integrating environmental justice in their proposed activities.

### **EJSCREEN: Environmental Justice Screening and Mapping Tool**

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

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

### **Environmental Justice Agency Assessment 2017**

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

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

### **SB 1000 (Leyva, Statutes of 2016)**

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

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

### **California Environmental Justice Alliance SB 1000 Toolkit**

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

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

### **Displacement/Gentrification**

Transportation improvements, especially new rail lines and stations to low-income communities, can increase access to opportunities. But they can also result in much higher property values and an increase in the cost of owning and renting property, inadvertently displacing existing residents and businesses. Being forced to leave a home is a stressful, costly and traumatic life event, especially when affordable housing is so limited. There is a growing recognition of tools and strategies that can be implemented alongside community investments to reduce displacement. Grant applicants are encouraged to reference the *2017 RTP Guidelines, Appendices K and L*, for best practices in addressing displacement of low income and disadvantaged communities.

## **Transformative Climate Communities Program**

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

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

## **Implementing SB 350 and Community Needs Assessments**

### **Sustainable Communities Grants Only**

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

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

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

<https://ww2.arb.ca.gov/resources/documents/carb-barriers-report-final-guidance-document>In February 2018, the California Air Resources Board released the Final Guidance Document, *Low-Income Barriers Study, Part B: Overcoming Barriers to Clean Transportation Access for Low-Income Residents*. This Guidance Document provides background for SB 350 and may assist Sustainable Communities applicants with developing Community Needs Assessments as a standalone project or as part of a proposed project.

## **Disadvantaged Communities Justification**

### **Sustainable Communities Grants Only**

Caltrans encourages eligible applicants to apply for Sustainable Communities Competitive Grants to address transportation needs and deficiencies in disadvantaged communities. Supporting planning projects that benefit a disadvantaged community is a priority; therefore, a minimum threshold of 50 percent of Sustainable Communities Competitive Grants has been identified for projects that benefit disadvantaged communities, also including Native American Tribal Governments and rural communities (for transportation planning purposes, rural is defined as all areas of the State that are not included in urbanized areas of 50,000 in population or greater; see map on Page 64 which indicates rural areas).

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

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

### **Regionally and/or Locally Defined Disadvantaged Communities**

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

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

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

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

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

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

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

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

### **CalEnviroScreen Version 3.0**

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

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

CalEnviroScreen uses environmental, health, and socioeconomic information to produce a numerical score for each census tract in the state. For purposes of SB 535 (De León, Statutes of 2012), disadvantaged communities are defined as the top 25 percent scoring areas from CalEnviroScreen along with other areas with high amounts of pollution and vulnerable populations.



## California Healthy Places Index (HPI)

<https://healthyplacesindex.org/>

The California Healthy Places Index (HPI) is an interactive data and mapping tool that provides a detailed snapshot of the social determinants of health across California, mapped down to the Census tract level. HPI provides comparison rankings of Census tracts statewide and an accompanying policy action guide. Therefore, the HPI can be a useful tool in prioritizing areas with high levels of social and economic disadvantage for funding, policy, and planning interventions.



HPI was developed by the Public Health Alliance of Southern California in collaboration with health departments and data experts across the state.

Because the HPI focuses on the social and environmental conditions that contribute to health, policy makers and local agencies can use it to identify actionable policies that would improve health in their community, such as improving transportation access, housing affordability and quality, or access to parks and open space, HPI also incorporates “decision support layers” that can be overlaid to show additional indicators such as the California Department of Public Health’s (CDPH) climate change and health vulnerability indicators (see Page 14, **CDPH Climate Change and Health Vulnerability Indicators** for more information.).

### Understanding the HPI Score

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

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

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

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

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

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

## Additional Public Health Resources

### Sustainable Communities Grants Only

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

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

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

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

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

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

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

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

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

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

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

## **2017 Climate Change Scoping Plan Update, Appendix C**

### **Sustainable Communities Grants Only**

#### **2017 Climate Change Scoping Plan Update, Appendix C**

[https://www.arb.ca.gov/cc/scopingplan/2030sp\\_appc\\_vmt\\_final.pdf](https://www.arb.ca.gov/cc/scopingplan/2030sp_appc_vmt_final.pdf)

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

The ARB 2017 Climate Change Scoping Plan Update, Appendix C, also includes *Potential State-Level Strategies to Advance Sustainable, Equitable Communities and Reduce Vehicle Miles of Travel (VMT)* which outlines a list of potential additional strategies that the State could pursue to help achieve further VMT reduction, support local and regional actions already underway, and advance multiple additional goals. While this document is intended to guide State-level actions, many of the strategies can also be implemented at a regional and local level. Sustainable Communities grant applicants are encouraged to explore these strategies and apply them, as appropriate, to proposed planning projects.

## **Planning for Housing**

### **Sustainable Communities Grants Only**

Development patterns directly impact GHG emissions, including those from transportation between jobs and housing. Improved coordination between housing and transportation can reduce commute times, increase transit ridership, lower vehicle miles traveled, lower pollution and GHG, provide greater economic opportunity, and other positive outcomes. Adding coordination with housing planning as part of the Sustainable Communities grants furthers the State’s planning goals, including the goals of SB 375, which supports the State’s climate action goals to reduce GHG emissions through coordinated transportation and land use planning with the goal of more sustainable communities. Competitive grant applications should demonstrate how their project

further this coordinated and integrated approach to planning. In order for applicants to avoid a deduction of 5 points, the applicant must demonstrate how they integrate housing planning into their policies, programs and project, or commit to coordinate housing and transportation in future policies and programs.

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

Beginning with FY 2019-20, city and county primary/sub-grant applicants are required to have a compliant housing element and submit APRs to be eligible for Sustainable Communities grant awards. City and county primary or sub-grant applicants must have a housing element that has been adopted by the jurisdiction's governing body and subsequently determined to be in substantial compliance with State housing element law pursuant to Government Code Section 65585. The jurisdiction's housing element will be deemed to have met this requirement if HCD has already found the element to be in compliance pursuant to Government Code Section 65585, or if:

City and county primary/sub-grant applicants are required to have a compliant housing element and submit APRs to be eligible for Sustainable Communities grant awards.

**By the grant application deadline:**

- ✓ A draft is submitted to HCD
- ✓ Review findings are considered and addressed
- ✓ The jurisdiction adopts a housing element and submits a copy to HCD; and

**By the date of award recommendation:**

- ✓ HCD finds the adopted element to be in substantial compliance pursuant to Government Code Section 65585 without further amendment.

A jurisdiction's current housing element compliance status can be obtained at <http://www.hcd.ca.gov/community-development/housing-element/docs/status.pdf>.

In addition, the city or county primary or sub-grant applicant must submit to HCD the Annual Progress Report (APR) required by Government Code Section 65400 for calendar years 2015, 2016, 2017, and 2018. For the purposes of the Grant Program, required APRs must be submitted by the grant application deadline. Please note that charter cities are not exempt from this specific program requirement and must submit an Annual Progress Report for the calendar years mentioned above. More detail on APRs can be found at <http://www.hcd.ca.gov/community-development/housing-element/index.shtml#annual> under Housing Elements - Annual Progress Reports.

For questions or requests for technical assistance, please contact Paul McDougall at HCD ([paul.mcdougall@hcd.ca.gov](mailto:paul.mcdougall@hcd.ca.gov)).

## Sustainable Communities – Grant Specific Objectives

Successful grant applications address and articulate how the project relates to the Grant Specific Objectives. The specific purpose of the Sustainable Communities Grants must also be considered when preparing an application.

### Competitive Grants

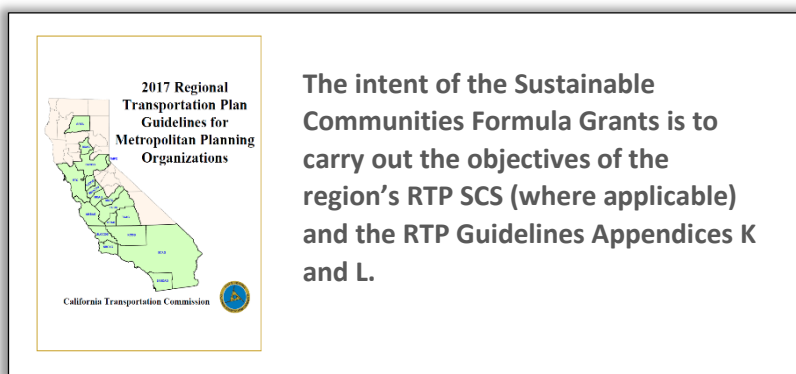
The grant specific objectives of the Sustainable Communities Competitive Grants are to encourage local and regional multimodal transportation and land use planning that furthers the region's RTP SCS (where applicable), contributes to the State's GHG reduction targets and other State goals, including but not limited to, the goals and best practices cited in the 2017 RTP Guidelines, addresses the needs of disadvantaged communities, and also assists in achieving the Caltrans Mission and Grant Program Overarching Objectives (See Page 4).

Applicants should demonstrate how the proposed effort would:

- Integrate Grant Program Considerations (See Pages 5-16)
- Advance transportation related GHG emission reduction project types/strategies (i.e., mode shift, demand management, travel cost, operational efficiency, accessibility, and coordination with future employment and residential land use, etc.)
- Identify and address deficiencies in the multimodal transportation system, including the needs of environmental justice and disadvantaged communities, including Native American Tribal Governments and rural communities
- Encourage stakeholder collaboration
- Involve active community engagement
- Coordinate transportation, housing, and land use planning
- Promote the region's RTP SCS (where applicable), State planning priorities (Government Code Section 65041.1, and climate adaptation goals (Safeguarding California)
- Result in funded and programmed multimodal transportation system improvements

### Formula Grants

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



**2017 Regional Transportation Plan Guidelines for Metropolitan Planning Organizations**

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

California Transportation Commission

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

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

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

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

MPOs have flexibility for how the Formula Grant allocation is administered. For example, MPOs may use these funds for a regional competitive grant program, integrated land use and transportation planning activities related to developing their SCS, carrying out the best practices cited in the RTP Guidelines, or a combination thereof.

If an MPO uses Formula Grant funds to administer a regional grant program, the MPO must submit their grant program criteria and list of eligible applicants and sub-applicants to the Caltrans district and Caltrans Office of Regional Planning (ORP). This step is to ensure the MPO's grant program aligns with the Caltrans Sustainable Communities Competitive Grants, including city and county housing element compliance. MPOs will also submit a list of awarded grants to the Caltrans district and ORP. MPOs should coordinate the submittal of this information with the Caltrans district and ORP to avoid delays for releasing the call-for-projects and grant awards.

Sustainable Communities Formula Grants are part of the annual draft Overall Work Program (OWP) development and approval process. The draft OWP process includes meaningful consultation with Caltrans district staff and ORP. MPOs are responsible for including a draft Work Element(s) for Sustainable Communities Formula Grant funds in the draft FY 2020-21 OWP no later than March 1, 2020. Draft OWPs are submitted to the district Regional Planning Liaison who will coordinate with ORP. The draft Work Element(s) should include an explanation of how the project supports the Grant Specific Objective of the Sustainable Communities Grants and provide the same level of detail included in the grant application scope of work and project timeline for the Sustainable Communities Competitive Grants. However, the competitive grant application, scope of work and project timeline templates are not required.

## Caltrans Sustainable Transportation Planning Grant Program

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

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

## Example Sustainable Communities Grant Project Types

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

- Studies, plans or planning methods that advance a community's effort to reduce single occupancy vehicle trips and transportation related GHG through strategies including, but not limited to, advancing mode shift, demand management, travel cost, operational efficiency, accessibility, and coordination with future employment and residential land use
- Studies, plans or planning methods that assist transportation agencies in creating sustainable communities and transit-oriented development
- SCS development
- Long range transportation plans for tribal governments
- Community to school studies or safe routes to school plans
- Studies, plans, or outreach for school public transit, school pool ridesharing
- Community Needs Assessments
- Studies, plans or planning methods that advance a community's effort to address the impacts of climate change, such as sea level rise, flooding, wildfires, and mudslides, which may include the use of natural infrastructure to reduce the impacts of climate change
- Studies that promote greater access between affordable housing and job centers

## Caltrans Sustainable Transportation Planning Grant Program

- Context-sensitive streetscapes or town center plans
- Complete street plans
- Active transportation plans, including bicycle, pedestrian and trail master plans
- Bike and pedestrian plans with a safety enhancement focus, including Vision Zero plans
- Plans for bike parking facilities
- Educational outreach for mode shifts to electric forms of transportation
- Traffic calming and safety enhancement plans
- Corridor enhancement studies
- Health and transportation studies, including health equity transportation studies and other plans that incorporate health into transportation planning
- Climate change adaptation plans for transportation facilities
- Identification of policies, strategies, and programs to preserve transit facilities and optimize transit infrastructure
- Studies that evaluate accessibility and connectivity of the multimodal transportation network
- Studies to improve access to social services and other community destinations for disadvantaged communities
- Transit planning studies related to accessible transit, paratransit, mobility management, etc.
- Rural planning studies or plans that provide rural counties the ability to develop active transportation plans with a rural context-sensitive focus and allow for rural regions to contribute to the State's GHG reduction targets
- Studies and plans that can help to quantify and highlight the value and importance of the rural State transportation system with connects large urban centers to rural open space, State and federal lands, and recreation and agriculture hubs.
- Studies and plans to mitigate for impacts to the rural transportation system due to increased interregional tourism and visitor traffic
- Studies, plans or planning methods that address environmental justice issues in a transportation related context
- Station area planning
- Community outreach plans for park-and-ride lots
- Student internships for rural agencies and/or disadvantaged communities
- First Mile/Last Mile project development planning
- Planning for zero or near zero emission vehicles
- Electric vehicle charging infrastructure network planning
- Transit planning for zero emission bus fleets
- Planning for autonomous vehicles
- Integration of transportation and environmental planning
- Shared mobility services planning studies



## Caltrans Sustainable Transportation Planning Grant Program

- Road or parking pricing studies
- Transportation Demand Management studies
- Congestion pricing studies including plans that enhance social equity and avoid inequitable cost burdens
- Commute trip reduction studies and plans
- Planning to remove or reduce barriers created by transportation infrastructure such as highways, overpasses and underpasses, that create disconnected communities
- Studies or plans to ensure that infill and transit-oriented development benefits existing residents and businesses, low-income and disadvantaged communities, and minimizes displacement
- Transportation modeling studies that address active transportation, emerging technology, public health, VMT and other impacts
- Data collection/data sharing initiatives
- Strategies to increase transit ridership
- Integration of transit, new emerging technologies, and shared mobility services
- Studies or plans that include a temporary built environment demonstration, e.g., tactical urbanism
- Studies or plans related to zero emissions vehicle goods movement

### **Land use planning activities in coordination with a transportation project.**

#### **Examples include:**

- An update to a general plan land use element or zoning code that increases development opportunities around key transportation corridors or nodes
- Creation of a Transit-Oriented Development overlay zone or other special zoning district around key transportation corridors or nodes
- Studies, plans, and policies that address land use conflicts with major transportation corridors such as major highways, ports, shipping and freight corridors, etc. that are near sensitive land uses such as homes, schools, parks, etc. or potentially impacted by climate change

## Eligible Activities and Expenses

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

- Data gathering and analysis
- Planning consultants
- Conceptual drawings and design
- Community surveys, meetings, charrettes, focus groups
- Bilingual services for interpreting and/or translation services for meetings
- Community/stakeholder advisory groups

## Caltrans Sustainable Transportation Planning Grant Program

- Light snacks and refreshments for public workshops (no full meals), subject to Caltrans approval
- Project administration (up to 5% of the grant is allowed, e.g., quarterly reports, invoicing, project management)

## Ineligible Activities and Expenses

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

- Environmental studies, plans, or documents normally required for project development under the National Environmental Policy Act or the California Environmental Quality Act
- Engineering plans and design specification work
- Project Initiation Documents
- RTPs or updates to the RTP, excluding SCS development
- Construction projects, capital costs, such as the building of a facility, or maintenance
- Office furniture purchases, or other capital expenditures
- Decorations, e.g., for public workshop events
- Acquisition of vehicles or shuttle programs
- Organizational membership fees
- Incentives for public participation, e.g., child care, full meals, prizes, freebies, promotional/marketing items
- Charges passed on to sub-recipient for oversight of awarded grant funds
- Other items unrelated to the project

## Strategic Partnerships – Grant Specific Objectives

The objective of the Strategic Partnerships and Strategic Partnerships - Transit grants is to accomplish the Federal Planning Factors listed below and achieve the Caltrans Mission and the Grant Program Overarching Objectives on Page 4. Strategic Partnerships are intended to fund planning projects that address needs on the State highway system, while the transit component will address multimodal planning projects that focus on transit. Applicants should demonstrate that the proposed effort will:

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

## Federal Planning Factors

1. Support the economic vitality of the metropolitan area, especially by enabling global competitiveness, productivity, and efficiency
2. Increase the safety of the transportation system for motorized and non-motorized users
3. Increase the security of the transportation system for motorized and non-motorized users

4. Increase accessibility and mobility of people and freight
5. Protect and enhance the environment, promote energy conservation, improve the quality of life, and promote consistency between transportation improvements and State and local planned growth and economic development patterns
6. Enhance the integration and connectivity of the transportation system, across and between modes, for people and freight
7. Promote efficient system management and operation
8. Emphasize the preservation of the existing transportation system
9. Improve the resiliency and reliability of the transportation system and reduce or mitigate stormwater impacts of surface transportation
10. Enhance travel and tourism.

### Example Strategic Partnerships Grant Project Types

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

### Example Strategic Partnerships - Transit Grant Project Types

- Identification of policies and procedures to integrate transit into the transportation system and planning process
- Statewide transit planning surveys and research
- Identification of policies, strategies, and programs to preserve transit facilities and optimize transit infrastructure
- Projects that evaluate accessibility and connectivity of the multi-modal transportation network
- Transit technical planning studies to optimize system performance

## Eligible Activities and Expenses

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

- Data gathering and analysis
- Planning consultants
- Conceptual drawings and design
- Community surveys, meetings, charrettes, focus groups
- Bilingual services for interpreting and/or translation services for meetings
- Community/stakeholder advisory groups
- Light snacks and refreshments for public workshops (no full meals), subject to Caltrans and federal approval
- Project administration (up to 5% of the grant is allowed, e.g., quarterly reports, invoicing, project management)

## Ineligible Activities and Expenses

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

- Environmental studies, plans, or documents normally required for project development under the National Environmental Policy Act or the California Environmental Quality Act
- Engineering plans and design specification work
- Project Initiation Documents
- RTPs or updates to the RTP
- Economic development plans or studies
- Land use plans or studies
- General Plans or updates to elements
- Construction projects, capital costs, such as the building of a facility, or maintenance
- Office furniture purchases, or other capital expenditures
- Decorations, e.g., for public workshop events
- Acquisition of vehicles or shuttle programs
- Organizational membership fees
- Incentives for public participation, e.g., child care, full meals, prizes, freebies, promotional/marketing items
- Charges passed on to sub-recipient for oversight of awarded grant funds
- Other items unrelated to the project

## General Information and Requirements

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

### Application Review Process and Award Considerations

#### Review Process

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

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

#### Sustainable Communities Grants Community Engagement

Sustainable Communities Competitive Grant applications must include an explanation of how local residents and community-based organizations will be meaningfully engaged in developing the final product, especially those from disadvantaged and low-income communities, and how the final product will address community-identified needs. Below are some best practices in community engagement that applicants are encouraged to implement, as applicable and appropriate, in their transportation planning projects:

- Utilize a Participatory Budgeting (PB) planning process, as appropriate. PB is a democratic approach to public spending that meaningfully and deeply engages people in government and the community. During PB, community members democratically decide how to spend part of a public budget, enabling them to make the fiscal decisions that affect their lives and the health of their communities.
- Seek out existing community-based organizations or agencies that organize vulnerable populations, to be able to reach out and form collaborative relationships.
- Involve local health departments which can provide assistance in reaching community-based organizations and disadvantaged and vulnerable community members.

- Collaborate with disadvantaged and vulnerable communities to design and implement programs, plans and policies. Robust engagement of disadvantaged and vulnerable communities in significant agency decisions brings about better decisions through increased input from different perspectives, increases buy-in and acceptance of decisions and support for their implementation.
- Make opportunities for input accessible in terms of formats (pop-up workshops, temporary built-environment demonstrations, online, in public meetings, one on one, by mail, etc.), venues (at school and community events, community centers, libraries, transit hubs, etc.), hours (evening or weekend), and language (accessible to lay people and translated into the principle languages of the relevant communities, including accessible media such as caption videos).
- Develop a written collaboration agreement or memorandum of understanding that defines respective roles, expectations, desired outcomes, and agreements for how to work together.
- Establish an advisory group of representatives of vulnerable communities, including community leaders and give them worthwhile roles to design the public engagement process, so that community capacity is built during the collaboration process.

### Performance Considerations

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

### Award Terms

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

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

## Contracting with Caltrans and Project Timelines

### Conditional Award Letter Teleconference

Grant awards are anticipated for release in spring of 2020. Each grantee will receive a Conditional Award Letter that outlines the conditions of grant acceptance that are necessary to accept grant funding. Caltrans district staff will schedule individual teleconferences to clarify the conditions of grant acceptance, including any revisions to the grant application, Scope of Work and Project Timeline.

## Project Start Dates

All awarded grant funds must be programmed during the State FY 2020-21. The project start date depends on the method of contracting with Caltrans. For MPOs and RTPAs with a current Master Fund Transfer Agreement (MFTA), work may begin as early as July 2020, pending State Budget approval, and Caltrans issuing a formal Notice to Proceed. For awarded grantees that do not have a current MFTA with the Caltrans Office of Regional Planning (i.e. cities, counties, transit agencies, Tribal Governments), Caltrans will contract directly with the primary grant recipients through the Restricted Grant Agreement (RGA) process. For grant recipients that undergo the RGA contracting process, work may begin as early as September 2020, assuming the grantee has received a fully executed contract and has been formally notified by Caltrans district staff to begin work. It is important for applicants to reflect the estimated project start date in the Scope of Work and Project Timeline. Project Timeline constraints for both methods of contracting with Caltrans are provided below. Awardees are required to submit all supporting materials and a signed agreement or risk forfeiting the grant award.

## Project Timeline

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

Restricted Grant Agreement Project Timeline	
<b>September 2020</b>	<ul style="list-style-type: none"> <li>Anticipated start date</li> </ul>
<b>February 28, 2023</b> (time extensions will not be granted)	<ul style="list-style-type: none"> <li>Contract expires</li> <li>Reimbursable work must be completed</li> </ul>
<b>April 28, 2023</b>	<ul style="list-style-type: none"> <li>All final invoices and final products must be submitted to Caltrans for approval and reimbursement. This allows Caltrans sufficient time to comply with the State Controller's Office payment requirements.</li> </ul>

Master Fund Transfer Agreement Project Timeline (MPOs/RTPAs Only)	
<b>July 2020</b>	<ul style="list-style-type: none"> <li>Anticipated start date</li> </ul>
<b>April 28, 2023</b> (time extensions will not be granted)	<ul style="list-style-type: none"> <li>Contract expires (no time extensions will be granted)</li> <li>Reimbursable work must be completed</li> </ul>
<b>April 28, 2023</b>	<ul style="list-style-type: none"> <li>All final invoices for State-funded grants awarded to MPOs/RTPAs and federal-funded grants awarded to RTPAs must be submitted to Caltrans for approval and reimbursement. This allows Caltrans sufficient time to comply with the State Controller's Office payment requirements.</li> </ul>
<b>June 30, 2023</b> (time extensions will not be granted)	<ul style="list-style-type: none"> <li>Project end date for <b>federal-funded grants awarded to MPOs</b></li> <li>Reimbursable work must be completed</li> </ul>
<b>August 30, 2023</b>	<ul style="list-style-type: none"> <li>A Final Request for Reimbursement for <b>federal-funded grants awarded to MPOs</b> must be filed no later than 60 days after the end of the fiscal year to coincide with the submission of the Overall Work Program (OWP) Final Expenditure Report.</li> </ul>

## Contract Options for Native American Tribal Governments

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

- (1) Contracting with Tribes Directly** – The authority Caltrans uses to contract with tribes directly comes from California Streets and Highways Code section 94, and is extremely limited. Caltrans Legal requires tribes to provide a limited waiver of sovereign immunity. However, the Caltrans Native American Liaison Branch makes sure that any waiver is very specifically limited in scope and in time to only applies to the contract itself (and to any possible audits). In an effort to streamline the RGA contracting process, there is a Sustainable Communities RGA boilerplate template for Native American Tribal Governments, available upon request.
- (2) Partnering with a Regional Agency** – Another mechanism for contracting with Caltrans is to collaborate with an MPO or RTPA. Caltrans can pass through grant funding to tribes for planning projects where options or time are limited. This option uses the three-part contract, MFTA/OWP/OWPA, and is usually the quickest option to allow planning projects to get started.
- (3) Transferring Funds Pursuant to 23 U.S.C. 202(a)(9)** – Section 202(a)(9) of title 23, United States Code encourages cooperation between States and Tribes by allowing any funds received from a State, county, or local government to be credited to appropriations available for the Tribal Transportation Program (TTP). One potential source of such funding is funds apportioned or allocated to a State under title 23. Section 104(f)(3) allows the Secretary of Transportation to, at the request of a State, transfer among States, or to the FHWA, funds that have been so apportioned or allocated. This provision, used in conjunction with the authority under 23 U.S.C. 209(a)(9), allows State funds to be transferred to FHWA, which in turn would provide the funds to the specified Tribe. For more information, visit:  
<https://flh.fhwa.dot.gov/programs/ttp/documents/Funds-Transfer-Procedures-Pursuant-to-23-U.S.C.202%28a%29%289%29.pdf>.

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

## Grant Project Administration Requirements

approval by Caltrans Legal and the funds must be used for the intended purpose of the awarded Sustainable Communities grant.

### Overall Work Program (for MPOs/RTPAs Only)

All MPOs and RTPAs must have the entire grant award and local match programmed in the FY 2020-21 OWP no later than November 2, 2020. Approved grant projects must be identified as individual Work Elements in the current OWP and in future OWPs until the project is completed.



## Quarterly Reporting

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

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

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

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

## Final Product

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

## Project Close-Out Survey

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

## Ownership

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

## Third Party Contracts

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

Grantees may use their agency's procurement procedures as long as they comply with the State Contracting Manual, Chapter 5, and the terms of the agreement with Caltrans. In addition, work

can only be contracted if it has been stated in the applicant's Scope of Work and Project Timeline. A grantee is fully responsible for all work performed by its sub-recipient, consultant, or sub-consultant. Caltrans solely enters into a contract directly with the grantee; therefore, the grantee is responsible to ensure that all third parties adhere to the same provisions included in the contractual agreement between Caltrans and the grantee.

All government funded consultant procurement transactions must be conducted using a fair and competitive procurement process that is consistent with the State Contracting Manual, Chapter 5, and the terms of the agreement with Caltrans. All documentation of third-party contract procurements must be retained and copies of all agreements must be submitted to Caltrans. For more information on third party contracting, visit the following link:

**State Contracting Manual:** <https://www.dgs.ca.gov/OLS/Resources/Page-Content/Office-of-Legal-Services-Resources-List-Folder/State-Contracting>

## Non-Discrimination Requirements

### Title VI Non-Discrimination Requirement

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

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

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

### Disadvantaged Business Enterprises

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

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

For details about DBE requirements, visit the Office of Regional Planning website at: <https://dot.ca.gov/programs/transportation-planning/regional-planning/federal-state-planning-program>.

## Invoicing and Financial Requirements

### Requests for Reimbursements

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

### Local Match Contribution

All grants require a local match. The local match can be all cash, all third-party in-kind contributions, or a combination of the two. Staff time from the primary applicant counts as cash match. Applicants will be held responsible for any local commitments above the minimum requirement included in the grant application and will be made part of the grant agreement with Caltrans.

Revenue sources for a local match can include local sales tax, special bond measures, private donations, private foundations, etc. The Sustainable Communities and Strategic Partnerships – Transit grants require the applicant to provide a minimum 11.47 percent local match—any source of funds may be used if the proposed grant work is an eligible activity for the local match fund source. The Strategic Partnerships grants require a minimum 20 percent local match – any non-federal source of funds may be used if the proposed grant work is an eligible activity for the local match fund source. **The minimum local match is a percentage of the total project cost (i.e., minimum local match amount plus the grant amount) and is represented on the Project Timeline at the task and subtask-level.** Below is a table illustrating the local match as a percentage of the Total Project Cost. The Local Match Calculator is available upon request.

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

Third party in-kind contributions are typically goods and services donated from outside the primary grantee's agency. Examples of third-party in-kind contributions include donated printing, facilities, interpreters, equipment, advertising, time and effort, staff time, and other goods and services. The value of third-party in-kind contributions must be directly benefiting and specifically identifiable to the project. Third-party in-kind contribution information must be identified on the Grant Application Cover Sheet, the Project Timeline, and the project specific Work Element in the OWP (if applicable).

If third party in-kind contributions are used to satisfy the local match requirements, a third -party in-kind valuation plan must also be submitted to Caltrans for approval as a condition of grant acceptance. The Third-Party In-kind Valuation Plan is an itemized breakdown by task and serves as documentation for the goods and/or services to be rendered. The Third-Party In-Kind Valuation Plan Checklist and Sample are provided on Pages 61-62.

### Accounting Requirements

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

### Indirect and Direct Costs

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

If a grantee, including sub-recipients and third party contractors/consultants, are seeking reimbursement of indirect costs, they must annually submit an ICAP or an Indirect Cost Rate Proposal (ICRP) to Caltrans Audits and Investigations for review and approval prior to reimbursement. An ICAP or ICRP must be prepared and submitted yearly in accordance with 2 CFR, Part 200. Indirect costs may be sought for reimbursement only after the grantee has received ICAP/ICRP approval from Caltrans Independent Office of Audits and Investigations. For more information visit the following website:

**Indirect Cost Allocation Plan** - <https://ig.dot.ca.gov/>

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

### Travel Expenses

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

**Caltrans Travel Guide:** <https://travelpocketguide.dot.ca.gov/>

### Pre-Award Audit

The Sustainable Communities grants are available in amounts up to \$1 million and Strategic Partnerships grants are up to \$500,000. However, any awarded grant in excess of \$250,000 may require a pre-award audit. The pre-award audit is to ensure that recipients of State funds maintain

adequate financial management systems prior to receiving the funds. Pre-award audits may be required of new grantees, agencies that have not recently been audited, agencies that have undergone prior audits with significant weaknesses or deficiencies in their financial management systems, or those determined to be a higher risk to Caltrans. If a pre-award audit is needed, the local Caltrans district office will contact the grantee to facilitate the appropriate action.

## Application Preparation

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

### Early Coordination with Primary Applicants

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

### Technical Assistance

Caltrans district staff (See Pages 66-67) is available during the application period to answer questions and help interested groups complete their applications.

For questions specific to the Grant Application Guide, applicants are also welcomed to contact the Caltrans Office of Regional Planning:

Contact Information	
<b>Grant Application Guide Technical Assistance</b>	<b>Priscilla Martinez-Velez, Grant Management Branch Chief</b> Caltrans Division of Transportation Planning Office of Regional Planning Email: <a href="mailto:Priscilla.Martinez-Velez@dot.ca.gov">Priscilla.Martinez-Velez@dot.ca.gov</a> Phone: (916) 651-8196
<b>Questions about "Planning for Housing" (see Page 15)</b>	<b>Paul McDougall</b> Department of Housing and Community Development Email: <a href="mailto:Paul.McDougall@hcd.ca.gov">Paul.McDougall@hcd.ca.gov</a>

### Required Documents

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

- Application (exact PDF format provided online)
- Scope of Work (Microsoft Word format)
- Project Timeline (Microsoft Excel format)
- Third Party In-Kind Valuation Plan, if applicable (Microsoft Excel format)

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

## Additional Documents

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

### Letters of Support

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

### Graphics

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

### Safety Data

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

### Travel Mode Data

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

### Other Data

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

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

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

## Sustainable Communities - Tips for a Successful Grant Application

### Sustainable Communities – Tips for a Successful Grant Application

#### General Tips

- Some sections of the grant application may seem redundant when discussing disadvantaged community engagement, overall public engagement, and stakeholder involvement. Caltrans wants applicants to go above and beyond business as usual to address the needs of disadvantaged communities and use unique methods to involve these groups in the decision-making process.
- Consult with your district representative for technical assistance before the application deadline.
- Use the Samples and Checklists provided for the Application, Scope of Work, and Project Timeline.
- Include Caltrans as an active partner in the study.
- Provide letters of support and project area photographs to enhance the application.

#### Project Description

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

#### Project Justification

- Clearly define and explain the transportation problem or deficiency that the project will attempt to address and how the project will address the problem. Why is it critical to address the problem now? Make the case for a critical need that the project will address and support it with verifiable data, if available.
- Explain how the project area or portions of the project area are a disadvantaged community. The tools in the Grant Application Guide, Pages 11-14, are intended to help applicants define a disadvantaged community. Please cite data sources, the tools used, and include a comparison to the statewide thresholds that are established in each tool.
- If the applicant is a Native American Tribal Government or a rural area (outside of the urbanized areas (50,000 in population or greater) of the State, include population characteristics.

## Sustainable Communities – Tips for a Successful Grant Application continued

## Grant Specific Objective

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

### Successful Applications should include:

- **Planning for Housing and Housing Element Compliance**

- ✓ **Cities and Counties** - Housing Element must already be found in compliance or be adopted by the grant application deadline (October 4, 2019) and found in compliance by date the of award recommendation (~Spring 2019). 2015-2018 APRs must be submitted by the grant application deadline. See *Planning for Housing* on Pages 15-16, for details.
- ✓ All applicants should demonstrate how they integrate housing planning into their policies, programs and project or commit to coordinate housing and transportation in future policies and programs. Competitive applications will demonstrate this integration throughout the application (e.g., narrative and scope of work). See *Planning for Housing* on Pages 15-16, for details.

**Examples:**

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

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

- **Community Engagement**

- ✓ Letters of support from community-based organizations or public advocacy groups to demonstrate their support or involvement in identifying the issues that the proposed project is attempting to address.
- ✓ Evidence of additional public outreach measures that promote access to decision-making and program implementation for all segments of the community, including special needs populations, disadvantaged communities, and a variety of socio-economic groups (e.g. households across the income and employment spectrum, ethnically and racially diverse households). See Pages 25-26 for best practices in community engagement.

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

- ✓ Conducting targeted outreach to community groups representing special needs populations, disadvantaged communities and a variety of socio-economic groups through various methods.
- ✓ Using a variety of outreach methods to optimize participation, such as creating and marketing user-friendly survey websites for public feedback, conducting surveys in multiple languages to collect input on local citizens' priorities, and carrying out meetings at accessible times and meeting locations (e.g., using community group buildings, hosting pop-up workshops at public venues, etc.).

- **Transportation, Land use, and Housing Integrated Planning**

- ✓ Narrative and any relevant supporting or illustrative data describing how the proposed project integrates land use and transportation, including how transportation and land use agencies or jurisdictions are actively collaborating on the project in all project phases. Competitive applications will demonstrate this integration throughout the application (e.g., narrative and scope of work). See list of examples of projects that coordinate land use and transportation on Grant Application Guide, Page 21.



Sustainable Communities - continued

Grant Specific Objective - continued

- **Transportation, Land use, and Housing Integrated Planning - continued**

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

- **State Priorities and/or RTP SCS promotion and alignment**

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

Project Management

- **Scope of Work:** Use Scope of Work Checklist. Identify the project area demographics, public participation, and project implementation. The Scope of Work should reflect the Grant Application.
- **Project Timeline:** Use Project Timeline Checklist. Identify the current indirect cost rate *if* indirect costs will be sought for reimbursement. If FY 2020-21 indirect cost rates are not available, the rate will be an estimate based on the currently approved rate. The Project Timeline should reflect the Grant Application and Scope of Work.
- Keep administrative project tasks below 5 percent of the grant amount requested.
- Ensure the correct minimum local match amount, calculated as a percentage of the total project cost (grant plus local match), is provided. Each task and sub-task must also have the minimum local match.

## Strategic Partnerships - Tips for a Successful Grant Application

### Strategic Partnerships – Tips for a Successful Grant Application

#### General Tips

- Consult with your district representative for technical assistance before the application deadline.
- Use the Samples and Checklists provided for the Application, Scope of Work, and Project Timeline.
- Include Caltrans as an active partner in the study.
- Provide letters of support and project area photographs to enhance the application.

#### Project Summary

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

#### Project Justification

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

#### Grant Specific Objective

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

#### Project Management

- **Scope of Work:** Use the Scope of Work Checklist. Identify the project area demographics, public participation, and project implementation. The Scope of Work should reflect the Grant Application.
- **Project Timeline:** Use the Project Timeline Checklist. Identify the current indirect cost rate if indirect costs will be sought for reimbursement. If FY 2020-21 indirect cost rates are not available, the rate will be an estimate based on the currently approved rate. The Project Timeline should reflect the Grant Application and Scope of Work.
- Keep administrative project tasks below 5 percent of the grant amount requested.
- Ensure the correct minimum local match amount, calculated as a percentage of the total project cost (grant plus local match), is provided. Each task and sub-task must also have the minimum local match.

## Application Submittal Instructions

All grant application packages are required to be submitted **via e-mail**. **An agency may only submit one application package per e-mail**. The Caltrans district contact must be copied (refer to the **District Contact List** on Pages 66-67) and the subject line needs to identify the district number, grant program, and *brief* project title (e.g., D1, SC, City of Can Do Planning Project). The required items outlined on the Grant Application Checklist on Page 40 must be attached to the e-mail as separate documents. **Applicants will receive an email reply by 5 PM on Monday, October 14, 2019, to confirm receipt of applications submitted.**

Please submit your application package to: [Regional.Planning.Grants@dot.ca.gov](mailto:Regional.Planning.Grants@dot.ca.gov)

### **APPLICATIONS MUST BE SUBMITTED VIA E-MAIL**

Please submit your application package to:

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

**NO LATER THAN**

**FRIDAY, OCTOBER 11, 2019 BY 5:00 P.M.**

### **HARD COPIES WILL NOT BE ACCPETED AND LATE APPLICATIONS WILL NOT BE REVIEWED**

The Grant Application Guide, Application forms, and required templates are available upon request.

**Caltrans anticipated award announcements: *Spring 2020***

Caltrans district staff is available during the application period to answer questions and help interested groups complete their applications. Refer to the District Contact List on Pages 66-67 for contact information.

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

## Grant Application Checklist

**The following documents are required and must be submitted via e-mail as separate attachments. Please do not combine documents into a single attachment. Please keep file names brief, as files become corrupted when the names are too long.** Refer to the Grant Application Guide for additional information and/or samples. Failure to include any of the required documents will result in a reduced application score.

**Required Application Documents (Required formats/templates are provided upon request):**

- Application (Complete and submit the PDF form in the exact format provided upon request- **Scanned or hard copies of the application will not be accepted**)
- Application Signature Page (print, sign, and scan this page in PDF format)
- Scope of Work (Microsoft Word format) – see Pages 54-58
- Project Timeline (Microsoft Excel format) – see Pages 59-60
- Third Party In-Kind Valuation Plan (Microsoft Excel format), if applicable – see Pages 61-62
- Map of Project Area

**Supplemental Information (see descriptions on Page 34):**

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

## Sustainable Communities Grant Application Preview

Pages 41-47 provide a preview of the Sustainable Communities Grant Application form for FY 2020-21. The grant application form is available upon request.

<p><b>APPLICATION PREVIEW</b>                  FY 2020-21  <b>CALTRANS SUSTAINABLE TRANSPORTATION PLANNING</b>  <b>SUSTAINABLE COMMUNITIES GRANT APPLICATION</b></p> <p>Check here, if technical project: <input type="checkbox"/></p>			
PROJECT TITLE			
PROJECT LOCATION (city and county)			
	APPLICANT	SUB-APPLICANT	SUB-APPLICANT
Organization			
Mailing Address			
City			
Zip Code			
Executive Director/designee and title			
E-mail Address			
Contact Person and title			
Contact E-mail Address			
Phone Number			
<b>FUNDING INFORMATION</b>			
<b>Use the Match Calculator to complete this section.</b>			
Grant Funds Requested	Local Match - Cash	Local Match - In-Kind	Total Project Cost
\$	\$	\$	\$
<b>Specific Source of Local Match and Name of Provider</b> (i.e., local transportation funds, local sales tax, special bond measures, etc.)			

## APPLICATION PREVIEW

### FY 2020-21

# CALTRANS SUSTAINABLE TRANSPORTATION PLANNING SUSTAINABLE COMMUNITIES GRANT APPLICATION

<b>LEGISLATIVE INFORMATION*</b>			
<b>Please list the legislative members in the project area. Attach additional pages if necessary.</b>			
State Senator(s)		Assembly Member(s)	
Name(s)	District	Name(s)	District

**\*Use the following link to determine the legislators.**

<http://findyourrep.legislature.ca.gov/> (search by address)

<b>1A. Project Timeframe (Start and End Dates):</b>
<b>1B. Project Area Boundaries:</b>
<b>1C. Project Description:</b> Briefly summarize project in a clear and concise manner, including major deliverables, parties involved, and any connections to relevant local, regional, and/or State planning efforts. <b>150 words maximum (15 points):</b>

**APPLICATION PREVIEW**  
FY 2020-21  
**CALTRANS SUSTAINABLE TRANSPORTATION PLANNING**  
**SUSTAINABLE COMMUNITIES GRANT APPLICATION**

**2A. Project Justification:** Describe the problems or deficiencies the project is attempting to address, as well as how the project will address the identified problems or deficiencies. Additionally, list the ramifications of not funding this project. This section needs to clearly define the existing issues surrounding the project (e.g., transportation issues, inadequate transit services, impacts of heavy trucking on local streets, air pollution, etc.). Competitive applications support the need for the project with empirical data, describe how this project addresses issues raised, define the public benefits, explain how the public was involved in identifying issues, and describe the impact of not funding the project. **Do not exceed the space provided. (10 points):**

**2B. Disadvantaged Communities Justification:** Explain how the project area or portions of the project area are defined as a disadvantaged community, including Native American Tribal Governments and rural communities, as well as how the proposed project addresses the needs of the disadvantaged community. The tools in the Grant Application Guide (Pages 11-14) are intended to help applicants define a disadvantaged community. Please cite data sources, the tools used, and include a comparison to the statewide thresholds that are established in each tool. Also describe how disadvantaged communities will benefit from the proposed planning project. **Do not exceed the space provided. (5 points):**

**2C. Disadvantaged Communities Engagement:** Applicants should describe how the proposed effort would engage disadvantaged communities, including Native American Tribal Governments and rural communities. Include specific outreach methods for involving disadvantaged communities. Also describe how disadvantaged communities will continue to be engaged during the next phases after the proposed planning project is complete, including project implementation. See Grant Application Guide, Pages 25-26, for best practices in community engagement. **Do not exceed the space provided. (5 points):**

## APPLICATION PREVIEW

### FY 2020-21

# CALTRANS SUSTAINABLE TRANSPORTATION PLANNING SUSTAINABLE COMMUNITIES GRANT APPLICATION

<p><b>3. Grant Specific Objective:</b> Explain how the proposed project addresses the grant specific objective of the Sustainable Communities grant program. Applicants should integrate the following Grant Program Considerations (Grant Application Guide, Pages 5-16) in the responses for A-G below, as applicable:</p> <ul style="list-style-type: none"> <li>• California Transportation Plan (CTP) 2040</li> <li>• 2017 RTP Guidelines and Promoting Sustainable Communities in California</li> <li>• Complete Streets and Smart Mobility Framework</li> <li>• Climate Ready Transportation</li> <li>• Addressing Environmental Justice and Disadvantaged Communities</li> <li>• California Sustainable Freight Action Plan</li> <li>• 2017 Climate Change Scoping Plan Update, Appendix C</li> <li>• Planning for Housing</li> </ul>
<p><b>3A.</b> Explain how the proposal encourages local and regional multimodal transportation, housing and land use planning that furthers the region's RTP SCS (where applicable). Applicants should demonstrate how the proposed effort would coordinate transportation, housing, and land use planning components of the project to inform one another (i.e., regular coordination meetings between responsible entities, joint community meetings, letters of commitment from all relevant implementing agencies, etc.). Also explain how the proposed effort would contribute to shifts in land use towards more sustainable and equitable communities, such as more affordable housing near transit or more compact regional development patterns. See Grant Application Guide, Pages 19-21 for example project types. <b>Do not exceed the space provided. (5 points):</b></p>
<p><b>3B.</b> Explain how the proposal contributes to the State's GHG reduction targets and advances transportation related GHG emission reduction project types/strategies (i.e., mode shift, demand management, travel cost, operational efficiency, accessibility, and coordination with future employment and residential land use, etc.) <b>Do not exceed the space provided. (5 points):</b></p>
<p><b>3C.</b> Explain how the proposal supports other State goals, including but not limited to, State planning priorities (Government Code Section 65041.1), climate adaptation goals (Safeguarding California), and the goals and best practices cited in the 2017 RTP Guidelines, Appendices K and L. <b>Do not exceed the space provided. (5 points):</b></p>
<p><b>3D.</b> Explain how the proposal encourages stakeholder involvement. Applicants should list the stakeholders involved in the planning effort (e.g., first responders, community-based organizations, local housing and public health departments, and partners including State, federal, local agencies), as well as how they will be involved throughout the project. <b>Do not exceed the space provided. (5 points):</b></p>
<p><b>3E.</b> Explain how the proposal involves active community engagement. Applicants should describe the specific public outreach methods/events that will be employed throughout the project, as well as how public input will inform the project. Also describe how the effort will survey the public at the end of each outreach event to gauge effectiveness of these activities for the planning effort. <b>Do not exceed the space provided. (5 points):</b></p>



**3F.** Explain how the proposal assists in achieving the Caltrans Mission and Grant Program Overarching Objectives on Page 4: Sustainability, Preservation, Mobility, Safety, Innovation, Economy, Health, and Social Equity, as applicable. **Do not exceed the space provided. (5 points):**

**3G.** Explain how the proposal ultimately results in funded and programmed multimodal transportation system improvements. Applicants should discuss next steps for project implementation, including timing for programming improvements that would result from the planning effort.  
**Do not exceed the space provided. (5 points):**

**APPLICATION PREVIEW**  
FY 2020-21  
**CALTRANS SUSTAINABLE TRANSPORTATION PLANNING**  
**SUSTAINABLE COMMUNITIES GRANT APPLICATION**

<b>4. Project Management (30 points): See Scope of Work and Project Timeline samples and checklists for requirements (Grant Application Guide, Pages 54-60), also available upon request.</b>
<b>4A. Scope of Work in required Microsoft Word format (15 points)</b>
<b>4B. Project Timeline in required Microsoft Excel format (15 points)</b>

**APPLICATION PREVIEW**  
FY 2020-21  
**CALTRANS SUSTAINABLE TRANSPORTATION PLANNING**  
**SUSTAINABLE COMMUNITIES GRANT APPLICATION**

**Application Signature Page**

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

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

\_\_\_\_\_  
Signature of Authorized Official (Applicant)

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Authorized Official (Sub-Applicant)

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Authorized Official (Sub-Applicant)

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

## Strategic Partnerships Grant Application Preview

Pages 48-52 provide a preview of the Strategic Partnerships Grant Application form for FY 2020-21. The grant application form is available upon request.

<b>APPLICATION PREVIEW</b>			
FY 2020-21			
<b>CALTRANS SUSTAINABLE TRANSPORTATION PLANNING STRATEGIC PARTNERSHIPS GRANT APPLICATION</b>			
Select one: <input type="checkbox"/> Strategic Partnerships (FHWA SPR Part I) <input type="checkbox"/> Strategic Partnerships – Transit (FTA 5304)			
PROJECT TITLE			
PROJECT LOCATION (city and county)			
	APPLICANT	SUB-APPLICANT	SUB-APPLICANT
Organization			
Mailing Address			
City			
Zip Code			
Executive Director/designee and title			
E-mail Address			
Contact Person and title			
Contact E-mail Address			
Phone Number			
<b>FUNDING INFORMATION</b>			
<b>Use the Match Calculator to complete this section.</b>			
Grant Funds Requested	Local Match - Cash	Local Match - In-Kind	Total Project Cost
\$	\$	\$	\$
<b>Specific Source of Local Match and Name of Provider (i.e., local transportation funds, local sales tax, special bond measures, etc.)</b>			

## APPLICATION PREVIEW

### FY 2020-21

# CALTRANS SUSTAINABLE TRANSPORTATION PLANNING STRATEGIC PARTNERSHIPS GRANT APPLICATION

<b>LEGISLATIVE INFORMATION*</b>			
<b>Please list the legislative members in the project area. Attach additional pages if necessary.</b>			
State Senator(s)		Assembly Member(s)	
Name(s)	District	Name(s)	District

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

<b>1A. Project Timeframe (Start and End Dates):</b>
<b>1B. Project Area Boundaries:</b>
<b>1C. Project Description:</b> Briefly summarize project in a clear and concise manner, including major deliverables, parties involved, and any connections to relevant local, regional, and/or State planning efforts. <b>150 words maximum (20 points):</b>

**APPLICATION PREVIEW**  
FY 2020-21  
**CALTRANS SUSTAINABLE TRANSPORTATION PLANNING  
STRATEGIC PARTNERSHIPS GRANT APPLICATION**

**2. Project Justification:** Describe the problems or deficiencies the project is attempting to address, as well as how the project will address the identified problems or deficiencies. Additionally, list the ramifications of not funding this project. This section needs to clearly define the existing issues surrounding the project (e.g., transportation issues, inadequate transit services, impacts of heavy trucking on local streets, air pollution, etc.). Competitive applications support the need for the project with empirical data, describe how this project addresses issues raised, and describe the impact of not funding the project. **Do not exceed the space provided. (20 points):**

## APPLICATION PREVIEW

### FY 2020-21

# CALTRANS SUSTAINABLE TRANSPORTATION PLANNING STRATEGIC PARTNERSHIPS GRANT APPLICATION

**3. Grant Specific Objectives:** Explain how the proposed project addresses the grant specific objectives of the Strategic Partnerships and Strategic Partnerships - Transit grant program. Applicants should integrate the following Grant Program Considerations (Grant Application Guide, Pages 5-11) in the responses for 3A-3D below, as applicable:

- California Transportation Plan (CTP) 2040
- 2017 RTP Guidelines and Promoting Sustainable Communities in California
- Complete Streets and Smart Mobility Framework
- Climate Ready Transportation
- Addressing Environmental Justice and Disadvantaged Communities
- California Sustainable Freight Action Plan

**3A.** Explain how the proposal accomplishes the Federal Planning Factors (Grant Application Guide, Page 22-23) and achieve the Caltrans Mission and the Grant Program Overarching Objectives on Page 4. Applicants should list and explain how the proposed project intends to accomplish the applicable Federal Planning Factors and Grant Program Overarching Objectives, as well as the Caltrans Mission. **Do not exceed the space provided. (5 points):**

**3B.** Explain how the proposal partners with Caltrans to identify and address statewide, interregional, or regional transportation deficiencies in the State highway system (or multimodal transportation system for transit-focused projects). Applicants should clearly define how Caltrans will be a partner in the proposed project, as appropriate for the project. **Do not exceed the space provided. (5 points):**

**3C.** Explain how the proposal strengthens government-to-government relationships. Applicants should outline the entities involved with the proposed project and how partnerships will be strengthened as a result. **Do not exceed the space provided. (5 points):**

**3D.** Explain how the proposal results in programmed system improvements. Applicants should discuss next steps for project implementation, including timing for programming improvements that would result from the planning effort. **Do not exceed the space provided. (5 points):**

**APPLICATION PREVIEW**  
FY 2020-21  
**CALTRANS SUSTAINABLE TRANSPORTATION PLANNING  
STRATEGIC PARTNERSHIPS GRANT APPLICATION**

<p><b>4. Project Management (30 points):</b> See Scope of Work and Project Timeline samples and checklists for requirements (Grant Application Guide, Pages 54-60), also available upon request.</p>
<p><b>4A.</b> Scope of Work in required Microsoft Word format (15 points)</p>
<p><b>4B.</b> Project Timeline in required Microsoft Excel format (15 points)</p>



**APPLICATION PREVIEW**  
FY 2020-21  
**CALTRANS SUSTAINABLE TRANSPORTATION PLANNING  
STRATEGIC PARTNERSHIPS 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

\_\_\_\_\_  
Signature of Authorized Official (Sub-Applicant)

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

## Scope of Work Checklist and Sample

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

The Scope of Work must:

- Use the Fiscal Year 2020-21 template provided and in Microsoft Word format
- List all tasks and sub-tasks using the same title as stated in the project timeline
- Include the activities discussed in the grant application
- Include task and sub-task numbers in accurate and proper sequencing; consistent with the project timeline
- List the responsible party for each task and subtask and ensure that it is consistent with the project timeline (i.e. applicant, sub-applicant, or consultant)
- Include a thorough Introduction to describe relevant background, related planning efforts, the project and project area demographics, including a description of the disadvantaged community involved with the project, if applicable
- Include a thorough and accurate narrative description of each task and sub-task
- Include a task for a kick-off meeting with Caltrans at the start of the grant
- Include a task for procurement of consultants, if consultants are needed
- Include a task for invoicing
- Include a task for quarterly reporting to Caltrans
- Include detailed public participation and services to diverse communities
- Include project implementation/next steps
- List the project deliverable for each task in a table following each task and ensure that it is consistent with the project timeline
- EXCLUDE environmental, complex design, engineering work, and other ineligible activities

## Sample Scope of Work

### City of Can Do Complete Street Plan

#### **INTRODUCTION:**

The City of Can Do (City) 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 Complete Street Plan will contain conceptual design only. It is the City's intent that once this plan is complete, it will lead to implementation and development.

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

#### **RESPONSIBLE PARTIES:**

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

#### **OVERALL PROJECT OBJECTIVES:**

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

#### **1. Project Initiation**

##### **Task 1.1:** Project Kick-off Meeting

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

##### **Task 1.2:** Staff Coordination

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

**Task 1.3:** RFP for Consultant Services

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

**Task 1.4:** Identify Existing Conditions

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

Task #	Deliverable
1.1	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 publicly noticed to ensure maximum attendance. All public notices will be in English and Spanish. Spanish translators and sign language interpreters will be present at all workshops.

**Task 2.1:** Community Workshop #1

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

**Task 2.2:** Community Workshop #2

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

**Task 2.3:** Community Workshop #3

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

Task #	Deliverable
2.1	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/Housing Advisory Commission Meeting

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

**Task 3.6:** Final Complete Street Plan

- Complete the final report that addresses the comments given from Workshop #3 and the Joint Commission Meeting. An ADA accessible electronic copy of the final report will be submitted to Caltrans. The final report shall credit the FTA, FHWA, or Caltrans' financial contribution on the cover or title page.
- Responsible Party: Consultant

**Task 3.7:** Present Plan to City Council

- Present the final Complete Street Plan at the City Council meeting. Resolve any critical issues. Action taken by City Council to Adopt/Accept/Reject final City Complete Street Plan.
- Responsible Party: The City/Consultant

<b>Task #</b>	<b>Deliverable</b>
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

### 3 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

<b>Task #</b>	<b>Deliverable</b>
4.1	Invoice Packages
4.2	Quarterly Reports

## Project Timeline Checklist and Sample

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

The Project Timeline must:

- Use the Fiscal Year 2020-21 template provided (do not alter the template) and submitted in Microsoft Excel format
- List all tasks and sub-tasks with the same title as stated in the scope of work
- Include task and sub-task numbers in proper sequencing, consistent with the scope of work
- Include a task for a kick-off meeting with Caltrans at the start of the grant
- Include a task for procurement of consultants, if consultants are needed
- Include a task for quarterly reporting to Caltrans
- Include a task for invoicing
- List the responsible party for each task and sub-task, and ensure that it is consistent with the scope of work (i.e. applicant, sub-applicant, or consultant)
- Complete all budget columns as appropriate: Total Cost, Grant Amount, Local Cash Match, and if applicable, Local In-Kind Match
- State a realistic total cost for each task based on the work that will be completed.
- Project management/administration costs (e.g., quarterly reports, invoicing, project management meetings) should not exceed five percent of the grant amount requested
- Include a proportional spread of local match amongst each task. The match amount must be at least the minimum amount required by the grant program
- Identify the indirect cost rate if indirect costs will be reimbursed
- Include a best estimate of the amount of time needed to complete each task
- Start the timeframe at the beginning of the grant period (July 2020 for MPO/RTPAs; September 2020 for non-MPO/RTPAs)
- Extend the timeframe all the way to the end of the grant period (Project end dates differ based on applicant type and type of funds, i.e., State or federal. See Grant Application Guide, Pages 26-27, for details)
- List the deliverable for each task as stated in the scope of work

# Sample Project Timeline

**California Department of Transportation  
Sustainable Transportation Planning Grants  
Fiscal Year 2020-21**

**SAMPLE PROJECT TIMELINE**

Project Title		City of Can Do Complete Street Plan												Grantee The RTPA of Can Do																			
		Budget						FY 2020/21						FY 2021/22						FY 2022/23													
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	Deliverable		
<b>1.0 Project Initiation</b>																																	
1.1	Project Kick-off Meeting	The City	\$970	\$776	\$194	\$0																										Meeting Notes	
1.2	Staff Coordination	The City	\$3,000	\$2,400	\$600	\$0																										Monthly Meeting Notes	
1.3	RFP for Consultant Services	The City	\$1,500	\$1,200	\$300	\$0																										Copy of Procurement Procedures and Executed Consultant Contract	
1.4	Identify Existing Conditions	Consultant	\$2,400	\$1,920	\$480	\$0																										Existing Conditions Report	
<b>2.0 Public Outreach</b>																																	
2.1	Community Workshop #1	Consultant	\$17,743	\$13,949	\$3,200	\$349																										PowerPoint Presentation, Workshop Summary, Photos	
2.2	Community Workshop #2	Consultant	\$17,744	\$13,995	\$3,199	\$350																										PowerPoint Presentation, Workshop Summary, Photos	
2.3	Community Workshop #3	Consultant	\$17,743	\$14,194	\$3,550	\$18																										PowerPoint Presentation, Workshop Summary, Photos	
<b>3.0 Streetscape Plan</b>																																	
3.1	Develop Streetscape Concept	Consultant	\$25,000	\$20,000	\$5,000	\$0																										Sketches, Illustrations	
3.2	Develop Conceptual Design Concept Alternatives	Consultant	\$12,000	\$9,600	\$2,400	\$0																										Sketches, Illustrations	
3.3	Draft Complete Street Plan	Consultant	\$18,000	\$14,400	\$3,600	\$0																										Draft report	
3.4	Identify Potential Funding Sources	Consultant	\$1,500	\$1,200	\$300	\$0																										Funding Source Report	
3.5	Sort Planning/Parking and Safety/Bicycle Advisory Commission Meeting	The City/ Consultant	\$2,200	\$1,760	\$440	\$0																										PowerPoint Presentation, Workshop Summary, Photos	
3.6	Final Complete Street Plan	Consultant	\$7,000	\$5,600	\$1,400	\$0																										Final Report	
3.7	City Council Adoption	The City/ Consultant	\$500	\$400	\$100	\$0																										Meeting Notes	
<b>4.0 Fiscal Management</b>																																	
4.1	Invoicing	The City	\$1,000	\$800	\$200	\$0																										Invoice Packages	
4.2	Quarterly Reports	The City	\$1,200	\$960	\$240	\$0																										Quarterly Reports	
			<b>TOTALS</b>	<b>\$129,054</b>	<b>\$103,164</b>	<b>\$26,183</b>	<b>\$717</b>																										

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

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



## Third Party In-Kind Valuation Plan Checklist and Sample

The Third Party In-Kind Valuation Plan is an itemized breakdown by task and sub-task and serves as documentation for the goods and/or services to be donated. **The Third Party In-Kind Valuation Plan must be consistent with the information provided on the Project Timeline and Grant Application Cover Sheet.**

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

The Third Party In-kind Valuation Plan must:

- Use the FY 2020-21 template provided (do not alter the format)
- Name the third party in-kind local match provider
- Describe how the third party in-kind local match will be tracked and documented for accounting purposes
- Describe the fair market value of third party in-kind contributions and how the values were determined
- Include an itemized breakdown by task and sub-task consistent with the project timeline
- Identify consistent in-kind local match amount also reflected on the grant application cover sheet

## Sample Third Party In-Kind Valuation Plan

**Sample  
Third Party In-Kind Valuation Plan**

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

<b>How the third party in-kind match will be documented for accounting purposes:</b>	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.
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## Local Resolution Checklist and Sample (not applicable to MPO/RTPAs)

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

The Local Resolution must:

- State the title of the project 1
- State the job title of the person authorized to enter into a contract with Caltrans on behalf of the applicant 2
- NOT be more than a year old or will not be accepted 3
- Be signed by the governing board of the grant applicant 4

## Sample Local Resolution

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

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

1

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

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

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

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

2

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

**APPROVED AND PASSED** this 4th day of January, 2019.

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

**ATTEST:**

  
\_\_\_\_\_

Eileen Wright, Executive Director

# Caltrans District and Regional Agency Boundaries Map



## Caltrans Sustainable Transportation Planning Grants District Contact List

DISTRICT	CONTACT	MPO/RTPA
<b>DISTRICT 1</b> 1656 Union Street P.O. Box 3700 Eureka, CA 95502	<b>Mendocino and Lake Counties</b> Rex Jackman (707) 445-6412 Email: <a href="mailto:rex.jackman@dot.ca.gov">rex.jackman@dot.ca.gov</a>  <b>Del Norte and Humboldt Counties</b> Kevin Tucker (707) 441-5770 Email: <a href="mailto:kevin.tucker@dot.ca.gov">kevin.tucker@dot.ca.gov</a>	<ul style="list-style-type: none"> <li>• Del Norte LTC</li> <li>• Humboldt CAOG</li> <li>• Lake CCAPC</li> <li>• Mendocino COG</li> </ul>
<b>DISTRICT 2</b> 1657 Riverside Drive Redding, CA 96001	Kathy Grah (530) 229-0517 Email: <a href="mailto:kathy.grah@dot.ca.gov">kathy.grah@dot.ca.gov</a>	<ul style="list-style-type: none"> <li>• Lassen CTC</li> <li>• Tehama CTC</li> <li>• Modoc LTC</li> <li>• Trinity CTC</li> <li>• Plumas CTC</li> <li>• Siskiyou CLTC</li> <li>• Shasta RTA</li> </ul>
<b>DISTRICT 3</b> 703 B Street Marysville, CA 95901	<b>Sacramento and Yolo Counties</b> Alex Fong (530) 634-7616 Email: <a href="mailto:alexander.fong@dot.ca.gov">alexander.fong@dot.ca.gov</a>  <b>Butte, Colusa, Glenn, Sierra, Sutter, and Yuba Counties</b> Shannon Culbertson (530) 741-5151 Email: <a href="mailto:shannon.culbertson@dot.ca.gov">shannon.culbertson@dot.ca.gov</a>  <b>El Dorado, Nevada, Placer, Tahoe Basin</b> Kevin Yount (530) 741-4286 Email: <a href="mailto:kevin.yount@dot.ca.gov">kevin.yount@dot.ca.gov</a>	<ul style="list-style-type: none"> <li>• Butte CAG</li> <li>• Sierra LTC</li> <li>• Colusa CTC</li> <li>• Glenn CTC</li> <li>• El Dorado CTC</li> <li>• Nevada CTC</li> <li>• Placer CTPA</li> <li>• Sacramento Area COG</li> <li>• Tahoe MPO</li> </ul>
<b>DISTRICT 4</b> 111 Grand Avenue P.O. Box 23660 Oakland, CA 94623-0660	Becky Frank (510) 286-5536 Email: <a href="mailto:becky.frank@dot.ca.gov">becky.frank@dot.ca.gov</a>  Ariam Asmerom (510) 286-5572 Email: <a href="mailto:ariam.asmerom@dot.ca.gov">ariam.asmerom@dot.ca.gov</a>	<ul style="list-style-type: none"> <li>• Metropolitan Transportation Commission</li> </ul>
<b>DISTRICT 5</b> 50 Higuera Street San Luis Obispo, CA 93401-5415	Hana Mengsteab (805) 549-3130 Email: <a href="mailto:hana.mengsteab@dot.ca.gov">hana.mengsteab@dot.ca.gov</a>	<ul style="list-style-type: none"> <li>• Monterey TAMC</li> <li>• Santa Cruz CCRTC</li> <li>• San Benito COG</li> <li>• Association of Monterey County Bay Area Governments</li> <li>• Santa Barbara CAG</li> <li>• San Luis Obispo COG</li> </ul>
<b>DISTRICT 6</b> 1352 W. Olive Avenue P.O. Box 12616 Fresno, CA 93778-2616	Lorena Mendibles (559) 445-5421 Email: <a href="mailto:lorena.mendibles@dot.ca.gov">lorena.mendibles@dot.ca.gov</a>	<ul style="list-style-type: none"> <li>• Fresno COG</li> <li>• Tulare CAG</li> <li>• Kern COG</li> <li>• Kings CAG</li> <li>• Madera CTC</li> </ul>

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

DISTRICT	CONTACT	MPO/RTPA
<b>DISTRICT 7</b> 100 S. Main Street Los Angeles, CA 90012	Melanie Bradford (213) 897-9446 Email: <a href="mailto:melanie.bradford@dot.ca.gov">melanie.bradford@dot.ca.gov</a>	<ul style="list-style-type: none"> <li>Southern California Association of Governments</li> </ul>
<b>DISTRICT 8</b> 464 W. 4 <sup>th</sup> Street Mail Station 722 San Bernardino, CA 92401	Ricky Rivers (909) 806-3298 Email: <a href="mailto:ricky.rivers@dot.ca.gov">ricky.rivers@dot.ca.gov</a>  Stephanie Gallegos (909) 383-4057 Email: <a href="mailto:stephanie.gallegos@dot.ca.gov">stephanie.gallegos@dot.ca.gov</a>	<ul style="list-style-type: none"> <li>Southern California Association of Governments</li> </ul>
<b>DISTRICT 9</b> 500 S. Main Street Bishop, CA 93514	Mark Heckman (760) 872-1398 Email: <a href="mailto:mark.heckman@dot.ca.gov">mark.heckman@dot.ca.gov</a>	<ul style="list-style-type: none"> <li>Inyo LTC</li> <li>Mono LTC</li> <li>Eastern Kern (COG)</li> </ul>
<b>DISTRICT 10</b> 1976 E. Dr. Martin Luther King Boulevard P.O. Box 2048 Stockton, CA 95201	<b>Mountain Counties</b> Gregoria Ponce (209) 948-7325 Email: <a href="mailto:gregoria.ponce@dot.ca.gov">gregoria.ponce@dot.ca.gov</a>  <b>Merced, San Joaquin, Stanislaus Counties</b> Tom Dumas (209) 941-1921 Email: <a href="mailto:tom.dumas@dot.ca.gov">tom.dumas@dot.ca.gov</a>	<ul style="list-style-type: none"> <li>Alpine County LTC</li> <li>Amador CTC</li> <li>Calaveras COG</li> <li>Mariposa LTC</li> <li>Merced CAG</li> <li>Tuolumne CTC</li> <li>San Joaquin COG</li> <li>Stanislaus COG</li> </ul>
<b>DISTRICT 11</b> 4050 Taylor Street Mail Station 240 San Diego, CA 92110	<b>San Diego County</b> Barby Valentine (619) 688-6003 Email: <a href="mailto:barbara.valentine@dot.ca.gov">barbara.valentine@dot.ca.gov</a>  <b>Imperial County</b> Beth Landrum (619) 403-3217 Email: <a href="mailto:beth.landrum@dot.ca.gov">beth.landrum@dot.ca.gov</a>	<ul style="list-style-type: none"> <li>San Diego Association of Governments</li> <li>Southern California Association of Governments</li> </ul>
<b>DISTRICT 12</b> 1750 E. 4 <sup>th</sup> Street Santa Ana, CA 92705	Marlon Regisford (657) 328-6288 Email: <a href="mailto:marlon.regisford@dot.ca.gov">marlon.regisford@dot.ca.gov</a>  Cole Iwamasa (657) 328-6540 Email: <a href="mailto:cole.iwamasa@dot.ca.gov">cole.iwamasa@dot.ca.gov</a>	<ul style="list-style-type: none"> <li>Southern California Association of Governments</li> </ul>

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California Department of Transportation  
Division of Transportation Planning  
1120 N Street  
Sacramento, CA 95814  
<https://dot.ca.gov/programs/transportation-planning>