

CALTRANS SUSTAINABLE TRANSPORTATION
PLANNING
GRANT PROGRAM



FY 2017-2018
Grant Application Guide

STRATEGIC PARTNERSHIPS
SUSTAINABLE COMMUNITIES



Application Deadline
November 4th, 2016 at 5:00 PM

California Department of Transportation
Division of Transportation Planning

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Sustainable Transportation Planning Grant Program

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

Current significant efforts were also considered during Grant Program development, such as:

- California Transportation Infrastructure Priorities Vision and Core Concepts;
- State Smart Transportation Initiative Assessment and Recommendations;
- Caltrans Program Review Major Actions;
- California Transportation Plan (CTP) 2040 Vision and Goals; and,
- Smart Mobility 2010 Principles.

The Grant Programs Overarching Objectives were also identified to ensure consideration of these major efforts in transportation planning, including: **Sustainability, Preservation, Mobility, Safety, Innovation, Economy, Health, and Equity.**

In addition, grant administration processes have been further streamlined and made consistent to benefit our partners and District grant managers. Most notable is the earlier release date of this Grant Application Guide, the earlier application deadline, and an earlier grant award announcement date. With this advanced process, grant recipients can anticipate starting project activities early in Fiscal Year (FY) 2017-2018, pending State Budget approval.

The intent and amount of funding available for the Sustainable Transportation Planning Grant Program remains unchanged from previous years. Caltrans still provides transportation planning grants to promote a balanced, comprehensive multimodal transportation system that promotes sustainability and these grants may still be used for a wide range of transportation planning purposes that address local, regional, and interregional transportation needs and issues. The implementation of these grants should ultimately lead to the adoption, initiation, and programming of transportation improvements.

The Caltrans Division of Transportation Planning provides the following transportation planning grants:

- ❖ Strategic Partnerships
- ❖ Sustainable Communities for MPOs & RTPAs
- ❖ Sustainable Communities for Cities, Counties, Transit Agencies, and Tribal Governments

Integrating Goals and Objectives

All grant applications must align with the Caltrans Mission, Grant Program Overarching Objectives, and the CTP 2040 Vision. The State and Federal goals provide the framework for the Strategic Partnerships and Sustainable Communities grants. A competitive grant application addresses and articulates how the project relates to the Caltrans Mission, Grant Program Overarching Objectives, CTP 2040 Vision, and multiple State and Federal goals. The Grant Specific Objectives on Page 14 indicate the specific purpose of each grant, and should also be considered when preparing an application. Overall, successful grant applications clearly demonstrate how the proposed project integrates the State and Federal goals and the Grant Program Overarching objectives.

State Transportation Planning Goals¹

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

Federal Transportation Planning Goals²

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.
9. Improve the resiliency and reliability of the transportation system and reduce or mitigate stormwater impacts of surface transportation.
10. Enhance travel and tourism.

California Transportation Plan 2040 Vision

California's transportation system is safe, sustainable, and globally competitive. It provides reliable and efficient mobility and accessibility for people, goods, and services while meeting our greenhouse gas emission reduction goals and preserving the unique character of California's communities.. This integrated, connected, and resilient multimodal system supports a thriving economy, human and environmental health, and social equity.

¹ Source: California Transportation Plan 2040

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

Promoting Sustainable Communities in California

Caltrans supports Senate Bill 375 (SB 375, 2008) Sustainable Communities Strategy (SCS) efforts. Applications should complement SCS efforts, if they exist in the geographical region. The SCS is a tool that is intended to help communities reduce transportation related greenhouse gas emissions and assist local and regional governments in creating sustainable communities for residents throughout the State. Information on SCS efforts can be found at: <http://www.arb.ca.gov/cc/sb375/sb375.htm>.

Although most rural areas of the State are not subjected to SB 375/SCS requirements, Caltrans still promotes the development of sustainable communities in these areas of the State. Eligible rural agencies are strongly encouraged to apply for Sustainable Communities grants.

Addressing Environmental Justice and Disadvantaged Communities^{3,4}

Caltrans strives for environmental justice in all of its activities. In the past, low-income and minority communities bore many of the negative impacts of transportation projects. It is the goal of environmental justice to ensure that when transportation decisions are made, low-income and minority communities have a full opportunity to participate in the decision-making process, and they receive an equitable distribution of benefits and not a disproportionate share of burdens. Caltrans encourages eligible applicants to apply for Sustainable Communities grants to address transportation needs and deficiencies in disadvantaged communities. CalEnviroScreen Version 2.0 is used to verify the disadvantaged communities that will benefit from awarded grant projects. Information about environmental justice and disadvantaged communities can be found at:

CalEnviroScreen Version 2.0:

<http://oehha.maps.arcgis.com/apps/Viewer/index.html?appid=dae2fb1e42674c12a04a2b302a080598>

Desk Guide – Environmental Justice in Transportation Planning Investments:

http://www.dot.ca.gov/hq/tpp/offices/ocp/documents/ej_titlevi_files/EnvironmentalJusticeDeskGuideJan2003.pdf

Community Primer on Environmental Justice & Transportation Planning:

http://www.dot.ca.gov/hq/tpp/offices/ocp/documents/ej_titlevi_files/EJ_Primer_4_10_WEB.pdf

Complete Streets and Smart Mobility Framework

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

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

SMF: <http://www.dot.ca.gov/hq/tpp/offices/ocp/smf.html>

³ Source: Desk Guide – Environmental Justice in Transportation Planning Investments (2003)

⁴ Source: Community Primer on Environmental Justice & Transportation Planning (2008)

Climate-Ready Transportation

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

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

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

Safeguarding California – <http://resources.ca.gov/climate/safeguarding/>

California Climate Adaptation Planning Guide –
http://resources.ca.gov/climate/safeguarding/adaptation_policy_guide/

Sustainable Transportation Planning Grant Summary Chart

GRANT	FUND SOURCE	PURPOSE	WHO MAY APPLY	LOCAL MATCH
<p style="text-align: center;">Strategic Partnerships</p>	<p>Federal Highway Administration— State Planning and Research, Part 1</p> <p style="text-align: center;">Budget Federal funds \$1,500,000</p> <p style="text-align: center;">Grant Min \$100,000</p> <p style="text-align: center;">Grant Max MPOs \$1,000,000, All others \$500,000</p>	<p>Funds transportation planning studies of interregional and statewide significance, in partnership with Caltrans.</p>	<p>The following are eligible to apply as a primary applicant:</p> <ul style="list-style-type: none"> • Metropolitan Planning Organizations and Regional Transportation Planning Agencies (MPOs/RTPAs) <p>The following are eligible to apply as a sub-applicant:</p> <ul style="list-style-type: none"> • MPOs/RTPAs • Transit Agencies • Universities and Community Colleges • Native American Tribal Governments • Cities and Counties • Community-Based Organizations • Non-Profit Organizations (501.C.3) • Other Public Entities** 	<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 eligible in-kind contribution. Additional local funds above the minimum local match are desired.</p>
<p style="text-align: center;">Sustainable Communities</p>	<p>Federal Transit Administration (FTA), Section 5304 & State Highway Account (SHA)</p> <p style="text-align: center;">Budget Federal/State funds \$7,800,000</p> <p style="text-align: center;">Grant Min \$50,000</p> <p style="text-align: center;">Grant Max MPOs \$1,000,000, All others \$500,000</p>	<p>Funds studies of multimodal transportation issues having statewide, interregional, regional or local significance to assist in achieving the Caltrans Mission and overarching objectives.</p>	<p>The following are eligible to apply as a primary applicant:</p> <ul style="list-style-type: none"> • MPOs/RTPAs • Transit Agencies; Cities and Counties; Native American Tribal Governments <p>The following are eligible to apply as a sub-applicant:</p> <ul style="list-style-type: none"> • MPOs/RTPAs • Transit Agencies • Universities and Community Colleges • Native American Tribal Governments • Cities and Counties • Community-Based Organizations • Non-Profit Organizations (501.C.3) • Other Public Entities** 	<p>11.47% minimum (in cash or an in-kind* contribution). The entire minimum 11.47% local match may be in the form of an eligible in-kind contribution.</p>

* For in-kind contribution requirements, refer to Page 12 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).

General Information and Requirements

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

Accounting Requirements

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

Indirect and Direct Costs

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

If a grantee, including sub-recipients and third party contractors/consultants, are seeking reimbursement of indirect costs, they must annually submit an ICAP or an Indirect Cost Rate Proposal (ICRP) to Caltrans Audits and Investigations for review and approval prior to reimbursement. An ICAP or ICRP must be prepared and submitted 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.

Eligible Activities and Expenses

Direct costs must be used *only for transportation planning-related activities*. Please consult with Caltrans District staff for more information on whether costs are eligible for funding. Some examples of eligible costs include:

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

Travel Expenses

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

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

Ineligible Activities and Expenses

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

Ineligible activities and expenses include:

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

Third Party Contracts

The agreements between a grantee and a sub-recipient, consultant, or sub-consultant are 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 2 CFR, Part 200 and Local Assistance Procedures Manual, Chapter 10. In addition, work can only be contracted if it has been stated in the applicant’s Scope of Work and Project Timeline. A grantee is fully responsible for all work performed by its sub-recipient, consultant, or sub-consultant. Caltrans 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 2 CFR, Part 200 and 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 links:

2 Code of Federal Regulations (CFR), Part 200 - http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl

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

Title VI Non-Discrimination Requirement

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

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

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

Caltrans is responsible for complying with Civil Rights requirements and for monitoring funding compliance of any sub-applicants. Grant recipients of federal funds, primarily Metropolitan Planning

Organizations (MPOs) and Regional Transportation Planning Agencies (RTPAs), are required to comply with FTA Circular 4702.1B, and must submit a copy of the agency's governing board-approved Title VI Program. Caltrans staff will contact grantees to ensure this requirement is satisfied.

Disadvantaged Business Enterprise Reporting

Grant recipients of federal funds, primarily MPOs and RTPAs, are required to report any Strategic Partnerships and/or Sustainable Communities contracting opportunities that may involve Disadvantaged Business Enterprise (DBE) participation. DBE reporting is required twice a year: April 1st and October 1st.

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

Pre-Award Audit

The Strategic Partnerships and Sustainable Communities grants are available in amounts up to \$500,000 (\$1 million for MPOs). However, any awarded grant in excess of \$250,000 may require a pre-award audit. The pre-award audit is to ensure that recipients of state and federal funds maintain adequate financial management systems prior to receiving the funds. Pre-award audits may be required of new grantees, agencies that have not recently been audited, agencies that have undergone prior audits with significant weaknesses or deficiencies in their financial management systems, or those determined to be a higher risk to Caltrans.

If a pre-award audit is needed, the local Caltrans District Office will contact the grantee to facilitate the appropriate action. This has the potential to delay the start of the project and applicants are encouraged to determine if the delay will hinder their ability to complete the project by the terms specified in the agreement.

Additional Performance Considerations

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

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. As stated in the previous section, inadequate performance by grantees, sub-recipients, or consultants may hinder the grantee's ability to leverage future grant awards.

Ownership

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

Grant Program Overview

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

Sub-applicants are encouraged to work far in advance of the application deadline with the appropriate MPO or RTPA to coordinate application development. It is also beneficial for sub-applicants to be informed of the appropriate MPO or RTPA process and schedule, as they may differ slightly from 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.

Who May Apply – Strategic Partnerships

Only MPOs and RTPAs that have a current Master Fund Transfer Agreement (MFTA) with ORP may apply directly for the Strategic Partnerships grants. **Eligible sub-applicants include:** MPOs and RTPAs, universities and community colleges, Native American Tribal Governments, cities and counties, community-based organizations, non-profit organizations (501.c.3), and public entities.

Who May Apply – Sustainable Communities

Eligible primary applicants for the Sustainable Communities grants include: MPOs and RTPAs; transit agencies; cities and counties, and Native American Tribal Governments. **Eligible sub-applicants** include: MPOs and RTPAs, universities and community colleges, Native American Tribal Governments, cities and counties, community-based organizations, non-profit organizations (501.c.3), and public entities.

For awarded grantees that do not have a current MFTA with ORP (i.e. cities, counties, transit agencies, Tribal Governments), Caltrans will contract directly with the primary grant recipients through the Restricted Grant Agreement (RGA) process.

Project Start Dates

All awarded grant funds must be programmed during the State's 2017-18 Fiscal Year. The project start date depends on the method of contracting with Caltrans. For MPOs and RTPAs with a current MFTA, work may begin as early as July 2017. For other grant recipients that will undergo the RGA contracting process, work may begin as early as October 2017, 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. Awardees are required to submit all supporting materials and a signed agreement or risk forfeiting the grant award.

The following section provides the project timeline constraints for both methods of contracting with Caltrans.

Restricted Grant Agreement Project Timeline

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

October 2017

- Anticipated start date, pending State Budget approval

February 28, 2020

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

April 28, 2020

- 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 2017

- Anticipated start date, pending State Budget approval

June 30, 2020

- Project end date
- 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.

Overall Work Program (for MPOs/RTPAs Only)

All MPOs and RTPAs must have the entire grant award and local match programmed in the Fiscal Year 2017-18 OWP no later than May 1, 2018. Approved grant projects must be identified as **individual** Work Elements in the current OWP and in future OWPs until the project is completed.

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 expenditure of local match must be clearly identified in the Project Timeline. The minimum required local match (i.e., 11.47% or 20%) 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 Strategic Partnerships grants require the applicant to provide a minimum 20 percent non-federal local match. The Sustainable Communities grants require the applicant to provide a minimum 11.47 percent local match—federal fund grant recipients, primarily MPOs, must provide a non-federal local match and other grantees may use any source of funds for the local match. The minimum local match is a percentage of the total project cost (i.e., minimum local match amount plus the grant amount). The local match can be all cash, all third party in-kind contributions, or a combination of the two.

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 Pages 37-38.

Quarterly 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.

Final Product

All final reports funded through the Sustainable Transportation Planning Grant Program shall credit the FTA, FHWA, or 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.

Review Process

All applications submitted to the Sustainable Transportation Planning Grant Program go through multiple levels of review including reviews by Caltrans District and HQ staff, and State and Federal interagency review committees. District staff reviews all applications for content, submission of proper documentation, and overall relationship to regional and local planning efforts. The District rates each application and provides comments to inform the 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. Once the grant review committees evaluate, rank, and select the best applications for grant funding, final recommendations are presented to Caltrans management for approval.

Strategic Partnerships

Funding

The Strategic Partnerships grants are funded by the FHWA (State Planning and Research, Part I). Approximately \$1.5 million will be available for the Fiscal Year 2017-18 grant cycle. For the Strategic Partnerships grant, the minimum grant award is \$100,000 and the maximum grant award cannot exceed \$500,000. MPOs may apply for a grant maximum of \$1 million.

Grant Specific Objective

The objective of the Strategic Partnership grant program is to: achieve the Caltrans Mission and Grant Program Overarching Objectives on Page 1. Applicants should demonstrate that the proposed effort will:

1. encourage regional agencies to partner with Caltrans to identify and address statewide/interregional transportation deficiencies in the state highway system,
2. strengthen government-to-government relationships,
3. and result in programmed system improvements.

Example Strategic Partnerships Project Types

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

Sustainable Communities

Funding

The Sustainable Communities grants are funded by the FTA (Section 5304) and the State Highway Account (SHA). Funding distribution will depend on the quality and number of applications in each applicant pool (i.e., MPOs, RTPAs, cities and counties, transit agencies, and Native American Tribal Governments).

Approximately \$7.8 million will be available for the Fiscal Year 2017-18 grant cycle. Of the estimated \$7.8 million available, the MPO/RTPA pool will consist of an estimated \$2.8 million in FTA 5304 funding. The remaining \$5.0 million will be funded from the SHA and cities, counties, transit agencies, and Tribal Governments will be eligible to apply. For the Sustainable Communities Grant, the minimum grant award is \$50,000 and the maximum grant award cannot exceed \$500,000. MPOs may apply for a grant maximum of \$1 million.

Grant Specific Objective

The objective of the Sustainable Communities grant program is to: achieve the Caltrans Mission and Grant Program Overarching Objectives on Page 1. Applicants should demonstrate that the proposed effort will:

1. identify and address mobility deficiencies in the multimodal transportation system including the mobility needs of environmental justice and disadvantaged communities,
2. encourage stakeholder collaboration,
3. involve active public engagement,
4. integrate Smart Mobility 2010 concepts,
5. and ultimately result in programmed system improvements.

Student Internships

Student internships provide students with the opportunity to gain work experience 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 objective of these internships is to:

1. expose students to the skills, knowledge and abilities associated with incorporating transit and transportation issues and priorities into planning for rural sustainable communities,
2. assist transit authorities and transportation agencies in building capacity in sustainability issues, and
3. develop interest and creativity to respond to difficulties and challenges faced by rural areas dealing with poverty, public health, isolation and social justice issues.

The application, including the Scope of Work and Project Timeline, should include administration of the internship program (i.e., recruitment, orientation, performance evaluation, etc.) and the specific intern assignments to be completed. However, the administrative costs should be limited, with the larger portion of costs allocated to intern wages and activities.

Only rural transit agencies may apply for student internships.

Example Sustainable Communities Grant Project Types

- Studies that advance a community's effort to reduce transportation related greenhouse gases
- Studies that assist transportation agencies in creating sustainable communities
- Community to school studies or safe routes to school plans
- Studies that advance a community's effort to address the impacts of climate change and sea level rise
- Jobs and affordable housing proximity studies
- Context-sensitive streetscapes or town center plans
- Complete street plans
- Bike and pedestrian safety enhancement plans
- Traffic calming and safety enhancement plans
- Corridor enhancement studies
- Health equity transportation studies
- Climate change adaptation plans for transportation facilities
- Transit plans, surveys, and research
- Identification of policies, strategies, and programs to preserve transit facilities and optimize transit infrastructure
- Studies that evaluate accessibility and connectivity of the multimodal transportation network
- Short range transit development plans
- Transit marketing plans
- Social service improvement studies
- Student Internships (Only for Rural Transit Agencies)
- Studies that address environmental justice issues in a transportation related context
- Station area planning
- First Mile/Last Mile project development planning

- Planning for zero or near zero emission vehicles
- Integration of transportation and environmental planning

Application Preparation

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

Required Documents

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

- Application
- Scope of Work
- Project Timeline

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

Additional Documents

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

- **Letters of Support**
 - If submitted, letters of support must be included with the application package. Letters received separate from the application package may not be considered. The letters should be addressed to the applicant. Such letters can come from community-based organizations, local governments, Native American Tribal governments, service agencies, and elected officials.
- **Photographs**
 - Photographs of the proposed project area convey existing conditions and help to further explain the need for the grant.
- **Safety Data**
 - Statistical data such as pedestrian-vehicle injuries/crashes or fatalities resulting from lack of safe infrastructure, unsafe pedestrian behavior, vehicle and driver factors or other road conditions that contribute to possible injuries. This information may be obtained from police reports, transit agencies, National Highway Traffic Administration or the Governor's Highway Safety Association.

Application Submittal Instructions

An applicant may submit more than one application. However, any **application** can only be submitted to either the Strategic Partnerships or Sustainable Communities Grants. Caltrans Headquarters staff checks all applications between grant programs for duplication.

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 Office contact must be copied (refer to the **District Contact List** on Page 42) and the subject line needs to identify the district number, grant program, and *brief* project title (e.g., D1, SP, City of Can Do Planning Project). The required items outlined on the Grant Application Checklist on Page 19 must be attached to the e-mail as separate documents.

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

**APPLICATIONS MUST BE SUBMITTED VIA E-MAIL NO LATER THAN
FRIDAY, NOVEMBER 4, 2016
BY 5:00 PM**

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

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

Anticipated award announcements: **Spring 2017** (all awards are contingent upon approval of the State Budget)

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

Caltrans District Office staff is a valuable resource and will be available during the application period to answer questions and help interested groups complete their applications. Refer to the District Contact List on Page 42 for contact information.

Tips and Pointers for Writing a Successful Grant Application

- ✓ 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.
- ✓ **Overall Grant Application:** Clearly demonstrate how the project promotes State and Federal Transportation Planning Goals, *without stating the goals verbatim*. Also demonstrate how the project fits the appropriate Grant Specific Objective.
- ✓ **Project Summary:** Concisely describe the project in less than 100 words. Explain the “*Who, what, when, where, and why.*”
- ✓ **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.
- ✓ **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. Since indirect cost rates will not be approved until fiscal year 2017-2018, 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 appropriate minimum local match amount, calculated as a percentage of the total project cost (grant plus local match), is provided.