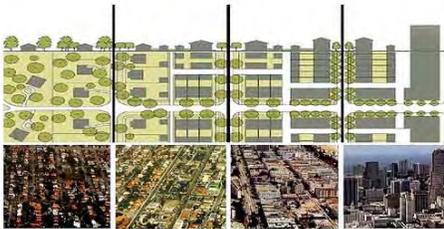


Transportation Planning Grant Guide



Transportation Planning Grants

Fiscal Year 2011-2012



Sketch of proposed town square

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

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

An electronic version of this application and additional grant information is available at the following website:
<http://www.dot.ca.gov/hq/tpp/grants.html>



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**APPLICATIONS MUST BE SENT VIA E-MAIL BY:
5:00 PM, WEDNESDAY, MARCH 30, 2011
HARD COPIES WILL NOT BE ACCEPTED**

Use the latest version of **Adobe Acrobat Reader®** to complete the application. The electronic version of this form must be submitted in the PDF format available at <http://www.dot.ca.gov/hq/tpp/grants.html>.

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.

Grant Program Description

The California Department of Transportation (Caltrans) invites applications for the current Transportation Planning Grant cycle. The funds available from the six grant programs identified in this package may be used for a wide range of transportation planning purposes.

INTRODUCTION

Caltrans provides transportation planning grants for:

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

Transportation Planning Grants are intended to promote a balanced, comprehensive multi-modal transportation system. The Federal and State goals provide a framework for the grant programs. The Environmental Justice and the Community-Based Transportation Planning grant programs reflect State goals, while the Partnership Planning and Transit Planning grant programs reflect Federal Goals. The results of these grants should ultimately lead to the adoption, initiation, and programming of transportation improvements.

Each transportation planning grant program has program-specific purposes and is intended to address local and/or regional needs and issues. Transportation planning grant applications should also incorporate broader goals and reflect attributes desired throughout the transportation system.

Grant applicants must clearly demonstrate how their proposed planning project promotes the following Federal and/or State transportation planning goals.

FEDERAL TRANSPORTATION PLANNING GOALS

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 Program Description

STATE TRANSPORTATION PLANNING GOALS

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

REGIONAL BLUEPRINT AND SUSTAINABLE COMMUNITIES GOALS

1. Complements or advances the Region's Blueprint Planning efforts. [Click here](#) for information.
2. Advances a community's efforts to reduce greenhouse gases and will assist transportation agencies in creating enduring communities.

Every Caltrans transportation planning grant application should be coordinated with the transportation planning efforts taking place under the region's Regional Transportation Planning Agency (RTPA) or Metropolitan Planning Organization (MPO). Additionally, all applications should be in accord with that region's Blueprint Plan and Sustainable Communities Strategy (SB 375) if applicable. Regional Blueprints and Sustainable Communities Strategies are tools that will help communities reduce greenhouse gases and will assist transportation agencies in creating enduring communities for residents throughout the entire State. Further, applications that incorporate Complete Streets provisions as required by AB1358, as well as implementation of actions contained in Caltrans' Smart Mobility Framework, will enhance sustainability efforts supported by the State.

Each grant program has different purposes and matching fund requirements. Applicants may submit more than one application, but any given project can only be submitted to **one** grant program. The Caltrans' grant programs staff will check all applications for duplicate projects 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.

The following pages summarize each of the transportation planning grant programs. Refer to these charts for eligibility requirements for each grant program.

Transportation Planning Grant Summary Chart

GRANT	FUND SOURCE	PURPOSE	WHO MAY APPLY	LOCAL MATCH
<p style="text-align: center;">Community-Based Transportation Planning (CBTP)</p>	<p>State Highway Account</p> <p>Budget \$3 million</p> <p>Grant Cap \$300,000</p>	<p>Fund coordinated transportation and land use planning that promotes public engagement, livable communities, and a sustainable transportation system, which includes mobility, access, and safety.</p>	<p>The following may apply directly or as a sub-recipient:</p> <ul style="list-style-type: none"> • Metropolitan Planning Organizations and Regional Transportation Planning Agencies • Cities and Counties • Transit Agencies • Native American Tribal Governments <p>The following may apply only as a sub-recipient:</p> <ul style="list-style-type: none"> • Universities and Community Colleges • Community-Based Organizations • Non-Profit Organizations (501.C.3) • Public Entities** 	<p>10% minimum (in non-federal funds). At least 7.5% of the amount requested must be cash match and the rest may be in-kind.*</p>
<p style="text-align: center;">Environmental Justice (EJ)</p>	<p>State Highway Account</p> <p>Budget \$3 million</p> <p>Grant Cap \$250,000</p>	<p>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.</p>	<p>The following may apply directly or as a sub-recipient:</p> <ul style="list-style-type: none"> • Metropolitan Planning Organizations and Regional Transportation Planning Agencies • Cities and Counties • Transit Agencies • Native American Tribal Governments <p>The following may apply only as a sub-recipient:</p> <ul style="list-style-type: none"> • Universities and Community Colleges • Community-Based Organizations • Non-Profit Organizations (501.C.3) • Public Entities** 	<p>10% minimum (in non-federal funds). At least 7.5% of the amount requested must be cash match and the rest may be in-kind.*</p>
<p style="text-align: center;">Partnership Planning (Partner)</p>	<p>FHWA*** State Planning and Research, Part 1</p> <p>Budget Federal funds \$1,000,000</p> <p>Grant Cap \$300,000</p>	<p>Fund transportation planning studies of multi-regional and statewide significance in partnership with Caltrans.</p>	<p>The following may only apply as an applicant:</p> <ul style="list-style-type: none"> • Metropolitan Planning Organizations and Regional Transportation Planning Agencies <p>The following may only apply as a sub-recipient:</p> <ul style="list-style-type: none"> • Universities and Community Colleges • Native American Tribal Governments • Cities and Counties • Community-Based Organizations • Non-Profit Organizations (501.C.3) • Public Entities** 	<p>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.</p>

Transportation Planning Grant Summary Chart (Continued)

GRANT	FUND SOURCE	PURPOSE	WHO MAY APPLY	LOCAL MATCH
Statewide or Urban Transit Planning Studies (Urban)	FTA*** Section 5304 Budget Federal funds \$2,000,000 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 : <ul style="list-style-type: none"> • Metropolitan Planning Organizations and Regional Transportation Planning Agencies The following may only apply as a sub-recipient : <ul style="list-style-type: none"> • Transit Agencies • Universities and Community Colleges • Native American Tribal Governments • Cities and Counties • Community-Based Organizations • Non-Profit Organizations (501.C.3) • 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.
Rural or Small Urban Transit Planning Studies (Rural)	FTA*** 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 : <ul style="list-style-type: none"> • Metropolitan Planning Organizations and Regional Transportation Planning Agencies The following may only apply as a sub-recipient : <ul style="list-style-type: none"> • Transit Agencies • Universities and Community Colleges • Native American Tribal Governments • Cities and Counties • Community-Based Organizations • Non-Profit Organizations (501.C.3) • 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 (Intern)	FTA*** Section 5304 Budget Federal funds \$500,000 Grant Cap \$50,000	Fund student internship opportunities in transit planning at public transit agencies.	The following may only apply as an applicant : <ul style="list-style-type: none"> • Metropolitan Planning Organizations and Regional Transportation Planning Agencies The following may only apply as a sub-recipient : <ul style="list-style-type: none"> • Transit Agencies • Universities and Community Colleges • Native American Tribal Governments • Cities and Counties • Community-Based Organizations • Non-Profit Organizations (501.C.3) • 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.

* In-kind contribution can include a documented, quantified amount of equipment, supplies, or other tangible resources, space, or staff time.

** Public entity includes the State, the Regents of the University of California, a county, city, district, public authority, public agency, and any other political subdivision or public corporation in the State. (Government Code Section 811.2)

*** FHWA is the Federal Highway Administration. FTA is the Federal Transit Administration.

General Information and Requirements

APPLICATION SUBMITTAL

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

Environmental Justice and Community-Based Transportation Planning Grant Programs

Submit the following required documents as separate attachments: application, application signature page, scope of work, project schedule, and any other supporting documentation **via e-mail** to OfficeofCommunityPlanning@dot.ca.gov. (See **Application Signature Page** for requirements.) Carbon copy (cc) 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 (i.e., D1 CBTP, City of Can Do Planning Project). The e-mail must be submitted by **5:00 pm, Wednesday, March 30, 2011**. **Late applications will not be reviewed. Only one application submittal per e-mail is permitted.**

Partnership Planning and Transit Planning Grant Programs

Submit the following required documents as separate attachments: application, application signature page, scope of work, project schedule, and any other supporting documentation **via e-mail** to Regional_Planning_Grants@dot.ca.gov. (See **Application Signature Page** for requirements.) Carbon copy (cc) 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 (i.e., D1 Partner, City of Can Do Planning Project). The e-mail must be submitted by **5:00 pm, Wednesday, March 30, 2011**. **Late applications will not be reviewed. Only one application submittal per e-mail is permitted.**

Caltrans district staff is available **prior to the March 30** deadline to answer general questions to help interested groups complete their applications.

Timeline

- **December 1, 2010** – Transportation Planning Grants Guide and application available by e-mail and the following website: <http://www.dot.ca.gov/hq/tpp/grants.html>
- **March 30, 2011** – Final application due date
- **Summer 2011** – Estimated time of grant award announcements (upon approval of State budget)

FINANCIAL REQUIREMENTS

Grant payments are made only as reimbursements. Invoices for reimbursement need to be submitted in concurrence with the completion of project milestones no more frequently than monthly or at a minimum quarterly. The Grantee must pay its sub-recipients and named subcontractors prior to submitting an invoice requesting reimbursement from Caltrans. A single, one-time, **lump sum invoice for the entire grant is not allowed**. Local match must be expended on a proportional basis coinciding with the expenditure of the grant funds. The proportional expenditure must be clearly identified in the scope of work and project schedule.

Non-federal sources for local match can include local sales tax, special bond measures, private donations, private foundations, etc. Examples of in-kind contributions include donated printing, facilities, interpreters, equipment, advertising, staff time, etc. All in-kind contributions must be itemized.

General Information and Requirements (continued)

FINANCIAL REQUIREMENTS (continued)

Grantees are required to maintain an accounting system and records that properly accumulate and segregate incurred project costs and matching funds by line item. The accounting system of the Grantee, including its sub-recipients and subcontractors, shall conform to Generally Accepted Accounting Principles that enable the determination of incurred costs at interim points of completion and provide support for reimbursement payment vouchers or invoices sent to or paid by Caltrans. Allowable project costs will be in compliance with 49 Code of Federal Regulations (CFR), Part 18 and Office of Management and Budget A-87. 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/project schedule and funding chart. Grantees must monitor work and costs to ensure their invoices are submitted on a regular and timely basis (monthly or quarterly). Grantees must communicate with their local Caltrans District Planning Office to ensure any issues are addressed early during the project period.

An Indirect Cost Allocation Plan or Central Service Cost Allocation Plan and related documentation are to be provided to the Caltrans' Office of Audits and Investigations annually for review and approval prior to the Grantee seeking reimbursement of indirect costs. The Grantee must prepare and submit their Indirect Cost Allocation Plan or Central Service Cost Allocation Plan in accordance with Office of Management and Budget A-87 and Caltrans' Local Programs Procedures 04-10 (LPP 04-10).

<http://www.dot.ca.gov/hq/LocalPrograms/lpp/LPP04-10.pdf>

PRE-AWARD AUDIT

Partnership Planning, Statewide or Urban Transit Planning Studies, and Community-Based Transportation grants are available in amounts up to \$300,000. However, any awarded grant in excess of \$250,000 will require a pre-award audit. The audit 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. For more information see Caltrans' Local Programs Procedures 00-05 "Pre-Award Audit Requirements and Consultant Procurement" dated December 15, 2000.

<http://www.dot.ca.gov/hq/LocalPrograms/lpp/LPP00-05.pdf>

ELIGIBLE EXPENSES

Direct costs must be used *only for planning-related activities*, such as community surveys, community meetings, charrettes, focus groups, data gathering and analysis, planning consultants, bilingual services to facilitate meetings, reproduction costs, office supplies, concept drawings of the project, computer rental, transit passes, (for CBTP and EJ only; light snacks and non-alcoholic refreshments) to facilitate the project.

INELIGIBLE PROJECTS AND EXPENSES

Some activities, tasks, project components, etc. are not eligible for these grant programs, regardless of fund source. In particular, environmental studies, plans, or documents normally required for project development under the National Environmental Policy Act (NEPA) or the California Environmental Quality Act (CEQA), or any Project Initiation Document (PID) are not eligible expenses under these grants. Construction and procurement of equipment or materials, such as building a facility or purchasing computers, are not eligible expenses. Construction projects, construction materials, maintenance, decoration, or acquisition of any vehicles, and shuttle programs are also ineligible.

General Information and Requirements (continued)

INELIGIBLE PROJECTS AND EXPENSES (continued)

In addition, the purchase of computers, software, and office furniture or any other capital expenditures are ineligible expenses. These grants cannot be used for personal expenses, such as meals, use of personal vehicles, organizational membership fees, or other items unrelated to the project. If an application has any of the above stated elements, it will 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.

LETTERS OF SUPPORT

Letters of support for the project are strongly encouraged. They should be *addressed to the grant applicant* and **submitted via e-mail with the application**. Such letters can come from community-based organizations, local governments, Native American Tribal governments, service agencies, elected officials, and citizens. Letters of support received separately from the application package may not be considered.

SUBCONTRACTING

When applicable, applicants must comply with bidding requirements for third party contracts. See 49 CFR, Part 18, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments:

http://www.nhtsa.dot.gov/nhtsa/whatsup/TEA21/GrantMan/HTML/03_DOTComRul_49CFR18.html

There is no standard template for subcontracting for these planning grants. However, Grantees are encouraged to use a subcontracting agreement that clearly specifies the work, deliverables, due dates, and costs that will permit the Grantee to have proper accountability and management. Request for proposal and consultant contract must be consistent with the scope of work and project schedule.

Projects are sometimes an extension of a larger, ongoing transportation project. For example, a city or regional agency is working on plans to improve a major corridor and a properly selected consultant is already employed, but additional planning is needed to address local issues and community outreach along that corridor. The consultant can be used for this additional work without further bidding, but the Grantee must submit a written explanation to the Caltrans' district contract manager describing how the additional work is part of this larger, continuing project and why it merits a waiver from competitive bidding. In general, Grantees must conduct the procurement of goods and services in a fair and open competitive manner. Grantees are prohibited from restricting competition in any government-funded procurement transaction.

General Information and Requirements (continued)

SUBCONTRACTING (continued)

In addition to the paragraphs above, the following applies only to the Environmental Justice and Community-Based Transportation Planning grant programs.

- If the grant applicant specifically identifies a sub-recipient to perform subcontractor duties in the Scope of Work/Budget and Timeline, the sub-recipient may be employed without further bidding. However, when choosing a sub-recipient applicants are reminded to select them at the onset of their application in a fair and careful manner and be able to justify the value the sub-recipient brings to the project. A sub-recipient cannot be private for profit.
- If a sub-recipient/subcontractor is **not** identified on the Scope of Work/Budget and Timeline and the work completed *exceeds \$25,000* in cost, the work must be competitively bid at the start of the project. The bidding process does not need to be elaborate, but must reflect an honest and reasonable effort to seek at least three written proposals for the same work or services. It must be a fair, objective, and documented process. Grantees are advised to retain their documentation. The subcontractor may be private, public, non-profit, etc.
- If a sub-recipient/subcontractor is **not** identified on the Scope of Work/Budget and Timeline and the work contemplated is *less than \$25,000* in cost, the work is not subject to bid requirements. However, prior approval of the subcontractor by your Caltrans District Planning Office is required before work can begin.

TITLE VI NONDISCRIMINATION REQUIREMENT

Title VI of the U.S. Civil Rights Act prohibits discrimination on the basis of race, color, or national origin in programs and 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-recipients. This is also applicable to sub-recipients 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.

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 applicants or an applicant's subcontractor may hinder their ability to leverage future grant awards. Applications that modify the scope of work of a previously awarded grant project may be disqualified.

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>

For more guidance and information regarding the submission of applications to the EJ and CBTP grant programs refer to the Environmental Justice and Community-Based Transportation Planning Grants Handbook available at: http://www.dot.ca.gov/hq/tpp/offices/ocp/ej_cbtp_toolbox.html

Environmental Justice and Community-Based Transportation Planning

PURPOSE

The Environmental Justice (EJ) planning grants are intended to promote 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 their mobility, access, safety, and opportunities for affordable housing and economic development.

The Community-Based Transportation Planning (CBTP) Grant Program funds coordinated transportation and land-use planning projects that encourage community involvement and partnership. Projects must support livable/sustainable community concepts with a transportation or mobility objective and promote community identity and quality of life.

EJ GRANT SPECIFIC OBJECTIVE

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 project applications should describe how the project will be carried forward to the next phase.

CBTP GRANT SPECIFIC OBJECTIVE

Project applications 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/land use benefit that will likely induce additional benefits. Competitive project 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 would address and articulate how the project relates to multiple State goals.

Grant specific objectives are the intermediary step between the goal and implementation. The grant 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.

In addition, Caltrans supports the ongoing Regional Blueprint Plan (RBP) and the Sustainable Communities Strategy (SCS - SB 375) efforts. A competitive grant application would address how the project may help implement an RBP or SCS, if one exists or is being developed for that location.

Caltrans also supports Complete Streets and the Smart Mobility Framework (SMF). 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>

Environmental Justice and Community-Based Transportation Planning

WRITING TO GOALS AND OBJECTIVES (continued)

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

CBTP GRANT BONUS SCORING

Local governments with projects designated under the California Department of Housing and Community Development's (HCD), Catalyst Projects for Sustainable Strategies Program 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 their website at:

<http://www.hcd.ca.gov/>

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-recipient. Universities, community colleges, community-based organizations, non-profit organizations (501.C.3), and public entities may only apply as a sub-recipient with an applicant. Sub-recipients are encouraged to work far in advance of the application deadline with the appropriate applicant to coordinate application development.

Local governments with projects designated under the HCD *Catalyst Projects for Sustainable Strategies Program* are welcome to apply.

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. 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.

EXAMPLES OF PROJECT TYPES

- Long-term sustainable community/economic development growth studies or plans
- 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

Environmental Justice and Community-Based Transportation Planning

EXAMPLES OF PROJECT TYPES (continued)

- 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
- Suburban community or urban commercial corridor retrofit studies or plans
- Community revitalization 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
- Welfare-to-Work Transportation Assistance Programs or transit studies or plans
- Corridor enhancement studies or plans
- Health equity studies or plans
- Collaborative regional studies or plans

Engineering /Design/Environmental Work

Environmental studies, plans, or documents normally required for project development under the National Environmental Policy Act (NEPA) or the California Environmental Quality Act (CEQA), or any Project Initiation Document (PID) are not eligible under these grant programs. Projects that contain ineligible expenses such as CEQA, even though funded by non-grant sources, are not allowed due to potential disruption to the project schedule. General Plans or updates to the elements within in a General Plan are not eligible projects under this program. General Plans are required under California state law (§65300) and are not considered to be consistent with the intent of the CBTP or EJ program.¹ Engineering plans and design specification work are also not eligible. Both types of work are very time consuming and would not be able to be completed within the strict grant timeframe. However, conceptual design work is permitted. Applications received containing any of these components, other than conceptual design, will be disqualified and will not be scored by the review committee.

LOCAL RESOLUTION REQUIREMENT

A local resolution from the applicant's governing board stating the title of the person authorized to enter into a contract with Caltrans must be included with the application. The local resolution is a critical part of the grant application package. The following elements must be included:

- The resolution must be made by the governing board of the grant applicant.
- 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.

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.

¹ http://www.opr.ca.gov/planning/publications/General_Plan_Guidelines_2003.pdf

Environmental Justice and Community-Based Transportation Planning

OVERALL WORK PROGRAM

Once a CBTP or EJ grant is awarded, applicants who receive a grant must work with their MPOs and RTPAs to include the project as a formal work element in the current Overall Work Program.

QUARTERLY REPORTING

A formal quarterly progress report is required 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 communications throughout the project.

FUNDING

Each grant cycle has an estimated funding target of \$6 million for both grant programs, **pending approval of the State budget**. Funding distribution will depend upon the quality and amount of applications for each program.

Funding for each project requires a minimum 10 percent local match which must be distributed proportionally throughout the scope of work. Local match funds cannot be federal, or money that has already been earmarked for other programs or projects (e.g. local sales tax, special bond measures, private donations, and private foundations). One-quarter of the value of the local match may be used for in-kind services. In-kind services must be clearly identified in the scope of work and may include the value of non-cash donated services or goods and can take the form of real property, equipment, supplies, services, and other expendable property (e.g. staff time, use of equipment, donated printing, facilities, interpreters, advertising, and refreshments provided at public participation events).

CONTRACTING

Once awarded, these grants 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.

February 28, 2014

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

April 28, 2014

- 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.

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-discipline review committee. District staff reviews all applications for content, submission of proper documentation, and overall relationship to local and regional planning efforts. The district gives each

Environmental Justice and Community-Based Transportation Planning

REVIEW PROCESS (continued)

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 to enter into contract with Caltrans. The review committee composed of Caltrans and non-Department employees are subject matter experts that review for the content and quality of the overall application.

EVALUATION CRITERIA

The EJ and CBTP Grant Programs are very competitive. Below is a list of main factors considered in scoring and nominating an application for funding. The most competitive applications will meet the following criteria and those that do not will be at a competitive disadvantage. Missing pieces will result in point deductions and a lower application score.

Strong applications address all of the following:

- All responses must be clear and concise and address every aspect of each question. The responses need to demonstrate that the applicant understands the core EJ/CBTP concepts. Applicants need to make an extraordinary effort to incorporate these concepts into the project. The responses also need to demonstrate the importance and relevance of the project, the present innovative planning approaches to address deficiencies, and the possible improvements that will benefit those engaged in the project.
- The overall application addresses state goals and program objectives.
- The application is complete and it is submitted correctly. In addition to containing all needed documentation; a detailed Scope of Work, timeline and budget.
- A local resolution must be signed and dated no later than the application deadline.
- Strong supporting documents that further illustrate need, implementation possibilities, community support and project management.
- Scope of Work (SOW) shall include:
 - ✓ In MS Word format (use template provided)
 - ✓ Contains tasks consistent with project schedule (timeline)
 - ✓ Detailed description of each task
 - ✓ Includes public participation and services to diverse communities
 - ✓ Lists project deliverables
- Project Schedule (timeline and budget) shall include:
 - ✓ In MS Excel format (use template provided)
 - ✓ Contains tasks consistent with SOW
 - ✓ A task for a kickoff meeting with district staff. The purpose is to discuss grant procedures and establish overall project expectations.
 - ✓ RFP for consultant services, if applicable
 - ✓ Of the total local match, the cash match and in-kind match are differentiated
 - ✓ Local match is proportionally distributed throughout each task
 - ✓ A task for reporting milestone completion (quarterly reports)
 - ✓ Accurate start and end date of project
- Map of project area

Environmental Justice and Community-Based Transportation Planning

EVALUATION CRITERIA (continued)

Additional Documents (*Not required, but may enhance application*)

- Letters of Support: Must be included with application. Letters received separate from the application package may not be considered.
- Photos that help to further explain the situation and need for the grant.

Past Performance

Previous grant performance will be considered during the evaluation process. Recipients 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 District Office before submitting your application to ensure that you do not currently have any unresolved past performance issues.

FINAL PRODUCT

All final reports funded shall credit either the EJ or CBTP financial participation on the cover or title page. Every final product delivered under these grant programs are expected to result in a documented study, plan, or concept that can be used by the applicant to further smart growth and a community's sustainability. Final products are expected to include identification of potential barriers to implementation and then propose strategies and tools that could address those barriers and advance the project toward implementation.

Final Payment: Caltrans reserves the right to withhold final payment to an agency pending receipt of final deliverable(s) by Caltrans' contract manager.

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

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>

Note: Metropolitan Planning Organizations (MPOs) or Regional Transportation Planning Agencies (RTPAs) must be the applicant for the following four grant programs.

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>

Partnership Planning and Transit Planning

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 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-recipient. Sub-recipients 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-recipients to be informed of the appropriate MPO or RTPA process and schedule, as they may differ slightly from Caltrans.

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. Once grants are awarded, 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 grant project. Caltrans will be an active partner.

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, 2014. All grant recipients must file a Final Request for Reimbursement no later than 90 days after the end of the fiscal year to coincide with the submission of the MPO's/RTPA's OWP Final Expenditure Report.

LOCAL MATCH CONTRIBUTION

All Federal grant programs require a non-federal local match (i.e. State or local funds). The Partnership Planning Grant Program requires the applicant to provide a 20 percent local match. The Transit Planning Grant Program requires the applicant to provide an 11.47 percent local match.

The local match can be all cash, all in-kind, or a combination of the two. If in-kind services are used for the local match, the in-kind provider must be named and documentation of services rendered must be provided, e.g., a description of the number of staff, their job titles and their hourly rate. The salaries expended should equal the total in-kind local match stated on the grant application cover sheet. The in-kind contribution information must be identified on the cover page of the grant application, the project schedule and funding chart, and the Work Element in the OWP. Caltrans ORIP, located in Sacramento, must approve the use of in-kind contributions as a condition of grant acceptance.

Partnership Planning and Transit Planning

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. Two hard copies of all final reports shall be forwarded to the Caltrans District Office responsible for the administration and oversight of the grant. An electronic file of the final report is also required.

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 review and evaluate applications for content, completeness, and meeting technical requirements. Once the interagency review committees evaluate, rank and select the best applications for grant funding, final recommendations are presented to Caltrans management for approval.

EVALUATION CRITERIA

The Partnership Planning and Transit Planning Grant Programs are very competitive. Below is a list of main factors considered in scoring and nominating an application for funding. The most competitive applications will meet the following criteria and those that do not will be at a competitive disadvantage. Missing pieces will result in point deductions and a lower application score.

Strong applications address all of the following:

- The overall application addresses the grant specific program objective. The application responses need to demonstrate that the applicant understands the primary objective of each grant program.
- State and federal goals are addressed throughout the application.
- Consistency between the grant application, scope of work and timeline.
- A detailed plan for implementation of the study results.

Partnership Planning and Transit Planning

EVALUATION CRITERIA (continued)

- All responses must be clear and concise and address every aspect of each question. The responses also need to demonstrate the importance and relevance of the project, the present innovative planning approaches to address deficiencies, and the possible improvements that will benefit those engaged in the project.
- Scope of Work (SOW) shall include:
 - ✓ In MS Word format (use template provided)
 - ✓ Contains tasks consistent with project schedule (timeline)
 - ✓ Detailed description of each task
 - ✓ Includes public participation and services to diverse communities
 - ✓ Lists project deliverables
- Project Schedule (timeline and budget) shall include:
 - ✓ In MS Excel format (use template provided)
 - ✓ Contains tasks consistent with SOW
 - ✓ A task for a kickoff meeting with Caltrans staff. The purpose is to discuss grant administration procedures and establish overall project expectations.
 - ✓ RFP for consultant services, if applicable
 - ✓ Of the total local match, the cash match and in-kind match are differentiated
 - ✓ Local match is proportionally distributed throughout each task
 - ✓ A task for grant administration (including quarterly reports)
 - ✓ Accurate start and end date of project
- Map of project area

Additional Documents (*Not required, but may enhance application*)

- Letters of Support: Must be included with application. Letters received separate from the application package may not be considered.
- Photos that help to further explain the situation and need for the grant.

Past Performance

Previous grant performance will be considered during the evaluation process. Recipients with a history of 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.

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 and Transit Planning

WRITING TO GOALS AND OBJECTIVES (continued)

In addition, Caltrans supports the ongoing Regional Blueprint Plan (RBP) and the Sustainable Communities Strategy (SCS - SB 375) efforts. A competitive grant application would address how the project may help implement an RBP or SCS, if one exists or is being developed for that region.

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 \$1,000,000 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 \$2.0 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.

Partnership Planning and Transit Planning (continued)

STATEWIDE OR URBAN TRANSIT PLANNING STUDIES (continued)

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 \$500,000 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.

**Fiscal Year 2011-12
TRANSPORTATION PLANNING GRANT
APPLICATION**

Check One Grant Program

- Environmental Justice
- Community-Based Transportation Planning
 - Catalyst Project for Sustainable Strategies 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-RECIPIENT(S)
Organization		Organization	
Executive Director and title Mr. <input checked="" type="checkbox"/> Ms. <input type="checkbox"/> Mrs. <input type="checkbox"/>		Executive Director and title Mr. <input checked="" type="checkbox"/> Ms. <input type="checkbox"/> Mrs. <input type="checkbox"/>	
Contact Person and title Mr. <input checked="" type="checkbox"/> Ms. <input type="checkbox"/> Mrs. <input type="checkbox"/>		Contact Person and title Mr. <input checked="" type="checkbox"/> Ms. <input type="checkbox"/> Mrs. <input type="checkbox"/>	
Mailing Address		Mailing Address	
City		City	
Zip Code		Zip Code	
E-mail Address*		E-mail Address*	
Telephone Number		Telephone Number	
FUNDING INFORMATION			
Use Match Calculator to complete this section Click here to use the Match Calculator.			
Grant Funds Requested	\$		
Local Match - Cash	\$		
Local Match - In-Kind	\$		
Total Project Cost	\$		
Source of Local Match and Name of Provider(s)			

* 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 located on the website noted below.

Use the latest version of Adobe Acrobat Reader® to complete this application. The electronic version of this form must be submitted in the PDF format available at <http://www.dot.ca.gov/hq/tpp/grants.html>.

**Fiscal Year 2011-12
TRANSPORTATION PLANNING GRANT
APPLICATION**

**REGIONAL BLUEPRINT AND SUSTAINABLE COMMUNITIES GOALS
For all Grant Programs**

- Complements or advances the Region's Blueprint Planning efforts. [Click here for information.](#)
- Advances a community's efforts to reduce greenhouse gases and will assist transportation agencies in creating enduring communities.

**FEDERAL TRANSPORTATION PLANNING GOALS
For Partnership Planning and Transit Planning**

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

**Fiscal Year 2011-12
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 (e.g. urban/rural/suburban setting, geographic characteristics, location, etc.). **(10 points)**

**Fiscal Year 2011-12
TRANSPORTATION PLANNING GRANT
APPLICATION**

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

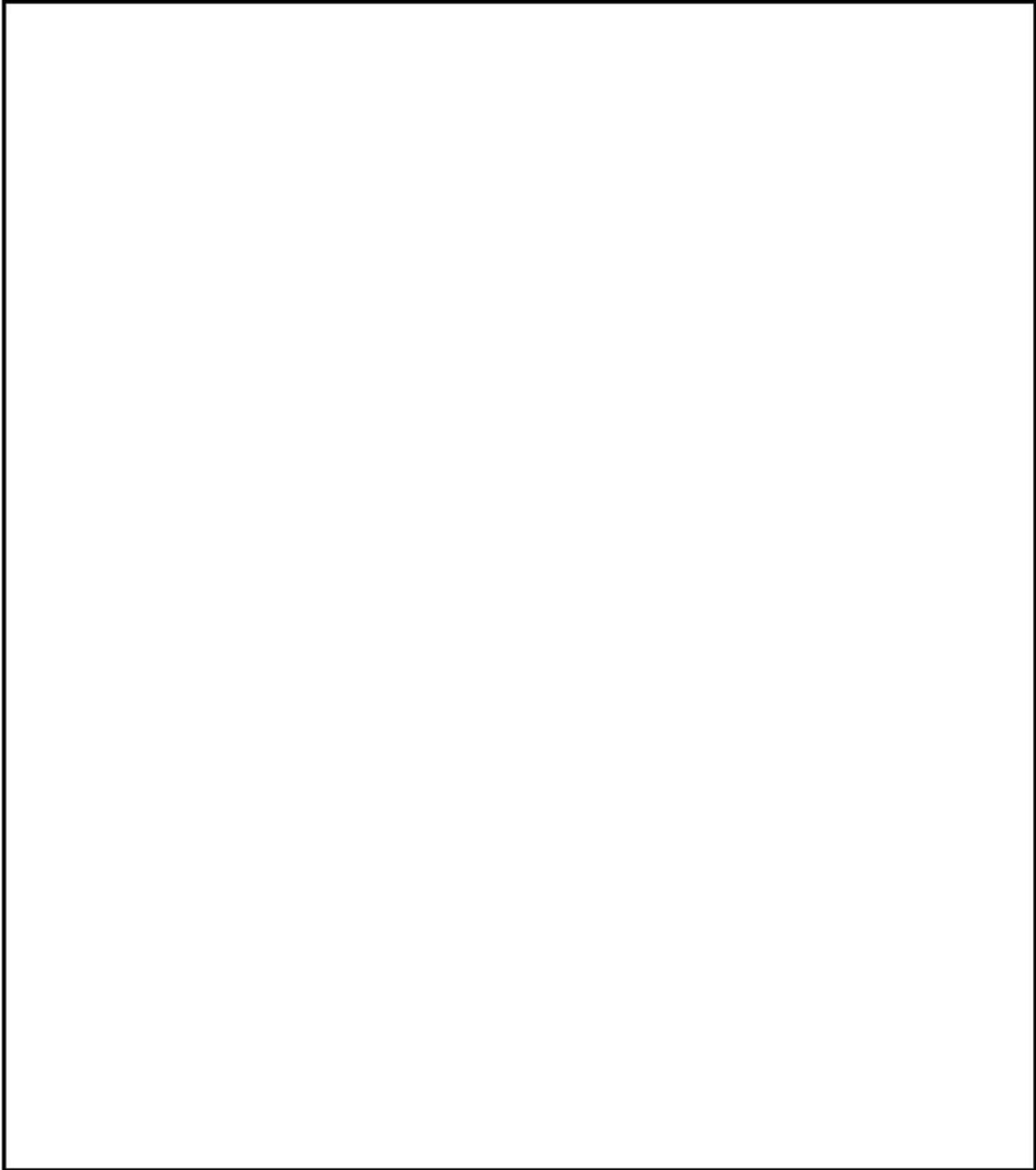
**Fiscal Year 2011-12
TRANSPORTATION PLANNING GRANT
APPLICATION**

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)**

**Fiscal Year 2011-12
TRANSPORTATION PLANNING GRANT
APPLICATION**

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

A large, empty rectangular box with a black border, intended for the applicant to provide a response to Question #4 regarding Public Participation. The box is currently blank.

**Fiscal Year 2011-12
TRANSPORTATION PLANNING GRANT
APPLICATION**

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

**Fiscal Year 2011-12
TRANSPORTATION PLANNING GRANT
APPLICATION**

6. Project Management (20 points)

- A. **Scope of Work (10 points)** (Refer to the Transportation Planning Grant Guide for a sample Scope of Work.)

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

- What work is to be done: Provide an outline or general picture of services. List project tasks and identify any specific project deliverables. Also, list milestones for major tasks that mark the completion of a work package or phase.
- Who is responsible for what tasks: Discuss the roles and responsibilities of agency staff and consultant contractors.
- When the work is to be done: Provide schedule information for the services that will be required.

- B. **Project Schedule (10 points)** (Refer to the Transportation Planning Grant Guide for a sample Project Schedule.)

The Project Schedule must be in a Microsoft Excel format and include:

- Timing, responsibilities, cost, cost distribution, and deliverables of all tasks in the Scope of Work. For CBTP and EJ applications, all project schedules need to reflect a start date of February 2012.

The Scope of Work and Project Schedule must be submitted via e-mail along with the application as separate attachments.

**Fiscal Year 2011-12
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 Schedule (Microsoft Excel format)
- 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 applications will not be accepted.**

SAMPLE SCOPE OF WORK

Click [Scope of Work](#) (required document) to access a sample format

SCOPE OF WORK: City of Can Do Planning Project

The below scope of work reflects anticipated deliverables for the City of Can Do Planning project. The City of Can Do has not yet selected a consulting firm. 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 SCOPE PRODUCTS/OBJECTIVES

(Conceptual design only. City to conduct engineering/construction documents in Phase 2, not to be funded with this grant)

- 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 to underground utilities.
- Conceptual designs to improve drainage conveyance on Third Street and the Maple Street alleys.

1. Project Contracting

Task 1.1

- Project Initiation: Kick-off meeting with Caltrans Staff, finalize scope, staff workshop. Meeting summary will be documented.

Task 1.2

- Staff coordination: Monthly interdepartmental face-to-face meetings with consultants to ensure good communication and that the project remains on time and within budget. Hold and invite Caltrans staff to project team meetings.

Task 1.3

- RFP for consultant services: Complete RFP process for selection of consultant.

Task	Deliverable	Documentation
1.1	<i>Project Initiation/Kick-off</i>	<i>Meeting summary</i>
1.2	<i>Monthly staff coordination (minimum of 9 meetings)</i>	<i>Monthly meetings with summary notes</i>
1.3	<i>Consultant selection</i>	<i>Consultant contract</i>

2. Public Outreach

All meetings will be publically noticed to ensure maximum attendance.

Task 2.1

- Community Workshop #1: Walking tour. Define project parameters, inform community of project opportunities and constraints, solicit opinions from community, brainstorm ideas.

Task 2.2

- Community Workshop #2: Present streetscape design concepts, solicit feedback, ideas, etc. Could possibly combine with Workshop #1 in an expanded session.

Task 2.3

- Joint Planning/Parking and Safety/Bicycle Advisory Commission Meeting: Possible joint session among the three commissions. Staff to facilitate meeting, solicit feedback, respond to any questions, and resolve any critical issues.

Task	Deliverable	Documentation
2.1	Community Workshop #1	PowerPoint Presentation, Workshop Summary, Photos, Final Plans
2.2	Community Workshop #2	
2.3	Joint Planning/Parking & Safety/Bicycle Advisory Commission	PowerPoint Presentation, Workshop Summary, Photos, Final Plans

3. Streetscape Design

Task 3.1

- Develop Streetscape Concept: Based on community input develop streetscape concept. Streetscape design will be illustrated with cross sections, plans, sketches, photos, and/or photo simulation.

Task 3.2

- Develop Design Concept Alternatives: Based on community and city staff feedback, up to three streetscape design concept alternatives will be developed. Illustrations will be made in plan view, street cross sections, sketches, and/or photo simulations.

Task 3.3

- Draft Design Concept and Report: Draft technical memo will document existing conditions and preferred design alternative.

Task 3.4

- Final Design Concepts and Report: Final report including outreach summary, community workshops summary, commission/council presentations, and final designs/plans.

Task 3.5

- Community Workshop #3: Present final streetscape design concepts. Solicit feedback for minor modifications.

Task 3.6

- City Council Adoption: City Council meeting to present the final conceptual design plan, resolve any critical issues, adopt final conceptual design plan.

Task	Deliverable	Documentation
3.1	<i>Develop Streetscape Concept</i>	<i>Sketches, illustrations</i>
3.2	<i>Develop Design Concept Alternatives</i>	<i>Sketches, illustrations</i>
3.3	<i>Draft Final Design Concept and Report</i>	<i>Memo documenting the streetscape design. One hard copy, one electronic copy.</i>
3.4	<i>Final Design Concept and Report</i>	<i>Final Report</i>
3.5	<i>Community Workshop #3</i>	<i>PowerPoint Presentation, Workshop Summary, Photos, Final Plans</i>
3.6	<i>City Council</i>	<i>Meeting Notes</i>

4. Project Management & Administration

Task 4.1

- Project Administration: Project administration between consultants and project manager. Consists of weekly teleconferences and monthly progress reports & invoices. Monthly invoices to Caltrans project manager.

Task 4.2

- Quarterly Reports: City staff will submit quarterly reports to Caltrans District staff providing a summary of project progress and grant/local match expenditures.

Task	Deliverable	Documentation
4.1	<i>Project Administration and Coordination</i>	<i>Monthly progress reports and invoices</i>
4.2	<i>Quarterly Reports</i>	<i>Quarterly progress reports and invoices</i>

STATE OF CALIFORNIA
Business, Transportation and Housing Agency
Department of Transportation



DISTRICT BOUNDARIES
Prepared by
Division of Transportation Planning
November 2010

CALIFORNIA

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



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	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • 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 – Beatriz Gonzalez (530) 741-5173 Email: beatriz_gonzalez@dot.ca.gov	<ul style="list-style-type: none"> • Butte CAG • Sierra LTC • Colusa CTC • Glenn CTC • El Dorado CTC • Nevada CTC • Placer CTPA • Sacramento Area COG • 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	<ul style="list-style-type: none"> • Metropolitan Transportation Commission

DISTRICT	CONTACT	MPO/RTPA
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<p>DISTRICT 6 1352 W. Olive Avenue P. O. Box 12616 Fresno, CA 93778-2616</p>	<p>All Planning Grant Programs – Randy Treece (559) 488-4153 Email: randy_treece@dot.ca.gov</p>	<ul style="list-style-type: none"> • Fresno COG • Tulare COG • Kern COG • Kings CAG • Madera CTC
<p>DISTRICT 7 100 S. Main Street Los Angeles, CA 90012</p>	<p>CBTP and EJ - Wilford Melton (213) 897-1344 Email: wilford_melton@dot.ca.gov</p> <p>Partnership and Transit- Melissa Joshi (213) 897-1347 Email: melissa_joshi@dot.ca.gov</p>	<ul style="list-style-type: none"> • Southern California Association of Governments
<p>DISTRICT 8 464 W. 4th Street Sixth Floor San Bernardino, CA 92401</p>	<p>CBTP and EJ - John Chiu (909) 388-7139 Email: john_chiu@dot.ca.gov</p> <p>Partnership and Transit- Lorna Foster (909) 383-4936 Email: lorna_foster@dot.ca.gov</p>	<ul style="list-style-type: none"> • Southern California Association of Governments
<p>DISTRICT 9 500 S. Main Street Bishop, CA 93514</p>	<p>CBTP and EJ - Miya Edmonson (760) 872-0735 Email: miya_edmonson@dot.ca.gov</p> <p>Partnership and Transit- Forest Becket (760) 872- 0659 Email: forest_becket@dot.ca.gov</p>	<ul style="list-style-type: none"> • Inyo LTC • Mono LTC

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<p>DISTRICT 11 4050 Taylor Street Mail Station 240 San Diego, CA 92110</p>	<p>All Planning Grant Programs - Mike Kent (619) 688-6822 Email: mike_kent@dot.ca.gov</p>	<ul style="list-style-type: none"> • San Diego Association of Governments
<p>DISTRICT 12 3347 Michelson Drive Suite 100 Irvine, CA 92612-0661</p>	<p>All Planning Grant Programs - Damon Davis (949) 440-3487 Email: damon_davis@dot.ca.gov Chris Herre (949) 724-2731 Email: chris_herre@dot.ca.gov</p>	<ul style="list-style-type: none"> • Southern California Association of Governments