Grant Application Guide

Fiscal Year 2012-2013

California Department of Transportation
Division of Transportation Planning

- Environmental Justice Transportation Planning
- Community-Based Transportation Planning
- Partnership Planning
- Transit Planning

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APPLICATIONS MUST BE SENT VIA E-MAIL BY:

5:00 PM, MONDAY, APRIL 2, 2012

HARD COPIES WILL NOT BE ACCEPTED

REFER TO THE APPLICATION INFORMATION AND SUBMITTAL INSTRUCTIONS ON PAGES 22-24.

Download the latest version of **Adobe Reader X (10.1.1) ®** to complete the application. This version of Adobe is available free of charge.

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

California Department of Transportation

Transportation Planning Grant Programs

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

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

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

All these grant programs improve the transportation system, however, it is important to note that these programs fall under distinct categories. The Environmental Justice and Community-Based Transportation Planning grant programs are state funded. The Partnership Planning and Transit Planning grant programs are federal funded. These state and federal grant programs adhere to slightly different administrative requirements. The commonalities between the Programs are described under the section *General Information and Requirements* (pages **6-9**); otherwise, each grant program operates independently, as defined in their respective sections.

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

State Transportation Planning Goals[1]

1. Improve Mobility and Accessibility: Expand the system and enhance modal choices and connectivity to meet the state's future transportation demands.
2. Preserve the Transportation System: Maintain, manage, and efficiently utilize California's existing transportation system.
3. Support the Economy: Maintain, manage, and enhance the movement of goods and people to spur the economic development and growth, job creation, and trade.
4. Enhance Public Safety and Security: Ensure the safety and security of people, goods, services, and information in all modes of transportation.

[1] Source: California Transportation Plan

5. Reflect Community Values: Find transportation solutions that balance and integrate community values with transportation safety and performance, and encourage public involvement in transportation decisions.
6. Enhance the Environment: Plan and provide transportation services while protecting our environment, wildlife, historical, and cultural assets.

Federal Transportation Planning Goals[2]

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

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

[2] Source: Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU)

Transportation Planning Grant Summary Chart

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

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

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

Note: Redevelopment Agencies cannot apply as an applicant or sub-applicant until AB X1 26 and 27 have been resolved. Please consult your district contract manager before submitting your grant application to the EJ or CBTP grant program to determine eligibility.

Transportation Planning Grant Summary Chart

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

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

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

Transportation Planning Grant Summary Chart

Rural or Small Urban Transit Planning Studies	Federal Transit Administration Section 5304 **Budget** Federal funds $1,000,000 **Grant Cap** $100,000	Fund public transportation planning studies in rural or small urban areas of California (transit service area with population of 100,000 or less).	**The following may only apply as an applicant:** • Metropolitan Planning Organizations and Regional Transportation Planning Agencies **Caltrans District 4 Only**: • Transit Agencies • Cities and Counties • Native American Tribal Governments **The following may only apply as a sub-applicant:** • Transit Agencies • Universities and Community Colleges • Native American Tribal Governments • Cities and Counties • Community-Based Organizations • Non-Profit Organizations (501.C.3) • Other Public Entities**	11.47% minimum (in non-federal funds or an in-kind* contribution). The entire minimum 11.47% local match may be in the form of an in-kind contribution.
Transit Planning Student Internships	Federal Transit Administration Section 5304 **Budget** Federal funds $300,000 **Grant Cap** $50,000	Fund student internship opportunities in transit planning at public transit agencies.	**The following may only apply as an applicant:** • Metropolitan Planning Organizations and Regional Transportation Planning Agencies **Caltrans District 4 Only**: • Transit Agencies • Cities and Counties • Native American Tribal Governments **The following may only apply as a sub-applicant:** • Transit Agencies • Universities and Community Colleges • Native American Tribal Governments • Cities and Counties • Community-Based Organizations • Non-Profit Organizations (501.C.3) • Other Public Entities**	11.47% minimum (in non-federal funds or an in-kind* contribution). The entire minimum 11.47% local match may be in the form of an in-kind contribution.

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

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

General Information and Requirements

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

Accounting Requirements

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

Indirect and Direct Costs

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

Indirect Cost Allocation Plan (ICAP)

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

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

Eligible Activities and Expenses

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

- Community surveys
- Data gathering and analysis
- Planning consultants
- Concept drawings of the project

Eligible Activities and Expenses (continued)

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

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

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

Ineligible Activities and Expenses

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

- Environmental studies, plans, or documents normally required for project development under the National Environmental Policy Act or the California Environmental Quality Act
- Project Initiation Documents
- Regional Transportation Plans (RTP) or updates to the RTP
- General Plans or updates to elements within a General Plan (General Plans are required under California State law (§65300) and are not considered to be consistent with the intent of the Transportation Planning grant programs)
- Construction projects, such as the building of a facility, or maintenance
- Purchasing of computers, software, office furniture, or other capital expenditures
- Decorations
- Acquisition of vehicles or shuttle programs
- Organizational membership fees
- Incentives (Partnership Planning or Transit Planning grant programs only)
- Charges passed on to sub-recipient for oversight of awarded grant funds
- Other items unrelated to the project

Third Party Contracts

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

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

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

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

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

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

Title VI Non-Discrimination Requirement

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

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

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

Pre-Award Audit

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

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

Award Terms and Conditions

If an agency does not demonstrate adequate performance and timely use of funds, Caltrans may take appropriate actions, which can include termination of the grant. Inadequate performance by grantees, sub-recipients, or consultants may hinder the grantee's ability to leverage future grant awards. Applications that modify the scope of work of a previously awarded grant project may be disqualified.

Ownership

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

Environmental Justice and Community-Based Transportation Planning

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

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

Environmental Justice (EJ) Grant Purpose and Objective

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

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

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

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

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

Writing to Goals and Objectives

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

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

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

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

Information on these efforts can be found at:

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

Who May Apply

Metropolitan Planning Organizations (MPOs), Regional Transportation Planning Agencies (RTPAs), cities, counties, transit agencies, and federally recognized Native American Tribal Governments may apply for this grant program directly as an applicant or as a sub-applicant. Universities, community colleges, community-based organizations, non-profit organizations (501.C.3), and public entities may only apply as a sub-applicant. Sub-applicants are encouraged to work far in advance of the application deadline with the appropriate applicant to coordinate application development.

Redevelopment Agencies cannot apply as an applicant or sub-applicant until AB X1 26 and 27 have been resolved. Please consult your district contract manager before submitting your grant application to the EJ or CBTP grant program to determine eligibility.

Funding

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

Examples of Eligible Project Types

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

Ineligible Activities

Applications containing any of the following components will be disqualified and will not be scored by the review committee. Ineligible costs include:

- Environmental studies, plans, or documents normally required for project development under the National Environmental Policy Act or the California Environmental Quality Act.
- Project Initiation Document.
- Regional Transportation Plans (RTP) or updates to the RTP.
- General Plans or updates to the elements within a General Plan. General Plans are required under California State law (§65300) and are not considered to be consistent with the intent of the CBTP or EJ grant program.[3]
- Engineering plans and design specification work (conceptual design work is permitted).

Local Resolution Requirement

A local resolution must accompany each application. An applicant must have the governing board sign it. Please refer to the local resolution checklist and sample on pages **43-44** of this guide.

The following elements must be included:

- The resolution must name the title of the person authorized to enter into a contract with Caltrans on behalf of the applicant.
- The resolution must be enacted by the application deadline.
- The resolution must be signed by the governing board of the grant applicant.

Local Match Requirements

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

Local Cash Match

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

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

Environmental Justice and Community-Based Transportation Planning Grants Handbook

[3] **http://opr.ca.gov/docs/General_Plan_Guidelines_2003.pdf**

In-Kind Match

An in-kind match is not required. In-kind contributions are goods and services donated from outside the applicant's agency such as equipment, printing, facilities, interpreters, staff time, advertising, refreshments provided at public participation events, and private donations. In-kind funds do not need to be distributed proportionally in the project timeline. Staff time from the applicant is NOT an allowable in-kind expense.

If there are in-kind contributions, a valuation plan must be submitted to Caltrans for approval. The Third Party In-Kind Valuation Plan is an itemized breakdown by task and serves as documentation for the goods and/or services to be rendered. Refer to page **46** for a sample.

Review Process

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

Catalyst Projects for Sustainable Strategies Program

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

- The individual application will compete against all applications being evaluated and must score in the top 33 percent. If the application scores in the top 33 percent, ten bonus points will be added to the initial evaluation score. So, if the initial application score is 80 points and falls in the top 33 percent of all scores, ten bonus points will be added, for a total score of 90 points.

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

Grant Awards

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

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

February, 2013

- Anticipated start date.

February 28, 2015

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

April 28, 2015

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

Quarterly Reporting Requirement

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

Final Product

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

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

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

Partnership Planning
and
Transit Planning

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

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

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

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

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

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

Who May Apply

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

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

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

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

February, 2013
- Anticipated start date.

February 28, 2015
- Contract expires **(no time extensions will be granted)**.
- Reimbursable work must be completed.

April 28, 2015
- All final invoices must be submitted to Caltrans for approval and reimbursement. This allows Caltrans sufficient time to comply with the State Controller's Office payment requirements.

Overall Work Program (OWP)

All grant recipients must have their approved projects identified as **individual** Work Elements in their current Overall Work Program (OWP) and in future OWPs until the project is complete. Projects should be completed no later than June 30, 2015. All grant recipients must file a Final Request for Reimbursement no later than 60 days after the end of the fiscal year to coincide with the submission of the MPO's/RTPA's OWP Final Expenditure Report.

Requests for Reimbursements

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

Local Match Contribution

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

Third Party In-Kind Contributions

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

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

Quarterly Reporting

A grant progress report must be prepared every quarter for each awarded Partnership Planning and Transit Planning project that has been awarded. Caltrans staff will provide the brief reporting form and due dates.

Disadvantaged Business Enterprise (DBE) Reporting

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

Final Product

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

Review Process

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

Writing to Goals and Objectives

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

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

Partnership Planning

Funding

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

Grant Specific Program Objective

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

Example Project Types

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

Transit Planning

Funding

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

Statewide or Urban Transit Planning Studies

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

Grant Specific Program Objective

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

Example Project Types

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

Rural or Small Urban Transit Planning Studies

An estimated $1.0 million will be available for this grant cycle. The maximum amount per grant cannot exceed $100,000.

Grant Specific Program Objective

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

Example Project Types

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

Transit Planning Student Internships

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

Grant Specific Program Objective

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

Application Information

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.

District Staff

Caltrans' district staff can be a valuable resource during the application process. Applicants are encouraged to contact district staff for initial application review and recommendations prior to the application due date. Refer to the District Contact List on page **49**. If awarded a grant, the applicant should include district staff when planning both technical advisory and community meetings. In addition, district staff will help to ensure that the approved scope of work, project timeline, and project funding will be maintained throughout the life of the contract. Caltrans wants to be an active partner.

Required Documents

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

Additional Documents *(not required, but enhances overall application)*

- Letters of Support
    - If letters of support are included, they must be submitted with the application package. Letters received separate from the application package may not be considered. Letters of support for the project are strongly encouraged because they demonstrate the depth of stakeholder interest in the proposed project. The letters should be addressed to the applicant. Such letters can come from community-based organizations, local governments, Native American Tribal governments, service agencies, and elected officials.
- Photographs
    - Photos of the project area help to further explain the situation and need for the grant. Photographs and images present and visually communicate the current state of the proposed project area. Images can convey existing conditions and provide a more holistic message.

Past Performance

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

Evaluation Criteria

The Transportation Planning Grant programs are competitive; therefore, applications with missing components will be at a disadvantage while being assessed. Below is a list of main factors considered in scoring and nominating an application for award.

- The application is complete and submitted correctly.
- Responses are clear and concise and address every aspect of each question.
- The overall application addresses the primary purpose and objective of each grant program.
- State and/or federal goals are addressed throughout the application.
- The details provided in the grant application, scope of work, and project timeline are consistent with one another.
- A detailed plan for implementation of the study results (Partnership and Transit Planning grant programs only).
- The scope of work and project timeline contains all requirements stated on the checklists provided in this Guide.
- The local resolution must be signed and dated no later than the application deadline (EJ and CBTP grant programs only).

Application Submittal Instructions

All applications are required to be submitted via e-mail (scanned or hard copies will not be accepted).

Copy the appropriate Caltrans District contact on the e-mail (refer to the **Transportation Planning Grant District Contact List**). Identify the district number, grant program, and project title in the subject line of the e-mail (e.g., D1 CBTP, City of Can Do Planning Project). The e-mail must be submitted by **5:00 pm, Monday, April 2, 2012**. **Late applications will not be reviewed. Only one application submittal per e-mail is permitted.**

- **For Environmental Justice and Community-Based Transportation Planning Grants s**ubmit the required documents as separate attachments **via e-mail** to **OfficeofCommunityPlanning@dot.ca.gov**.

- **For Partnership Planning and Transit Planning Grants s**ubmit the required documents as separate attachments **via e-mail** to **Regional_Planning_Grants@dot.ca.gov.**

Caltrans district staff will be available **prior to the April 2, 2012** deadline to answer questions and help interested groups complete their applications.

Applicants may submit more than one application, but any given project can only be submitted to **one** grant program. Caltrans Headquarters staff checks all applications for duplicates including those with different titles. At Caltrans' discretion, an application may be referred to a different grant program for consideration if the application is better suited for that program.

Timeline

- **December 14, 2011** – Transportation Planning Grant Application Guide and application is available at the following website: http://www.dot.ca.gov/hq/tpp/grants.html

- **April 2, 2012** – Application is due

- **Summer 2012** – Estimated time of grant award announcements (upon approval of state budget)

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TRANSPORTATION PLANNING GRANT APPLICATION

Check One Grant Program

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

PROJECT TITLE	
PROJECT LOCATION (city(ies) and county(ies))	

	APPLICANT		**SUB-APPLICANT(S)**
Organization		Organization	
Executive Director and title Mr.☐Ms.☐Mrs.☐		Executive Director and title Mr.☐Ms.☐Mrs.☐	
Contact Person and title Mr.☐Ms.☐Mrs.☐		Contact Person and title Mr.☐Ms.☐Mrs.☐	
Mailing Address		Mailing Address	
City		City	
Zip Code		Zip Code	
E-mail Address*		E-mail Address*	
Telephone Number		Telephone Number	

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

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

* The e-mail address you provide will be used for notification of application status, so it must be accurate. Any change to the e-mail address must be reported to the appropriate grant program contact noted at http://www.dot.ca.gov/hq/tpp/grants.html.

Download the latest version of **Adobe Reader X (10.1.1)®** to complete the application. This version of Adobe is available free of charge.

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TRANSPORTATION PLANNING GRANT APPLICATION

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

*** Use the following link to determine the legislators.**
http://www.legislature.ca.gov/port-zipsearch.html (search by zip code)

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

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

STATE TRANSPORTATION PLANNING GOALS
For all Grant Programs

☐ Improve Mobility and Accessibility: Expand the system and enhance modal choices and connectivity to meet the State's future transportation demands.

☐ Preserve the Transportation System: Maintain, manage, and efficiently utilize California's existing transportation system.

☐ Support the Economy: Maintain, manage, and enhance the movement of goods and people to spur the economic development and growth, job creation, and trade.

☐ Enhance Public Safety and Security: Ensure the safety and security of people, goods, services, and information in all modes of transportation.

☐ Reflect Community Values: Find transportation solutions that balance and integrate community values with transportation safety and performance, and encourage public involvement in transportation decisions.

☐ Enhance the Environment: Plan and provide transportation services while protecting our environment, wildlife, historical and cultural assets.

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TRANSPORTATION PLANNING GRANT APPLICATION

FEDERAL TRANSPORTATION PLANNING GOALS
For Partnership Planning and Transit Planning

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

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TRANSPORTATION PLANNING GRANT
APPLICATION

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

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

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

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TRANSPORTATION PLANNING GRANT
APPLICATION

3. Project Justification (Do not exceed the space provided.) (20 points)
A. Describe the problems or deficiencies the project is attempting to address. (**10 points**)
B. Describe how the project will address the identified problems or deficiencies. **(10 points)**

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

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

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APPLICATION

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

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

B. Describe the outreach methods that will be used to reach the public and the project stakeholders with an emphasis on engaging traditionally underrepresented communities. (**10 points**)

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

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

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

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

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If necessary, use this page to continue response for Question #4 (Public Participation).

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5. **Project Implementation (Do not exceed the space provided.) (20 points)**
   A. List the project's anticipated accomplishments and final deliverables. **(10 points)**
   B. Explain how the completed project and its deliverables will be applied, or carried forward, to the next stage/phase. **(10 points)**

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

Section B: Project implementation is the ultimate goal for these grant programs. Describe how the project deliverables will assist with the plan's overall goal(s) by identifying steps that will lead toward future implementation.

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6. **Project Management (20 points)**
   A. Scope of Work (10 points)
   B. Project Timeline (10 points)
   The Scope of Work and Project Schedule must be submitted via e-mail along with the application as separate attachments.

Section A: The Scope of Work must be in Microsoft Word format and include:

–Identify work to be done: provide an outline of services needed. List project tasks and include specific project deliverable(s).

–Identify who is responsible for what tasks: Discuss the roles and responsibilities of agency staff and consultant contractors.

–Provide schedule information for the services that will be required.

Section B: The Project Timeline must be in a Microsoft Excel format and include:

–Task duration, responsibilities, cost, cost distribution, and deliverables of all tasks. For EJ and CBTP applications, all project timelines need to reflect a start date of February 2012 and an end date of February 2015; this also applies to Partnership Planning and Transit Planning applications in the San Francisco Bay Area (Caltrans District 4).

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TRANSPORTATION PLANNING GRANT APPLICATION

Application Signature Page

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

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

Signature of Executive Director (Applicant)	Print Name
Title	Date
Signature of Authorized Official (Sub-recipient)	Print Name
Title	Date

THE FOLLOWING DOCUMENTS ARE REQUIRED:

Submit via e-mail as separate attachments. Refer to the Transportation Planning Grant Guide for additional information and/or samples.

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

THE FOLLOWING DOCUMENTS ARE OPTIONAL:

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

Failure to include any of the required documents will result in a reduced application score.
***Scanned or hard copies of the application will not be accepted.**

Scope of Work Checklist

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

The scope of work must:

- ☐ Be in Microsoft Word format (use template provided).
- ☐ List all tasks and subtasks using the same title as stated in the project timeline.
- ☐ Have task numbers in accurate and proper sequencing; consistent with the project timeline.
- ☐ List the responsible party for each task and subtask. (i.e. Is the work being performed by the applicant or consultant?)
- ☐ Have a thorough and accurate description of each task and subtask.
- ☐ 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 public participation and services to diverse communities.
- ☐ Does NOT include environmental, complex design, or engineering work.
- ☐ Include a task for quarterly reporting to Caltrans.
- ☐ List the project deliverable for each task in a table following each task.

SAMPLE SCOPE OF WORK:

City of Can Do Complete Street Plan

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

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

RESPONSIBLE PARTIES

The City of Can Do with the assistance of a consulting firm will perform this work. The City has not yet selected a consulting firm and the proper procurement procedures will be used through a competitive RFP process. Minor changes to the scope of work may be necessary to integrate innovative outreach approaches suggested by the consulting firm. City staff anticipates these figures will not differ substantially and will not exceed the grant request amount.

OVERALL PROJECT OBJECTIVES

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

1. Project Initiation

Task 1.1: Project Kick-off Meeting

- The City will hold a kick-off meeting with Caltrans staff to discuss grant procedures and project expectations including invoicing (at least quarterly but not more frequently than monthly), quarterly reporting, and all other relevant project information. Meeting summary will be documented.
- Responsible Party: The City

Task 1.2: Staff Coordination

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

Task 1.3: RFP for Consultant Services

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

Task 1.4: Identify Existing Conditions

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

Task	Deliverable
1.1	Meeting Notes
1.2	Monthly Meetings Notes
1.3	Executed Consultant Contract
1.4	Existing Conditions Report

2. Public Outreach

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

Task 2.1: Community Workshop #1

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

Task 2.2: Community Workshop #2

- An interactive workshop that will use clicker technology (or something comparable), 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 Alternatives

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

Task 3.3: Draft Complete Street Plan

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

Task 3.4: Identify Potential Funding Sources

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

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

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

Task 3.6: Final Complete Street Plan

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

Task 3.7: City Council Adoption

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

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

4. Project Management & Administration

Task 4.1: Fiscal Administration

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

Task 4.2: Quarterly Reports

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

Task	Deliverable
4.1	Invoice Packages
4.2	Quarterly Reports

Project Timeline Checklist

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

The project timeline must:

- ☐ Be in Microsoft Excel format **(use template provided)**.
- ☐ List all tasks and subtasks with the same title as stated in the scope of work.
- ☐ Have 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.
- ☐ List the responsible party for each task, consistent with the scope of work.
- ☐ Complete all budget columns:
  - ☐ Total Cost
  - ☐ Grant Amount (must be identified for each task)
  - ☐ Local Cash Match (must be identified for each task)
  - ☐ Local In-kind Match (if contributed)
- ☐ State a realistic total cost for each task based on the work that will be completed.
- ☐ Include a proportional spread of local cash match. The percentage of local cash match contributed should be the percentage used to determine the local cash match amount for each task on the timeline. For example, if 7.5% local cash match is contributed, multiply 7.5% by the grant amount and note the product in the local cash match column. This must be done for each task.
- ☐ Have the correct fiscal year and months in the heading of the timeframe.
- ☐ Have a best estimate of the amount of time needed to complete each task.
- ☐ Have the timeframe begin at the beginning of the contract period (Feb 2013).
- ☐ Have the timeframe extend all the way to the end of the contract period (Feb 2015).
- ☐ List the deliverable for each task as stated in the scope of work.

California Department of Transportation
Transportation Planning Grants
Fiscal Year 2012-2013

SAMPLE PROJECT TIMELINE

Project Title	City of Can Do Complete Street Plan						Grantee	The City of Can Do																													
		Fund Source					Fiscal Year 2012/13											FY 2013/14											FY 2014/15								
Task Number		Responsible Party	Total Cost	Grant Amount	Local Cash Match	Local In-Kind Match	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	Deliverable
1.0	***Project Initiation***																																						
1.1	Project Kick-off Meeting	The City	$538	$500	$38	$0																																	Meeting Notes
1.2	Staff Coordination	The City	$2,903	$2,700	$203	$0																																	Monthly Meeting Notes
1.3	RFP for Consultant Services	The City	$1,451	$1,350	$101	$0																																	Consultant Contract
1.4	Identify Existing Conditions	Consultant	$1,613	$1,500	$113	$0																																	Existing Conditions Report
2.0	***Public Outreach***																																						
2.1	Community Workshop #1	Consultant	$5,208	$4,500	$338	$370																																	PowerPoint Presentation, Workshop Summary, Photos
2.2	Community Workshop #2	Consultant	$7,143	$6,300	$473	$370																																	PowerPoint Presentation, Workshop Summary, Photos
2.3	Community Workshop #3	Consultant	$1,145	$720	$54	$371																																	PowerPoint Presentation, Workshop Summary, Photos
3.0	***Streetscape Plan***																																						
3.1	Develop Streetscape Concept	Consultant	$8,600	$8,000	$600	$0																																	Sketches,illustrations
3.2	Develop Conceptual Design Concept Alternatives	Consultant	$1,451	$1,350	$101	$0																																	Sketches, illustrations
3.3	Draft Complete Street Plan	Consultant	$8,600	$8,000	$600	$0																																	Draft report
3.4	Identify Potential Funding Sources	Consultant	$1,075	$1,000	$75	$0																																	Funding Source Report
3.5	Joint Planning/Parking and Safety/Bicycle Advisory Commission Meeting	The City/ Consultant	$774	$720	$54	$0																																	PowerPoint Presentation, Workshop Summary, Photos
3.6	Final Complete Street Plan	Consultant	$4,300	$4,000	$300	$0																																	Final Report
3.7	City Council Adoption	The City/ Consultant	$194	$180	$14	$0																																	Meeting Notes
4.0	***Project Management & Administration***																																						
4.1	Fiscal Administration	The City	$2,903	$2,700	$203	$0																																	Invoice Packages
4.2	Quarterly Reports	The City	$968	$900	$68	$0																																	Quarterly Reports
	TOTALS		$48,863	$44,420	$3,332	$1,111																																	

This sample timeline is for illustrative purposes only. Your scope of work and timeline will include different tasks, funding amounts, deliverables, etc. Make sure the project timeline is consistant with the scope of work.
Note: Each task must contain a grant amount and a local cash match amount. Local cash match must be proportionally distributed by the same percentage throughout each task. Local in-kind match should only 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.

Local Resolution Checklist

(EJ and CBTP grants only)

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

The local resolution must:

- ☐ State the title of the person authorized to enter into a contract with Caltrans on behalf of the applicant.
- ☐ Be enacted by the application deadline.
- ☐ Be signed by the governing board of the grant applicant.

SAMPLE RESOLUTION

CITY OF CAN DO
RESOLUTION NO. 009-2012

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

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

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

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

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

APPROVED AND PASSED this 4th day of February, 2012. 2

John Doe, Chair

3 **ATTEST:**

Eileen Wright, Executive Director

Third Party In-Kind Valuation Plan Checklist

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

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

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

The third party in-kind valuation plan must:

- ☐ 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 scope of work task of the total third party in-kind local match amount.
- ☐ Align with the appropriate scope of work tasks on the project timeline.
- ☐ Show the same total third party in-kind local match amount as stated on the grant application cover sheet.

Sample

Third Party In-Kind Valuation Plan

Task	Activity	Title	Hourly Rate	Hours	Estimated Cost
2	Public Outreach				
2.1	Community Workshop #1	Donated Workshop Conference Room	$50	4	$200
		Volunteer Workshop Facilitator	$43	4	$170
2.2	Community Workshop #2	Donated Workshop Conference Room	$50	4	$200
		Volunteer Workshop Facilitator	$43	4	$170
2.3	Community Workshop #3	Donated Workshop Conference Room	$50	4	$200
		Volunteer Workshop Facilitator	$43	4	$170
				Task 2 Total In-kind Match Amount:	**$1,111**

Name of the third party in-kind match provider:	CBO
How the third party in-kind match will be documented for accounting:	CBO will submit a statement for donated services rendered to the City of Can Do with the value of estimated cost for conference room rental and volunteer facilitator for each workshop.
Fair Market Value and Determination:	The dontated conference room rental rate is $50 per hour; this is a rate established by CBO. City of Can Do researched the cost for workshop facilitators and the average rate is $43.

Caltrans
Districts
Del Norte
Siskiyou
Modoc
2
Shasta
Lassen
Trinity
Humboldt
Tehama
1
Plumas
Glenn
Butte
Sierra
Mendocino
Colusa
Yuba
Nevada
Placer
Lake
Sutter
3
Yolo
El Dorado
Alpine
Sonoma
Napa
Sacramento
Amador
Solano
4
Calaveras
Marin
Tuolumne
Contra Costa
San Joaquin
10
San Francisco
Alameda
Mono
Stanislaus
Mariposa
San Mateo
Santa Clara
Merced
9
Madera
Santa Cruz
San Benito
Fresno
Monterey
Inyo
Tulare
Kings
6
5
Kern
San Luis Obispo
San Bernardino
Santa Barbara
7
Ventura
Los Angeles
8
Riverside
12
Orange
11
Imperial
San Diego
N

CALIFORNIA
Metropolitan Planning Organizations(MPOs)
and
Regional Transportation Planning Agencies (RTPAs)
AMBAG[1] Association of Monterey Bay Area Governments
BCAG Butte County Association of Governments
FCOG Fresno Council of Governments
KCAG Kings County Association of Governments
KCOG Kern Council of Governments
MCAG Merced County Association of Governments
MCTC Madera County Transportation Commission
MTC[2] Metropolitan Transportation Commission
SACOG[3] Sacramento Area Council of Governments
SANDAG San Diego Association of Governments
SJCOG San Joaquin Council of Governments
SLOCOG San Luis Obispo Council of Governments
SBCAG Santa Barbara County Association of Governments
SCRTPA Shasta County Regional Transportation Planning Agency
SCAG[4] Southern California Association of Governments
StanCOG Stanislaus Council of Governments
TCAG Tulare County Association of Governments
TMPO[5] Tahoe Metropolitan Planning Organization
[1]AMBAG includes SCCRTC, TAMC, and SBtCOG. All retain RTPA status.
[2]MTC covers a nine county region.
[3]SACOG is the RTPA for Sacramento, Sutter, Yolo, and Yuba Counties. It is the MPO for the federally designated ozone non-attainment area in Sacramento, Yolo, Yuba, Sutter, Placer, and El Dorado Counties. Placer and El Dorado Counties retain RTPA status up to the crest of the Sierras.
[4]SCAG covers a six county region that serve as County Transportation Commissions: ICTC, LAMTA, OCTA, RCTC, SANBAG, and VCTC.
[5]TMPO is a multi-state MPO created by federal law. It covers portions of El Dorado and Placer counties as well as Washoe and Douglas counties in Nevada, and shares board members with the TRPA.
Del Norte LTC
Siskiyou CTC
Modoc LTC
Trinity CTC
Humboldt CAG
SCRTPA
Lassen CTC
Tehama CTC
Plumas CTC
Glenn CTC
BCAG
Sierra LTC
Mendocino COG
Nevada CTC
Colusa CTC
Yuba
Lake CCAPC
Placer CTPA
TMPO
TRPA
Sutter
Yolo
El Dorado CTC
SACOG
Sonoma
Napa
Alpine LTC
Sacramento
Amador CTC
MTC
Solano
Calaveras COG
Tuolumne CCAPC
Marin
Contra Costa
Mono LTC
SJCOG
San Francisco
Alameda
StanCOG
Mariposa LTC
San Mateo
Santa Clara
MCAG
MCTC
Santa Cruz County Regional Transportation Commission (SCCRTC)
FCOG
Inyo LTC
AMBAG
San Benito COG
TCAG
Transportation Agency for Monterey County
KCAG
SLOCOG
KCOG
San Bernardino Associated Governments
SBCAG
Ventura CTC
Los Angeles County MTA
SCAG
Riverside CTC
Orange County Transportation Authority
SANDAG
Imperial County Transportation Commission
RTPAs within MPOs
MPO Areas
Non-MPO Rural RTPA Areas
California Department of Transportation
Division of Transportation Planning
November 2011

Caltrans Transportation Planning Grant
District Contact List

DISTRICT	CONTACT	MPO/RTPA
DISTRICT 1 1656 Union Street P.O. Box 3700 Eureka, CA 95502	**All Planning Grant Programs -** Rex Jackman (707) 445-6412 Email: rex_jackman@dot.ca.gov	• Del Norte LTC • Humboldt CAOG • Lake APC • Mendocino COG
DISTRICT 2 1657 Riverside Drive P.O. Box 496073 Redding, CA 96049-6073	**All Planning Grant Programs -** Michelle Millette (530) 229-0517 Email: michelle_millette@dot.ca.gov	• Lassen CTC • Tehama CTC • Modoc LTC • Trinity CTC • Plumas CTC • Siskiyou CTC • Shasta SCRTPA
DISTRICT 3 703 B Street Marysville, CA 95901	**All Planning Grant Programs -** Rebecca Pike (530) 634-7612 Email: rebecca_pike@dot.ca.gov	• Butte CAG • Sierra LTC • Colusa CTC • Glenn CTC • El Dorado CTC • Nevada CTC • Placer CTPA • Sacramento Area COG • TRPA – Tahoe Basin • Tahoe Metropolitan Planning Organization
DISTRICT 4 111 Grand Avenue P.O. Box 23660 Oakland, CA 94623-0660	**CBTP-** Beth Thomas (510) 286-7227 Email: beth_thomas@dot.ca.gov **EJ-** Blesilda Gebreyesus (510) 286-5575 Email: blesilda_gebreyesus@dot.ca.gov **Partnership –** Erik Alm (510) 286-6053 Email: erik_alm@dot.ca.gov **Transit -** Becky Frank (510) 286-5536 Email: becky_frank@dot.ca.gov	• Metropolitan Transportation Commission

DISTRICT	CONTACT	MPO/RTPA
DISTRICT 5 50 Higuera Street San Luis Obispo, CA 93401-5415	**All Planning Grant Programs -** Brandy Rider (805) 549-3970 Email: brandy_rider@dot.ca.gov	• Monterey TAMC • Santa Cruz SCCRTC • San Benito COG • Association of Monterey County Bay Area Governments • Santa Barbara CAG • San Luis Obispo COG
DISTRICT 6 1352 W. Olive Avenue P. O. Box 12616 Fresno, CA 93778-2616	**All Planning Grant Programs** – Randy Treece (559) 488-4153 Email: randy_treece@dot.ca.gov	• Fresno COG • Tulare COG • Kern COG • Kings CAG • Madera CTC
DISTRICT 7 100 S. Main Street Los Angeles, CA 90012	**CBTP** and **EJ -** Wilford Melton (213) 897-1344 Email: wilford_melton@dot.ca.gov **Partnership** and **Transit-** Melissa Joshi (213) 897-1347 Email: melissa_joshi@dot.ca.gov	• Southern California Association of Governments
DISTRICT 8 464 W. 4th Street Sixth Floor San Bernardino, CA 92401	**CBTP** and **EJ -** John Chiu (909) 388-7139 Email: john_chiu@dot.ca.gov Rebecca Forbes Email: rebecca_forbes@dot.ca.gov **Partnership** and **Transit-** Mark Roberts (909) 383-6040 Email: mark_roberts@dot.ca.gov	• Southern California Association of Governments
DISTRICT 9 500 S. Main Street Bishop, CA 93514	**All Planning Grant Programs** – Dave Bloom – Inyo & E. Kern (760) 872-6799 Email: dave_bloom@dot.ca.gov Forest Becket - Mono (760) 872- 0659 Email: forest_becket@dot.ca.gov	• Inyo LTC • Mono LTC • Eastern Kern (COG)

DISTRICT	CONTACT	MPO/RTPA
DISTRICT 10 1976 E. Dr. Martin Luther King Blvd. P.O. Box 2048 Stockton, CA 95201	**All Planning Grant Programs** – John Gedney – Mountain Counties (209) 948-7112 Email: john_gedney@dot.ca.gov Tom Dumas – Merced, San Joaquin, Stanislaus Counties (209) 941-1921 Email: tom_dumas@dot.ca.gov	• Alpine CTC • Amador CTC • Calaveras COG • Mariposa LTC • Merced CAG • Tuolumne CCAPC • San Joaquin COG • Stanislaus COG
DISTRICT 11 4050 Taylor Street Mail Station 240 San Diego, CA 92110	**All Planning Grant Programs -** Mike Kent (619) 688-6822 Email: mike_kent@dot.ca.gov	• San Diego Association of Governments
DISTRICT 12 3347 Michelson Drive Suite 100 Irvine, CA 92612-0661	**All Planning Grant Programs -** Damon Davis (949) 440-3487 Email: damon_davis@dot.ca.gov	• Southern California Association of Governments