CALTRANS ADAPTATION PLANNING GRANT PROGRAM

-FINAL-
FY 2018-19
Grant Application Guide

Adaptation Planning Grants from Senate Bill 1
The Road Repair and Accountability Act of 2017

Application Deadline

February 23, 2018 at 5:00

California Department of Transportation
Division of Transportation Planning

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Adaptation Planning Grant Program

On April 28, 2017 Governor Edmund G. Brown Jr. signed into law Senate Bill 1 (SB 1) - The Road Repair and Accountability Act of 2017, a transportation funding bill that provides a reliable source of funds to maintain and integrate the State's multimodal transportation system. Per Section 16321 of the bill, $20 million in climate change adaptation planning grants has been allocated to local and regional agencies for adaptation planning. Seven million dollars were allocated for the Fiscal Year (FY) 2017-18 grant cycle, seven million dollars are available in 2018-19, and six million dollars will be available in 2019-20.

Climate change adaptation aims to anticipate and prepare for climate change impacts to reduce the damage from climate change and extreme weather events. Adaptation is distinct from, but complements, climate change mitigation, which aims to reduce greenhouse gas emissions. This funding is intended to advance adaptation planning on California's transportation infrastructure, including but not limited to roads, railways, bikeways, trails, bridges, ports, and airports. Eligible projects must have a transportation nexus per Article XIX Sections 2 and 3 of the California Constitution. Applicants who have adaptation planning efforts underway as well as those who have not yet started adaptation work are encouraged to apply.

Table 1: Available Funds by Fiscal Year

FY Grant Cycle	Adaptation Planning Grant Funds
2017-18	$7 million
2018-19	$7 million
2019-20	$6 million

Purpose

California is leading the way on greenhouse gas (GHG) emissions reductions to avoid the worst consequences of climate change, but no matter how quickly we reduce our polluting emissions, climate impacts will still occur. Climate change poses many threats to our communities' health, well-being, environment, and property. Many impacts – increased wildfires, droughts, landslides, rising sea levels, floods, severe storms, heat waves, and impacts to wildlife – are occurring already and will only become more frequent and severe.

Climate change is increasingly impacting the state's transportation system. Adaptation efforts will enhance the resiliency of the transportation system to help protect against climate impacts. The overarching goal of this grant program is to support planning actions at local and regional levels that advance climate change adaptation efforts on the transportation system, especially efforts that serve the communities most vulnerable to climate change impacts. Taking steps now to adapt to climate change will protect public health and safety, infrastructure, and our economy into the future.

Funding

The Adaptation Planning grants are funded by the Public Transportation Account (PTA). The FY 2018-19 funding amount is seven million dollars and will be entirely be competitively awarded. The minimum application amount is $100,000 and the maximum application amount is $1,000,000. The required local match is 11.47 percent.

Table 2: Adaptation Planning Grants Summary

FUND SOURCE	PURPOSE	WHO MAY APPLY	LOCAL MATCH
Public Transportation Account **Budget** State funds $7,000,000 **Grant Min** $100,000 **Grant Max** $1,000,000	Support planning actions at local and regional levels that advance climate change adaptation efforts on the transportation system, especially efforts that serve the communities most vulnerable to climate change impacts.	The following are eligible to apply as a primary applicant: • MPOs • RTPAs • Transit Agencies • Cities and Counties • Native American Tribal Governments • Local and Regional Agencies • Special Districts The following are eligible to apply as a sub-applicant: • MPOs/RTPAs • Transit Agencies • Cities and Counties • Native American Tribal Governments • Local and Regional Agencies • Special Districts • Universities and Community Colleges • Community-Based Organizations • Non-Profit Organizations (501.c.3) • Other Public Entities**	11.47% minimum (in cash or an in-kind* contribution). Staff time from the primary applicant counts as cash match.

* For in-kind contribution requirements, refer to Page 13 of this Guide.

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

Grant Program Considerations

The Grant Program supports related State initiatives, explained further below. Competitive applicants will reference in their application the identified State initiatives (as applicable) and how the proposed project advances these initiatives, including:

- Executive Order S-13-08
- Executive Order B-30-15
- California Transportation Plan (CTP) 2040
- Regional Transportation Plan Guidelines
- 2017 General Plan Guidelines
- Integrated Climate Adaptation and Resiliency Program (ICARP)
- Addressing Disadvantaged Communities

State Policy

Executive Order S-13-08

EO-S-13-08 directs state agencies to plan for sea level rise and climate impacts through coordination of the state Climate Adaptation Strategy (Safeguarding California).
https://www.gov.ca.gov/news.php?id=11036

Executive Order B-30-15

EO-B-30-15 sets a GHG emissions target for 2030 at 40 percent below 1990 levels. It also requires state agencies to "take climate change into account in their planning and investment decisions."
https://www.gov.ca.gov/news.php?id=18938

California Transportation Plan 2040

Applications should align with the goals and policies cited in the California Transportation Plan 2040 (specifically, Goal 2 "Preserve the Multimodal Transportation System," Policy 3 "Adapt the transportation system to reduce impacts from climate change").
http://www.dot.ca.gov/hq/tpp/californiatransportationplan2040/Final%20CTP/FINALCTP2040-Report-WebReady.pdf

2017 RTP Guidelines

On January 18, 2017 the California Transportation Commission adopted the *2017 RTP Guidelines for Metropolitan Planning Organizations (MPOs)* and the *2017 RTP Guidelines for RTPAs*. Chapter 6.30 in the *RTP Guidelines for MPOs* (or Chapter 6.25 in the *RTP Guidelines for RTPAs*) focuses on "Adaptation of the Regional Transportation System to Climate Change."
http://www.dot.ca.gov/hq/tpp/offices/orip/rtp/index.html

2017 General Plan Guidelines

The General Plan Guidelines guide the preparation and content of general plans for all cities and counties in California. Local governments are now required, per Senate Bill 379 (SB 379), to address climate change adaptation and resiliency in their general plans. The General Plan Guidelines provide guidance in meeting SB 379 requirements (see pages 150-158).
http://www.opr.ca.gov/planning/general-plan/guidelines.html

Integrated Climate Adaptation and Resiliency Program

Senate Bill 246 (Wieckowski, 2015) established the Integrated Climate Adaptation and Resiliency Program (ICARP) within the Governor's Office of Planning and Research to coordinate regional and local efforts with state climate adaptation strategies (Public Resources Code Section 71354). In

support of these efforts, grantees will provide periodic reports to the ICARP Technical Advisory Council (see reporting requirements on page 11).

Addressing Disadvantaged Communities

Caltrans encourages applicants to address transportation needs and deficiencies in disadvantaged communities, including communities vulnerable to climate change impacts. The optional tools below are intended to help applicants define a context-dependent definition of a disadvantaged community. Regional and/or local definitions of disadvantaged communities are acceptable. Applicants may also consider other population characteristics, such as income or level of education. Tools and resources for identifying disadvantaged communities are provided below:

SB 535 (De Leon, Statutes of 2012)
Senate Bill 535 (SB 535) tasked the California Environmental Protection Agency with defining disadvantaged communities. SB 535 may assist applicants with defining disadvantaged communities and the many factors to consider.
https://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201120120SB535

Assembly Bill 1550 (Gomez, Statutes of 2016)
Assembly Bill 1550 provides definitions for low-income households and low-income communities that may be considered in application development.
https://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201520160AB1550

CalEnviroScreen Version 3.0
CalEnviroScreen is a screening methodology that can be used to help identify California communities that are disproportionately burdened by multiple sources of pollution.
http://oehha.maps.arcgis.com/apps/View/index.html?appid=c3e4e4e1d115468390cf61d9db83efc4

EJSCREEN: Environmental Justice Screening and Mapping Tool
EJSCREEN, developed by the United States Environmental Protection Agency, geospatially displays public health and environmental data and allows users to compare local data against state and national averages.
https://www.epa.gov/ejscreen

California Health Disadvantage Index (HDI)
The Public Health Alliance developed an interactive composite index to identify cumulative health disadvantage in California. HDI includes diverse non-medical economic, social, political and environmental factors that influence physical and cognitive function, behavior, and disease. The tool will soon be updated with a new map and additional indicators, and will be renamed the California Healthy Places Index.
http://phasocal.org/ca-hdi/

California Department of Public Health Climate Change and Health Profile Reports
The Climate Change and Health Profile Reports are designed to help counties in California prepare for the health impacts related to climate change. The reports present projections for county and regional climate impacts, the climate-related health risks, and local populations that could be vulnerable to climate effects.
https://www.cdph.ca.gov/Programs/OHE/Pages/ClimateHealthProfileReports.aspx

Grant Program Overview

The overall intent of the Adaptation Planning grant program is to support local and regional adaptation planning efforts on the transportation system.

Grant Specific Objectives

Applicants must demonstrate how the proposed effort will accomplish the following:

- Demonstrate on-going collaboration and partnerships between sectors and jurisdictions, across levels of government at a regional scale
- Identify co-benefits of the adaptation work, such as benefits to public health, natural ecosystems, air quality, social equity, the economy, or reductions in greenhouse gas emissions

Applicants should demonstrate how the proposed effort will accomplish one or more of the following:

- Identify climate change impact risks to multimodal transportation infrastructure in the project area
- Identify specific transportation infrastructure vulnerabilities[1] to climate change impacts
- Identify adaptation strategies and specific actions to remedy identified climate related vulnerabilities
- Advance the planning of specific climate adaptation projects, such as developing a cost estimate or conceptual design
- Include economic analysis and/or cost-benefit analysis of identified adaptation strategy or strategies

Competitive applications should include one or more of the following:

- Identify benefit to disadvantaged and/or vulnerable communities, including transit-dependent populations[2] (when applicable)
- Demonstrate collaboration and partnerships with diverse external stakeholders such as businesses, non-governmental agencies, community-based organizations, and community residents

[1] Transportation infrastructure includes, but is not limited to, roads, railways, bikeways, trails, bridges, ports, and airports. Vulnerable transportation infrastructure is transportation infrastructure that is susceptible to the impacts of climate change (e.g. a pedestrian-use trail that cuts through a forested area that is expected to see increased fire risk due to climate change).

[2] Transit-dependent individuals are defined as individuals who are "too young, too old, cannot afford or do not have access to an automobile or rely on transit to reach their destinations" (*Westside Transportation Access Needs Assessment – Short and Long Term Improvements*, Papandreou, 2014).

Example Adaptation Planning Grant Project Types

California is expected to see a wide variety of climate change impacts, including increased wildfires, droughts, landslides, rising sea levels, floods, severe storms, heat waves, and impacts to wildlife. We would like to see diverse project types from a diverse pool of applicants to respond to these impacts. Applicants who have adaptation planning efforts underway as well as those who have not yet started adaptation work are encouraged to apply. The examples below are provided to illustrate the range of projects that may be appropriate for the grant program as well as to provide ideas to potential applicants. However, proposed projects are not constrained by the categories below.

- **Climate vulnerability assessments**
- **Extreme weather event evacuation planning,** which could include:
    - Identifying communities and individuals with inadequate access to transportation (e.g. survey to determine number and location of transit dependent residents)
    - Planning for increased transportation options in evacuation corridors
    - Planning for roadway warning systems for extreme weather events
- **Resilience planning**
- **Transportation infrastructure adaptation plans**, such as:
    - Evaluating the feasibility of realigning/relocating transportation infrastructure impacted by sea level rise
    - Evaluating the feasibility of a proposed wildlife underpass or overpass
- **Natural and green infrastructure planning** (e.g. wetlands restoration along transportation corridors to protect transportation infrastructure from flooding and storm impacts)
- **Integration of transportation adaptation planning considerations into existing plans**, such as a climate mitigation or adaptation plan, Local Coastal Program, Local Hazard Mitigation Plan, General Plan (including meeting Senate Bill 379 requirements), or other related planning efforts
- **Evaluation of or planning for other adaptation strategies**, such as:
    - Providing transit shelters with shade, water, or other means of cooling in locations expected to see temperature increases
    - Planning for decentralized energy and storage for safeguarding against loss of power and impacts to electric vehicles due to climate-related grid disruptions

Eligible Activities and Expenses

Please consult with Caltrans district staff for clarification regarding specific eligible activities or expenses. Example eligible costs include:

- Staff time
- Consultant time
- Conceptual drawings and design
- Data and geospatial analysis
- Community surveys, meetings, charrettes, and focus groups
- Bilingual services for interpreting and/or translation services for meetings
- Community/stakeholder advisory groups
- Project-specific staffing
- Web application development and dashboards

Ineligible Activities and Expenses

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

- Projects without a transportation nexus
- Project Initiation Documents
- Environmental studies, plans, or documents normally required for project development under the National Environmental Policy Act or the California Environmental Quality Act
- Engineering plans and design specification work
- Regional Transportation Plans (RTP) or updates to the RTP
- Construction projects or capital costs, such as the building of a facility, or maintenance
- Purchasing of office furniture or other capital expenditures
- Decorations (e.g., for public workshop events)
- Acquisition of vehicles or shuttle programs
- Organizational membership fees
- Unreasonable incentives such as prizes for public participation. The use of incentives are subject to Caltrans approval
- Charges passed on to sub-recipient for oversight of awarded grant funds
- Other items unrelated to the project

Tools and Resources

It is not required that applicants consult the tools and resources below; however, this information is included to provide applicants with existing data sources and support applicants who may want to delve deeper into certain topics. Notable climate adaptation tools and resources include:

CalAdapt: http://cal-adapt.org/

California Adaptation Planning Guide
http://resources.ca.gov/climate/safeguarding/local-action/

Safeguarding California – California's Climate Adaptation Strategy (under development)
http://resources.ca.gov/climate/safeguarding/

ICARP Clearinghouse
http://opr.ca.gov/planning/icarp/
The Adaptation Clearinghouse is under development and will become more robust over time.

Vibrant Communities and Landscapes (Draft)
https://www.arb.ca.gov/cc/scopingplan/meetings/091316/vibrant%20communities.pdf

Caltrans Vulnerability Assessments (under development)
http://www.dot.ca.gov/hq/tpp/offices/orip/climate_change/projects_and_studies.shtml

Addressing Climate Change Adaptation in Regional Transportation Plans
http://www.dot.ca.gov/hq/tpp/offices/orip/climate_change/documents/FR3_CA_Climate_Change_Adaptation_Guide_2013-02-26_.pdf

Ocean Protection Council Sea-Level Rise Guidelines (Draft)
http://www.opc.ca.gov/webmaster/_media_library/2017/11/State-of-California-Sea-Level-Rise-Guidance_draft-final_11.15.17.pdf

California Coastal Commission Sea Level Rise Policy Guidance
https://documents.coastal.ca.gov/assets/slr/guidance/August2015/0_Full_Adopted_Sea_Level_Rise_Policy_Guidance.pdf

California Coastal Commission Statewide Sea Level Rise Vulnerability Synthesis
https://documents.coastal.ca.gov/assets/climate/slr/vulnerability/FINAL_Statewide_Report.pdf

California Water Action Plan
http://resources.ca.gov/docs/california_water_action_plan/Final_California_Water_Action_Plan.pdf

Cal-Fire: http://calfire.ca.gov/index

California Department of Conservation – Landslide Hazards
http://www.conservation.ca.gov/cgs/geologic_hazards/landslides

State Wildlife Action Plan: https://www.wildlife.ca.gov/SWAP/Final

General Information and Requirements

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

Application Review Process and Evaluation Considerations

Review Process

All applications submitted to the Adaptation Planning Grant Program go through multiple levels of review including reviews by Caltrans district and HQ staff, and State interagency review committees. District staff reviews all applications for content, submission of proper documentation, and overall relationship to regional and local planning efforts. District staff reviews all applications for content, submission of proper documentation, and overall relationship to regional and local planning efforts. The district rates each application and provides comments to inform the State interagency review committee. The grant review committees evaluate applications for content, completeness, meeting technical requirements, overall relationship to statewide planning efforts, and compliance with state and federal planning requirements. Grant applications that address every aspect of the grant specific objectives will score higher overall. Caltrans has diverse applicants and project types, which makes it difficult to use a one-size fits all scoring rubric. Therefore, applications will be scored based on how well they are able to describe the project, justify need, incorporate the grant specific objectives, and develop a scope of work and project timeline, all in accordance with this grant guide, samples and checklists provided, as applicable and appropriate for the applicant and project type. Once the grant review committees evaluate, rank, and select the best applications for grant funding, final recommendations are presented to Caltrans management and California State Agency for approval.

Award Terms

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

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

Contracting with Caltrans and Project Timelines

Project Start Dates

All awarded grant funds must be programmed during the State's FY 2018-19. The project start date depends on the method of contracting with Caltrans. For MPOs and RTPAs with a current Master Fund Transfer Agreement (MFTA), work may begin as early as July 2018. For awarded grantees that do not have a current MFTA with the Office of Regional Planning (i.e. cities, counties, transit agencies, Tribal Governments), Caltrans will contract directly with the primary grant recipients through the Restricted Grant Agreement (RGA) process. For grant recipients that undergo the RGA contracting process, work may begin as early as October 2018, assuming the grantee has received a fully executed contract and has been notified by Caltrans district staff to begin work. It is important for applicants to reflect the estimated project start date in the Scope of Work and Project Timeline.

Project Timeline constraints for both methods of contracting with Caltrans are provided below. Awardees are required to submit all supporting materials and a signed agreement or risk forfeiting the grant award.

Restricted Grant Agreement Project Timeline

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

October 2018

- Anticipated start date

February 28, 2021

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

April 28, 2021

- 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.

Master Fund Transfer Agreement Project Timeline (MPOs/RTPAs Only)

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

July 2018

- Anticipated start date

June 30, 2021

- Project end date **(no time extensions will be granted)**
- Reimbursable work must be completed

Final Request for Reimbursement

- A Final Request for Reimbursement must be filed no later than 60 days after the end of the fiscal year to coincide with the submission of the Overall Work Program (OWP) Final Expenditure Report.

Contract Options for Native American Tribal Governments

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

(1) **Contracting with Tribes Directly** – The authority Caltrans uses to contract with tribes directly comes from the California Streets and Highways Code Section 94, and is extremely limited. Caltrans Legal requires the tribes to provide a limited waiver of sovereign immunity. However, Caltrans' Native American Liaison Branch ensures that any waiver is very specifically limited in scope and in time to only apply to the contract itself (and to any possible audits). In an effort to streamline the RGA contracting process, there is an RGA boilerplate template available upon request.

(2) **Partnering with a Regional Agency** – Another mechanism for contracting with Caltrans is to collaborate with an MPO or RTPA. Caltrans can pass through grant funding to tribes for planning projects where options or time are limited. This option uses the three-part contract, MFTA/OWP/OWPA, and is usually the quickest option to allow planning projects to get started.

(3) **Transferring Funds Pursuant to 23 U.S.C. 202(a)(9) –** *Section 202(a)(9) of title 23, United States Code encourages cooperation between States and Tribes by allowing any funds received from a State, county, or local government to be credited to appropriations available for the Tribal Transportation Program (TTP). One potential source of such funding is funds apportioned or allocated to a State under title 23. Section 104(f)(3) allows the Secretary of Transportation to, at*

the request of a State, transfer among States, or to the FHWA, funds that have been so apportioned or allocated. This provision, used in conjunction with the authority under 23 U.S.C. 209(a)(9), allows State funds to be transferred to FHWA, which in turn would provide the funds to the specified Tribe. Please view ***this document*** *for more information.*

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

Grant Project Administration Requirements

Overall Work Program (for MPOs/RTPAs Only)

All MPOs and RTPAs must have the entire grant award and local match programmed in the FY 2018-19 OWP no later than May 1, 2019. Approved grant projects must be identified as **individual** Work Elements in the current OWP and in future OWPs until the project is completed.

Reporting

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

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

Because this is the first State Adaptation Planning grant of its kind, Caltrans and the Governor's Office of Planning and Research are looking to identify and share the lessons learned from this grant opportunity to inform other existing or new state grant programs. To this end, all primary grant recipients will prepare a short write-up to be included in the ICARP Clearinghouse (described on page 8), which was developed to share information, resources, and case studies with local and regional jurisdictions. At a minimum, grantees will be asked to prepare a case study describing the application and proposed project and a case study on the completed project or plan, including a PowerPoint presentation deck and GIS files of maps when applicable. Case studies should emphasize processes or results that can be adapted or replicated for use in multiple jurisdictions or in various parts of the state. These studies will be used to develop guidance for adaptation work in the future. Caltrans will share progress reports with the ICARP Technical Advisory Council at regular intervals.

Grantees are also invited and encouraged to request technical assistance support from the ICARP program, including bringing key challenges or lessons learned to the Technical Advisory Council for their input. Caltrans staff will provide grant recipients with ICARP contact info upon request.

Final Product

All final reports funded through the Adaptation Planning Grant Program shall credit Caltrans' 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.

Ownership

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

Third Party Contracts

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

Grantees may use their agency's procurement procedures as long as they comply with the 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 solely enters into a contract directly with the grantee; therefore the grantee is responsible to ensure that all third parties adhere to the same provisions included in the contractual agreement between Caltrans and the grantee.

All government funded consultant procurement transactions must be conducted using a fair and competitive procurement process that is consistent with the Local Assistance Procedures Manual, Chapter 10. All documentation of third party contract procurements must be retained and copies of all agreements must be submitted to Caltrans. For more information on third party contracting, visit the following link:

Local Assistance Procedures Manual: http://www.dot.ca.gov/hq/LocalPrograms/lam/lapm.htm

Non-Discrimination Requirements

Title VI Non-Discrimination Requirement

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

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

Disadvantaged Business Enterprises

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

For details about DBE requirements, visit the Office of Regional Planning DBE website at: http://www.dot.ca.gov/hq/tpp/offices/orip/DBE/DBE.html**.**

Invoicing and Financial Requirements

Requests for Reimbursements

Grant payments are made only as reimbursements. Invoices or Requests for Reimbursements (RFR) need to be submitted no more frequently than monthly or at a minimum quarterly. Grantees must pay sub-recipients and subcontractors prior to submitting a RFR to Caltrans. A one-time, **lump sum RFR for the entire grant is not allowed.** Local match (cash and third party in-kind contributions) must be expended on a proportional basis coinciding with each grant Work Element (MPOs/RTPAs only) and/or tasks in each RFR. The proportional spread of local match for each task and subtask must be clearly identified in the Project Timeline. The minimum required local match (i.e., 11.47 percent) must be rendered during the invoicing period to which the matching requirement applies. The minimum required local match must also be satisfied with each RFR.

Local Match Contribution

All grants require a local match. Revenue sources for a local match can include local sales tax, special bond measures, private donations, private foundations, etc. The Adaptation Planning grants require the applicant to provide a minimum 11.47 percent local match—any source of funds may be used as long as the proposed grant work is an eligible activity for the local match fund source. The minimum local match is a percentage of the total project cost (i.e., minimum local match amount plus the grant amount) and is represented on the Project Timeline at the task and subtask-level. The local match can be all cash, all third party in-kind contributions, or a combination of the two. Staff time from the primary applicant counts as catch match.

To better assist applicants, the Local Match Calculator can be found at: http://www.dot.ca.gov/hq/tpp/offices/orip/Grants/2015/Match_Calculator.xlsx

Third Party In-Kind Contributions

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

If third party in-kind contributions are used to satisfy the local match requirements, a third party in-kind valuation plan must also be submitted to Caltrans for approval as a condition of grant acceptance. The third party in-kind valuation plan is an itemized breakdown by task and serves as documentation for the goods and/or services to be rendered. The Third Party In-Kind Valuation Plan Checklist and Sample are provided on Page 33.

Accounting Requirements

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

Indirect and Direct Costs

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

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

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

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

Travel Expenses

Grantees may be eligible to claim travel expenses if they have been approved in the Scope of Work and Project Timeline. Travel expenses and per diem rates are not to exceed the rate specified by the 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/

Pre-Award Audit

The Adaptation Planning grants are available in amounts up to $1 million. However, any awarded grant in excess of $250,000 may require a pre-award audit. The pre-award audit is to ensure that recipients of state funds maintain adequate financial management systems prior to receiving the funds. Pre-award audits may be required of new grantees, agencies that have not recently been audited, agencies that have undergone prior audits with significant weaknesses or deficiencies in their financial management systems, or those determined to be a higher risk to Caltrans. If a pre-award audit is needed, the local Caltrans District Office will contact the grantee to facilitate the appropriate action.

Application Preparation

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

Early Coordination with Primary Applicants

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

Technical Assistance

Caltrans District Office staff (see Page 37) is available during the application period to discuss potential projects, answer questions, and help interested groups complete their applications.

For questions specific to the Grant Application Guide, applicants are also welcomed to contact the Caltrans Headquarters lead staff:

Julia Biggar Julia.Biggar@dot.ca.gov (916) 654-6344	Brigitte Driller Brigitte.Driller@dot.ca.gov (916) 653-0426	Rebecca Parker Rebecca.Parker@dot.ca.gov (916) 654-5547

Tips and Pointers for Writing a Successful Grant Application

General Tips
Consult with your district representative for technical assistance before the application deadline.
Use the Samples and Checklists provided for the Application, Scope of Work, and Project Timeline.
Include Caltrans as an active partner in the study.
Provide letters of support and project area photographs to enhance the application.
Project Summary
Concisely describe the project in less than 100 words. Explain *"What parties are involved, the proposed major milestones, the plan/study start/end dates, the general project area boundaries, and why the project is necessary."*
Project Justification
Clearly define and explain the transportation problem or deficiency that the project will attempt to address. Why is it critical to address the problem now? Make the case for a critical need that the project will address and support it with verifiable data, if available.
Grant Specific Objectives
Clearly demonstrate how the project promotes climate change adaptation planning on the California transportation system. Also demonstrate how the project aligns with the Grant Specific Objectives.
Project Management
Scope of Work: Identify the project area demographics, public participation, and project implementation.
Project Timeline: Identify the current indirect cost rate *if* indirect costs will be sought for reimbursement. If FY 2018-2019 indirect cost rates are not available, the rate will be an estimate based on the currently approved rate.
Keep administrative project tasks below 5 percent of the grant amount requested.
Ensure the correct minimum local match amount, calculated as a percentage of the total project cost (grant plus local match), is provided. Each task and sub-task must also have the minimum local match.

Application Submittal Instructions

All grant application packages are required to be submitted **via e-mail**. **An agency may only submit one application package per e-mail.** The Caltrans District contact must be copied (refer to the **District Contact List** on Page 37) and the subject line needs to identify the district number, grant program, and *brief* project title (e.g., D1, SC, City of Can Do Planning Project). The required items outlined on the Grant Application Checklist on Page 18 must be attached to the e-mail as separate documents. **Applicants will receive an email reply by 5pm on Monday, February 26th, to confirm receipt of applications submitted.**

Please submit your application package to: Adaptation.Planning.Grants@dot.ca.gov

APPLICATIONS MUST BE SUBMITTED VIA E-MAIL NO LATER THAN
FRIDAY, FEBRUARY 23, 2018
BY 5:00 PM

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

The Grant Application Guide and application form and required templates are available at the following website: http://www.dot.ca.gov/hq/tpp/grants.html

Caltrans anticipated award announcements:
May 2018

Download the latest version of Adobe Reader DC ® to complete the application form. This version of Adobe is available free of charge.

Caltrans District staff is available during the application period to discuss potential projects, answer questions, and help interested groups complete their applications. Refer to the District Contact List on Page 37 for contact information.

Grant Application Checklist

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

Required Application Documents (Required formats/templates are provided online at: http://www.dot.ca.gov/hq/tpp/grants.html)

- ☐ Application (Complete and submit the PDF form in the exact format provided online at http://www.dot.ca.gov/hq/tpp/grants.html - **Scanned or hard copies of the application will not be accepted**)
- ☐ Application Signature Page (print, sign, and scan this page in PDF format)
- ☐ Scope of Work (Microsoft Word format) – see pages 26 – 30
- ☐ Project Timeline (Microsoft Excel format) – see pages 31 – 32
- ☐ Third Party In-Kind Valuation Plan (if applicable) – see page 33
- ☐ Map of Project Area (a map of the project area is required to clearly identify the boundaries of the project area and to provide context for the project)

Supplemental Information:

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

- ☐ Graphics of Project Area (when applicable)
  - o Photographs, maps, planning diagrams, land use or design illustrations, or other relevant graphic representations of the proposed project area convey existing conditions and help to further explain the need for the grant.
- ☐ Letter(s) of Support
  - o If submitted, letters of support must be included with the application package. Letters received separate from the application package may not be considered. The letters should be addressed to the applicant. Such letters can come from community-based organizations, local governments, Native American Tribal governments, service agencies, and elected officials.

Grant Application Preview

Pages 19 – 25 provide a preview of the Adaptation Planning Grant Application form for FY 2018-19. Applicants can access the grant application form document at http://www.dot.ca.gov/hq/tpp/grants.html.

APPLICATION PREVIEW

CALTRANS ADAPTATION PLANNING GRANT APPLICATION
FY 2018-19

PROJECT TITLE	
PROJECT LOCATION (city and county)	

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

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

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

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

APPLICATION PREVIEW

CALTRANS ADAPTATION PLANNING GRANT APPLICATION
FY 2018-19

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

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

APPLICATION PREVIEW

CALTRANS ADAPTATION PLANNING GRANT APPLICATION FY 2018-19

1. **Project Description (100 words maximum):** Briefly summarize project.

A good project description is one that can summarize the project in a clear and concise manner, including major deliverables and any connections to state or regional planning efforts.

2. Project Justification: Describe the problems or deficiencies the project is attempting to address, as well as how the project will address the identified problems or deficiencies. Additionally, list the ramifications of not funding this project.

3. Grant Specific Objective: Explain how the proposed project addresses the grant specific objectives of the Adaptation Planning Grant Program.

Applicants should demonstrate how the proposed effort would integrate grant program considerations:

- Executive Order S-13-08
- Executive Order B-30-15
- California Transportation Plan (CTP) 2040
- Regional Transportation Plan Guidelines
- General Plan Guidelines
- Integrated Climate Adaptation and Resiliency Program (ICARP)
- Addressing Disadvantaged Communities

Applicants must demonstrate how the proposed effort will accomplish the following:

- Demonstrate on-going collaboration and partnerships between sectors and jurisdictions, across levels of government at a regional scale
- Identification of co-benefits of adaptation work, such as benefits to public health, natural ecosystems, air quality, social equity, the economy, or reductions in greenhouse gas emissions

Applicants should demonstrate how the proposed effort will accomplish one or more of the following:

- Identify system-wide climate change impact risks to multimodal transportation infrastructure in the project area
- Identify specific transportation infrastructure vulnerabilities to climate change impacts
- Identify adaptation strategies and specific actions to remedy identified climate related vulnerabilities
- Advance the planning of specific climate adaptation projects, such as developing a cost estimate or conceptual design
- Include economic analysis and/or cost-benefit analysis of identified adaptation strategy or strategies

Competitive applications should include one or more of the following:

- Identification of and benefit to disadvantaged/and or vulnerable communities, including transit-dependent populations (when applicable)
- Demonstration of collaboration and partnerships with diverse external stakeholders such as businesses, non-governmental agencies, community-based organizations, and community residents

4. Project Management (See Scope of Work and Project Timeline samples and checklists for requirements)

A. Scope of Work in required Microsoft Word format
B. Project Timeline in required Microsoft Excel format

See Scope of Work and Project Timeline samples and checklists for requirements (Grant Application Guide, Pages 26 - 32), also online at: http://www.dot.ca.gov/hq/tpp/grants.html

Application Signature Page

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

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

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

Scope of Work Requirements

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

The scope of work must:

- ☐ Use the FY 2018-19 template provided and in Microsoft Word format.
- ☐ List all tasks and sub-tasks using the same title as stated in the project timeline.
- ☐ Include task and sub-task numbers in accurate and proper sequencing; consistent with the project timeline.
- ☐ List the responsible party for each task and subtask and ensure that it is consistent with the project timeline (i.e. applicant, sub-applicant, or consultant).
- ☐ Include a thorough Introduction to describe the project and project area demographics, including a description of the vulnerable populations involved with the project, if applicable.
- ☐ Include a thorough and accurate narrative description of each task and sub-task.
- ☐ Include a task for a kick-off meeting with Caltrans at the start of the grant.
- ☐ Include a task for procurement of consultants, if consultants are needed.
- ☐ Include a task for invoicing.
- ☐ Include a task for quarterly reporting to Caltrans.
- ☐ Include detailed public participation and services to diverse communities.
- ☐ Include project implementation/next steps.
- ☐ List the project deliverable for each task in a table following each task and ensure that it is consistent with the project timeline.
- ☐ Exclude environmental, complex design, engineering work, and other ineligible activities.

Sample Scope of Work

City of Can Do Adaptation Plan

The City of Can Do Adaptation Plan will provide a conceptual climate change adaptation planning foundation for integration into the City's General Plan (per the requirements of 379). The Plan will develop a framework for addressing known existing climate change vulnerabilities of the community. The city intends to gather public input through interactive community workshops which will be the driving factor of the planning process, and will provide co-benefits including outreach and discussion with disadvantaged communities. The City of Can Do Adaptation Plan will contain planning information and projections, recommended strategies, and create conceptual designs. It is the City of Can Do's intent that once this plan is complete, it will lead to implementation and development of adaptation projects.

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

RESPONSIBLE PARTIES

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

OVERALL PROJECT OBJECTIVES

- Develop and analyze climate change vulnerability maps to identify at-risk transportation assets, resources, and transit-dependent populations within the city boundary.
- Identify interdependencies between the transportation system and other infrastructure and community services to highlight vulnerable areas with greatest possible consequences if damaged/impacted.
- Develop strategies to increase both physical and social resilience of the community's transportation system to climate change.
- Improve early warning systems for extreme weather events.
- Facilitate meetings between community residents, infrastructure owners/operators, and businesses to determine adaptation priorities, implementation timelines, and possible funding sources to increase the resilience of the transportation system.
- Develop conceptual designs for green adaptation solutions for transportation infrastructure

1. Project Initiation

Task 1.1: Project Kick-off Meeting

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

Task 1.2: Staff Coordination

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

Task 1.3: RFP for Consultant Services

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

Task 1.4: Identify Existing Conditions

- Gather existing vulnerabilities and background data by identifying opportunities and constraints as well as standards that should be used to guide preparation of the plan such as climate change projections (precipitation, sea level rise and storm surge, wildfires, and temperature), asset locations and information, existing and planned land uses, population characteristics, and travel projections within the City.
- Inventory and evaluate vulnerable transportation infrastructure, resources, and transit-dependent communities.
- Responsible Party: Consultant

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

2. Public Outreach

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

Task 2.1: Community Workshop #1

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

Task 2.2: Community Workshop #2

- An interactive workshop that will use clicker technology, modeling tools, and maps to present adaptation strategies and project alternatives. Community will decide on preferred alternatives, where specific adaptation plans are possible. Continue to solicit feedback from the community to shape Task 3.3, Draft.
- Responsible Party: Consultant

Task 2.3: Community Workshop #3

- Present Draft Concept and Report and continue to solicit feedback for public comments to shape Task 3.3, Draft Adaptation Plan and Task 3.6, Final Adaptation 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. Adaptation Plan

Task 3.1: Develop Adaptation Concept

- Based on the existing conditions report and the community input from Workshop #1, priorities for analysis and concept adaptation strategies will be developed. Conceptual adaptation designs will incorporate natural infrastructure planning and will include plans, sketches, and photos.
- Responsible Party: Consultant

Task 3.2: Develop Conceptual Design Concept Alternatives

- A sample project with up to three adaptation 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 Adaptation Plan

- Based on the adaptation priorities and strategies agreed upon 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 priority projects.
- Responsible Party: Consultant

Task 3.5: Joint Planning/Emergency Management Advisory Commission Meeting

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

Task 3.6: Final Adaptation 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 Adaptation Plan at the City Council meeting. Resolve any critical issues. Adopt final City of Can Do Adaptation Plan.
- Responsible Party: The City/Consultant

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

4. Fiscal Management

Task 4.1: Invoicing

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

Task 4.2: Quarterly Reports

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

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

Project Timeline Requirements

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. Applications with missing components will be at a competitive disadvantage.

The project timeline must:

- ☐ Use the FY 2018-19 template provided (do not alter the template) and submitted in Microsoft Excel format.
- ☐ List all tasks and sub-tasks with the same title as stated in the scope of work.
- ☐ Include task and sub-task numbers in proper sequencing, consistent with the scope of work.
- ☐ Include a task for a kick-off meeting with Caltrans at the start of the grant.
- ☐ Include a task for procurement of consultants, if consultants are needed.
- ☐ Include a task for quarterly reporting to Caltrans.
- ☐ Include a task for invoicing.
- ☐ List the responsible party for each task and sub-task, and ensure that it is consistent with the scope of work (i.e. applicant, sub-applicant, or consultant).
- ☐ Complete all budget columns as appropriate: Total Cost, Grant Amount, Local Cash Match, and if applicable, Local In-Kind Match.
- ☐ State a realistic total cost for each task based on the work that will be completed. Project management/administration costs should not exceed 5 percent of the grant amount requested.
- ☐ Include a proportional spread of local match amongst each task. The match amount must be at least the minimum amount required by the grant program.
- ☐ Identify the indirect cost rate if indirect costs will be reimbursed.
- ☐ Include a best estimate of the amount of time needed to complete each task.
- ☐ Start the timeframe at the beginning of the grant period (July 2018 for MPO/RTPAs; October 2018 for non-MPO/RTPAs).
- ☐ Include the timeframe extend all the way to the end of the grant period (June 2021 for MPO/RTPAs; February 2021 for non-MPOs/RTPAs).
- ☐ List the deliverable for each task as stated in the scope of work.

California Department of Transportation
Adaptation Planning Grants
Fiscal Year 2018-19

SAMPLE PROJECT TIMELINE

Project Title	City of Can Do Adaptation Plan	Grantee	*The RTPA of Can Do*

Task Number	Task Title	Responsible Party	Budget: Total Cost	Budget: Grant Amount	Budget: Local Cash Match	Budget: Local In-Kind Match	FY 2018/19 J A S O N D J F M A M J	FY 2019/20 J A S O N D J F M A M J	FY 2020/21 J A S O N D J F M A M J	Deliverable
1.0	***Project Initiation***									
1.1	Project Kick-off Meeting	The City	$970	$776	$194	$0				Meeting Notes
1.2	Staff Coordination	The City	$3,000	$2,400	$600	$0				Monthly Meeting Notes
1.3	RFP for Consultant Services	The City	$1,500	$1,200	$300	$0				Copy of Procurement Procedures and Executed Consultant Contract
1.4	Identify Existing Conditions	Consultant	$2,400	$1,920	$480	$0				Existing Conditions Report
2.0	***Public Outreach***									
2.1	Community Workshop #1	Consultant	$17,743	$13,949	$3,200	$349				PowerPoint Presentation, Workshop Summary, Photos
2.2	Community Workshop #2	Consultant	$17,744	$13,995	$3,199	$350				PowerPoint Presentation, Workshop Summary, Photos
2.3	Community Workshop #3	Consultant	$17,743	$14,194	$3,530	$18				PowerPoint Presentation, Workshop Summary, Photos
3.0	***Adaptation Plan***									
3.1	Develop Adaptation Concept	Consultant	$25,000	$20,000	$5,000	$0				Sketches, illustrations
3.2	Develop Conceptual Design Concept Alternatives	Consultant	$12,000	$9,600	$2,400	$0				Sketches, illustrations
3.3	Draft Adaptation Plan	Consultant	$18,000	$14,400	$3,600	$0				Draft report
3.4	Identify Potential Funding Sources	Consultant	$1,500	$1,200	$300	$0				Funding Source Report
3.5	Joint Planning/Emergency Management Advisory Commission Meeting	The City/ Consultant	$2,200	$1,760	$440	$0				PowerPoint Presentation, Workshop Summary, Photos
3.6	Final Adaptation Plan	Consultant	$7,000	$5,600	$1,400	$0				Final Report
3.7	City Council Adoption	The City/ Consultant	$500	$400	$100	$0				Meeting Notes
4.0	***Fiscal Management***									
4.1	Invoicing	The City	$1,000	$800	$200	$0				Invoice Packages
4.2	Quarterly Reports	The City	$1,200	$960	$240	$0				Quarterly Reports
	TOTALS		**$129,054**	**$103,154**	**$25,183**	**$717**				

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

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

Third Party In-Kind Valuation Plan Requirements

Third Party In-Kind Valuation Plan Checklist

The third party in-kind valuation plan is an itemized breakdown by task and sub-task and serves as documentation for the goods and/or services to be donated. The third party in-kind valuation plan must be consistent with the information provided on the Project Timeline and Grant Application Cover Sheet.

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

The third party in-kind valuation plan must:

- ☐ Use the FY 2018-19 template provided (do not alter the format).
- ☐ Name the third party in-kind local match provider.
- ☐ Describe how the third party in-kind local match will be tracked and documented for accounting purposes.
- ☐ Describe the fair market value of third party in-kind contributions and how the values were determined.
- ☐ Include an itemized breakdown by task and sub-task consistent with the project timeline.
- ☐ Identify consistent in-kind local match amount reflected on the grant application cover sheet.

Sample Third Party In-Kind Valuation Plan

Sample

Third Party In-Kind Valuation Plan

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

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

Local Resolution Requirements

Local Resolution Checklist (Not Applicable to MPO/RTPAs)

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

The local resolution must:

- ☐ State the title of the project
- ☐ State the job title of the person authorized to enter into a contract with Caltrans on behalf of the applicant
- ☐ NOT be more than a year old or will not be accepted
- ☐ Include signature by the governing board of the grant applicant

CITY OF CAN DO
RESOLUTION NO. 009-2012

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

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

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

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

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

APPROVED AND PASSED this 4th day of August, 2015.

John Doe, Chair

ATTEST:

Eileen Wright, Executive Director

Caltrans District and Regional Agency Boundaries Map

Caltrans District Contact List

DISTRICT	GRANT CONTACT	ADAPTATION CONTACT	MPO/RTPA
DISTRICT 1 1656 Union Street P.O. Box 3700 Eureka, CA 95502	**Mendocino and Lake Counties—** Rex Jackman (707) 445-6412 Email: rex.jackman@dot.ca.gov **Del Norte and Humboldt Counties—** Kevin Tucker (707) 441-5770 Email: kevin.tucker@dot.ca.gov	Kevin Tucker (707) 441-5770 kevin.tucker@dot.ca.gov	• Del Norte LTC • Humboldt CAOG • Lake CCAPC • Mendocino COG
DISTRICT 2 1657 Riverside Drive Redding, CA 96001	Kathy Grah (530) 229-0517 Email: kathy.grah@dot.ca.gov	Kathy Grah (530) 229-0517 Kathy.grah@dot.ca.gov	• Lassen CTC • Tehama CTC • Modoc LTC • Trinity CTC • Plumas CTC • Siskiyou CLTC • Shasta RTA
DISTRICT 3 703 B Street Marysville, CA 95901	Kevin Yount (530) 741-4286 Email: kevin.yount@dot.ca.gov Jeff Morneau (530) 741-4543 Email: jeffrey.morneau@dot.ca.gov	Gary Arnold (530) 741-4004 gary.arnold@dot.ca.gov	• Butte CAG • Sierra LTC • Colusa CTC • Glenn CTC • El Dorado CTC • Nevada CTC • Placer CTPA • Sacramento Area COG • Tahoe MPO
DISTRICT 4 111 Grand Avenue P.O. Box 23660 Oakland, CA 94623-0660	Becky Frank (510) 286-5536 Email: becky.frank@dot.ca.gov Blesilda Gebreyesus (510) 286-5575 Email: blesilda.gebreyesus@dot.ca.gov	Dick Fahey (510) 286-5761 dick.fahey@dot.ca.gov	• Metropolitan Transportation Commission
DISTRICT 5 50 Higuera Street San Luis Obispo, CA 93401-5415	Hana Mengsteab (805) 549-3130 Email: hana.mengsteab@dot.ca.gov	Terri Persons (805) 549-3103 terri.persons@dot.ca.gov	• Monterey TAMC • Santa Cruz CCRTC • San Benito COG • Association of Monterey County Bay Area Governments • Santa Barbara CAG • San Luis Obispo COG

DISTRICT	GRANT CONTACT	ADAPTATION CONTACT	MPO/RTPA
DISTRICT 6 1352 W. Olive Avenue P.O. Box 12616 Fresno, CA 93778-2616	Paul Marquez (559) 445-5867 Email: paul-albert.marquez@dot.ca.gov	Paul Marquez (559) 445-5867 paul-albert.marquez@dot.ca.gov	• Fresno COG • Tulare CAG • Kern COG • Kings CAG • Madera CTC
DISTRICT 7 100 S. Main Street Los Angeles, CA 90012	Charles Lau (213) 897-0197 Email: charles.lau@dot.ca.gov	Wilford Melton (213) 897-1344 wilford.melton@dot.ca.gov	• Southern California Association of Governments
DISTRICT 8 464 W. 4th Street Mail Station 722 San Bernardino, CA 92401	Rebecca Forbes (909) 388-7139 Email: rebecca.forbes@dot.ca.gov	Ricky Rivers (909) 806-3298 ricky.rivers@dot.ca.gov	• Southern California Association of Governments
DISTRICT 9 500 S. Main Street Bishop, CA 93514	Ryan Dermody (760) 872-0691 Email: ryan.dermody@dot.ca.gov	Mark Heckman (760) 872-1398 mark.heckman@dot.ca.gov	• Inyo LTC • Mono LTC • Eastern Kern (COG)
DISTRICT 10 1976 E. Dr. Martin Luther King Boulevard P.O. Box 2048 Stockton, CA 95201	**Mountain Counties—** Carl Baker (209) 948-7325 Email: carl.baker@dot.ca.gov **Merced, San Joaquin, Stanislaus Counties—** Tom Dumas (209) 941-1921 Email: tom.dumas@dot.ca.gov	Lynn O'Connor (209) 948-3975 lynn.oconnor@dot.ca.gov	• Alpine County LTC • Amador CTC • Calaveras COG • Mariposa LTC • Merced CAG • Tuolumne CTC • San Joaquin COG • Stanislaus COG
DISTRICT 11 4050 Taylor Street Mail Station 240 San Diego, CA 92110	**San Diego County—** Barby Valentine (619) 688-6003 Email: barbara.valentine@dot.ca.gov **Imperial County—** Beth Landrum (619) 403-3217 Email: bethlandrum@dot.ca.gov	Ilene Gallo (619) 688-6460 llene.gallo@dot.ca.gov	• San Diego Association of Governments • Southern California Association of Governments
DISTRICT 12 1750 E. 4th Street Santa Ana, CA 92705	Yatman Kwan (657) 328-6277 Email: yatman.kwan@dot.ca.gov Marlon Regisford (657) 328-6288 Email: marlon.regisford@dot.ca.gov	Yatman Kwan (657) 328-6277 yatman.kwan@dot.ca.gov	• Southern California Association of Governments