



REQUEST FOR PROPOSALS

Gateway of the Americas Freight Optimization Plan County Project No. 7268STPG

Requested by:

John A. Gay, PE
Director of Public Works

Prepared By:

Naomi Robles, MPA
Administrative Analyst III

Deadline for Submissions: Friday, January 9, 2026 by 4:00 P.M

Imperial County
Department of Public Works
155 S. 11th Street
El Centro, CA 92243

PROPOSALS MUST BE SUBMITTED ON THE SPECIFIED DATE AND TIME. THE COUNTY WILL NOT CONSIDER PROPOSALS RECEIVED AFTER THE DUE DATE. AN AMENDMENT IS CONSIDERED A NEW PROPOSAL AND WILL NOT BE ACCEPTED AFTER THE SPECIFIED DATE AND TIME.

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I. PURPOSE AND BACKGROUND

The County of Imperial Department of Public Works (Department) submitted a Sustainable Communities grant application to the FY 2025-2026 Sustainable Transportation Planning Grant Program for the Gateway of the Americas Freight Optimization Plan. Gateway of the Americas (Gateway) is a commercial and industrial planning area that surrounds the Calexico East Port of Entry (Calexico East POE), the second busiest commercial port of entry along the California-Baja California border, see Exhibit A. Gateway is a designated Freight Trade Zone (FTZ) that supports a substantial portion of regional and international freight movement and has significant role in Imperial County’s economy and bi-national trade. Unfortunately, Gateway faces significant threats to transportation resiliency and economic competitiveness.

Access to the Calexico East POE can be obtained through State Route 7 (SR-7) via Interstate 8 (I-8) or State Route 98 (SR-98). During peak hours, commercial vehicles stack along SR-7 and spill onto local roads idling for hours inadvertently causing passenger vehicles to bypass SR-7 and use a local road to cut into Calexico East POE. Traffic congestion, vehicle idling, and freight bottlenecks are negatively impacting surrounding Gateway businesses and regional freight mobility.

On July 1, 2025, the Department received notice that the application for funding of the Gateway of the Americas Freight Optimization Plan was awarded \$298,576 through the Sustainable Transportation Planning Grant, see Exhibit B.

The Department is seeking proposals from qualified and experience consultants to provide professional traffic engineering services to complete a corridor and freight optimization plan to determine critical capital improvements based on existing and planned land use to maximize commercial freight and passenger vehicle circulation and reduce greenhouse gas emissions and other harmful environmental determinants of health caused by traffic congestion and vehicles idling accessing the Calexico East POE; advancing the statewide priorities outlined in the California Freight Mobility Plan 2023, Climate Action Plan from Transportation Infrastructure, and the Climate Adaption Strategy.

Proposed Schedule of Events

Issue Request for Proposal	Tuesday, November 25, 2025
Deadline for Questions	Monday, December 15, 2025
Proposal Due	Friday, January 9, 2026
Consultant Selection	February 2026
Contract Award/Board Approval	March 2026
Notice to Proceed	March 2026
Final Document	April/May 2028

II. SCOPE OF WORK

Consultant shall be responsible for the Scope of Work described below and, prior to commencing services, shall review and understand the grant’s intended purpose, methodologies, and requirements to ensure proper alignment of the work.

Consultant shall analyze commercial/freight and passenger vehicle connectivity to the Calexico East POE and Gateway businesses and 1. Identify challenges and vulnerability to efficient traffic/goods movement and accessibility and land use coordination, 2. Quantify environmental hazards by type and amount, and 3. Develop a priority list of capital improvements to reduce vehicle idling, improve fuel efficiency through traffic movement, and reduce greenhouse gas emissions/other environmental determinants of health.

The Imperial County Department of Public Works (Public Works) has identified the Gateway County Service Area Advisory Committee (GAC) as a critical stakeholder in this project as the committees vested interest in southbound truck traffic was designated as a priority on July 8, 2024. However, the complexity of this transportation issue requires cross-jurisdictional collaboration that will include, but not be limited to, Caltrans, the United States General Services Administration, and the United State Customs and Border Protection as their facility and operational requirements will dictate recommended improvements as prioritized by GAC.

Task 1: Existing Conditions

Consultant, in collaboration with County, shall complete a comprehensive review of existing conditions (inclusive of available traffic data and pending improvements) and planned development according to recorded tentative and final maps. Consultant shall review traffic volume data and complete traffic counts for locations deemed high priority by County and Consultant and complete roadway analysis and issues identification. Consultant shall identify list of stakeholders to extend invitation to Advisory Committee meetings and determine extent of facility control/impact.

Task Deliverables
Existing Conditions Report
Stakeholder List

Task 2: Public Outreach

Consultant, in collaboration with County, shall coordinate a minimum of two public workshops at designated locations, and option for virtual attendance. Workshops will be publicized via County social media pages and notices sent to record property owners within Gateway. Consultant shall create and distribute public opinion survey regarding various circulation issues within Gateway. Surveys will be available for completion in person at public workshops, County offices, and online through a link posted on the County's website. All Public Outreach activities shall be conducted and disseminated in both English and Spanish.

Task Deliverables
Social Media notices
Gateway record property owner notices
Public Opinion Survey
Outreach sign in sheet/ attendance
Outreach Summary

Task 3: Gateway Transportation Advisory Committee Meetings

In collaboration with County, Consultant shall extend invitations to agencies within the Stakeholder list and conduct Advisory Committee meetings with stakeholders. Advisory committee meeting shall also include participation from the Chairman, or designee, of the Gateway County Service Area Advisory Committee. Consultant shall identify stakeholder requirements for improvement projects.

Task Deliverables
Advisory Committee agendas, sign in sheets, and meeting minutes
Advisory Committee Facility Requirements

Task 4: Needs Assessment

Consultant shall assess and determine current needs for data, capital improvements, stakeholder requirements and identify targeted environmental strategies for transportation resiliency. Consultant shall assess and determine County capacity and resources challenges, as determined by Stakeholder Facility Requirements, and identify strategies for resource planning for the successful completion of priority projects. Consultant shall identify and quantify environmental burdens and climate adaptation strategies for each recommended capital improvement project.

Task Deliverables
Problem/Strategy Identification
Capacity Planning Report

Task 5: Draft and Final Plan

Consultant shall prepare a draft Corridor and Freight Optimization Plan to identify priority capital improvement projects with corresponding performance metrics to track effectiveness of implemented projects in reducing climate impacts. Examples of capital improvement projects may include but not be limited to: use of intelligent transportation technology, synchronization of signalized intersections, use of traffic circles and/or capacity enhancing improvements to reduce stacking and idling of vehicles. Draft Plan shall be distributed to County and Advisory Committee for review and comment. Once approved by County and Advisory Committee, accepted draft will be posted on County social media pages for public input and final deadline to respond for comments/questions. After public input review, County shall approve Corridor and Freight Optimization Plan to be finalized.

Task Deliverables
Draft Corridor and Freight Optimization Plan
Advisory Committee comment matrix
Public participation comment matrix
Final Plan

Task 6: Board Review/Approval

County, in collaboration with consultant, shall prepare a board item for discussion and approval of the final Corridor and Freight Optimization Plan to be presented to the Imperial County Board of Supervisors.

Task Deliverables
Board Agenda
Meeting minutes/minute order

Final report shall credit Caltrans' financial participation on the cover and title page. An Americans with Disabilities Act of 1994 (ADA)-accessible electronic copy of final report shall be provided to Department.

III. RESPONSIBILITIES OF THE COUNTY

The County will provide direction, provide management oversight, and conduct administrative arrangements.

The County will pay an agreed upon amount normally within 30 days after receipt of an invoice.

The County will not provide dedicated workplace facilities, but upon request will provide a conference room for meetings with the Department and residents.

The County reserves the right to perform any portion of the scope of work by County personnel or other consultants should the County determine it would be in the best interest of the County to do so.

IV. PROPOSAL CONTENT AND INFORMATION

Proposal should be typed, organized and concise, yet comprehensive.

General Requirements

Provide a cover letter.

State the interpretation of the work to be performed. State a positive commitment to perform the work in the required manner and time frame; include a basic summary; and demonstrate an understanding of the project. Provide a statement that the offer is valid for at least a ninety (90) day period.

Provide the name(s) of the primary and/or alternate individuals authorized to respond to this Request for Proposal (RFP). Include titles, addresses, e-mail, and phone number. Include contact details on person who will be authorized to execute a contract with the County of Imperial if your firm is successful.

The Consultant is representing itself as a qualified professional for traffic engineering services. Therefore, it is acceptable to submit recommendations and comments for consideration on format, process, schedule, and additional content of projects. The County will consider comments and recommendations; however, it is not required to select any of the recommendations or comments.

Expensive bindings, colored displays, promotional materials, etc., are neither necessary nor desired. Emphasis should be concentrated on conformance to the RFP instructions, responsiveness to the RFP requirements, and on completeness and clarity of content.

Table of Contents

Include a table of contents with identification of each section and page number.

Summary of Qualifications and Experience

State whether the firm is local, regional, national or international.

Identify the owner(s) of the firm and legal status (sole proprietor, corporation, etc.).

Give the location of the office from which work is anticipated to be done and the number of employees of the company.

Identify the qualifications and résumés of all individuals who will be performing services under this contract. Identify contract signatory and project manager.

Summarize specific experience and qualifications for similar and related projects. Provide detailed knowledge and experience in working on projects that require adherence to the federal, state, and local regulatory agencies. Describe the services previously performed. List at least 3 references with contact information (including email).

Analysis of Effort/Methodology

Describe the approach for how the work will be performed. The proposal shall indicate any specific techniques or methodology to be utilized.

The proposal shall include a sample project timeline with specific tasks envisioned for project implementation, including staffing.

Indicate what participation, data and products will be requested from the County.

Indicate deliverables to be provided and when.

Conflict of Interest Statement

The proposing Consultant shall disclose any financial, business or other relationship with the Department that may have an impact upon the outcome of the contract or prospective construction project(s). The Consultant shall also list current clients who may have a financial interest in the outcome of this contract or the construction project that will follow. The proposing Consultant shall disclose any financial interest or relationship with any construction company that might submit a bid on the construction project.

Cost and Fees

Cost proposals shall be submitted using the applicable Caltrans Local Assistance Procedures Manual (LAPM) Chapter 10 forms and all required certifications. Consultant shall provide a detailed breakdown of labor hours, classifications, direct

costs, indirect costs rates and supporting documentation, and separate cost proposals for each subconsultant in accordance with LAPM Chapter 10 requirements, see Sample Cost Proposals at the following link: <https://dot.ca.gov/programs/local-assistance/guidance-and-oversight/consultant-selection-procurement>.

Consultants seeking reimbursement of indirect costs must submit all required Indirect Cost Rate (ICR) and supporting documentation with their proposals. The ICR included in the consultants proposal must match the Certification of Indirect Costs and Financial Management System form and consultants ICR schedule.

This project is being funded using State restricted grant funds. Travel expenses and per diem rates are not to exceed the rate specified by the State of California Department of Human Resources for similar employees (i.e. non-represented employees) unless written verification is supplied that government hotel rates were not then commercially available at the time and location required as specified in the California Department of Transportation's Travel Guide Exception Process at the following link: <https://travelpocketguide.dot.ca.gov/>. Also see website for summary of travel reimbursement rules. The Department shall not authorize reimbursement for expenses that do not meet these guidelines.

Cost Proposals shall be submitted as a separate attachment through the County's PlanetBids portal. If prompted to enter a total bid amount through PlanetBids, please enter "0".

V. EVALUATION OF PROPOSALS

Sample evaluation criteria for proposals are attached for your information (Exhibit C). The County will utilize a one-step selection process.

The Evaluations Committee will determine if qualifications are met in reviewing the proposals. Once the proposals are reviewed and the qualifications considered, recommendations will then submitted to the County Board of Supervisors for final selection.

The County reserves the right to select any consultant who is determined qualified for each system separately and may not correlate to a Number 1, Number 2, or even Number 3 ranked consultant. The County reserves the right to reject any and all proposals submitted and/or request additional information for clarification.

VI. QUESTIONS AND PROPOSAL SUBMISSION

This RFP is being posted on the Department's Projects Out to Bid webpage located at: <https://publicworks.imperialcounty.org/projects-out-to-bid/> and the County's PlanetBids portal located at: <https://vendors.planetbids.com/portal/64020/portal-home>. Prospective consultants must be registered with PlanetBids to access RFP documents and submit questions, proposals, and cost estimates. To register, please use the following link: <https://vendors.planetbids.com/portal/64020/portal-home>

Clarification desired by a respondent relating to definition or interpretation shall be requested using the PlanetBids Q&A section no later 4:00 P.M. on Monday, December 15, 2025.

Oral explanation or instructions shall not be considered binding on behalf of the County.

Any modifications to this solicitation will be issued by the County as a written addendum posted to the Projects Out to Bid webpage and County PlanetBids portal.

Proposals for this project must be submitted using the "Place eBid" button on the RFP's posting on PlanetBids no later than 4:00 P.M. on Friday, January 9, 2026.

The County will not consider proposals received after the specified time and date. An amendment is considered a new proposal and will not be accepted after the specified time and date.

This RFP does not commit the County of Imperial to award a contract or pay any costs associated with the preparation of a

proposal. The County reserves the right to cancel, in part or in its entirety, this solicitation should this be in the best interest of the County.

III. GENERAL TERMS AND CONDITIONS

All terms and conditions of the Department's Sustainable Communities Grants (State-SB 1) Restricted Grant Agreement, including but not limited to those not expressly restated in this RFP, are hereby incorporated by reference. Consultant shall be bound by, and shall ensure its subconsultant(s) comply with, all such provisions as a condition of contract award and performance.

NONDISCRIMINATION CLAUSE

During the performance of this scope of work, Consultant and subcontractors shall not deny the contract's benefits to any person on the basis of race, religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition, genetic information, marital status, sex, gender, gender identify, gender expression, age, sexual orientation, or military and veteran status, nor shall they discriminate unlawfully against any employee or applicant for employment because of race, religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition, genetic information, marital status, sex, gender, gender identify, gender expression, age, sexual orientation, or military and veteran status. Consultant shall ensure that the evaluation and treatment of employees and applications for employment are free of such discrimination.

Consultant shall comply with the provisions of the Fair Employment and Housing Act (Gov. Code Sections 12900 et seq.), the regulations promulgated thereunder (Cal. Code Regs., Tit. 2, Sections 11000 et seq.), the provisions of Article 9.5, Chapter 1, Part 1, Division 3, Title 2 of the Government Code (Gov. Code Sections 11135-11139.5), and the regulations or standards adopted by Caltrans to implement such article.

Consultant shall permit access by representatives of the Department of Fair Employment and Housing and Caltrans upon reasonable notice at any time during the normal business hours, but in no case less than 24' notice, to such of its books, records, accounts, and all other sources of information and its facilities as said Department or Caltrans shall require to ascertain compliance with this clause.

Consultant and its subcontractors shall give written notice of their obligations under this clause to labor organizations with which they have a collective bargaining or other agreement.

Consultant shall include the nondiscrimination and compliance provisions of this clause in all subcontracts to perform work under the Agreement.

RETENTION OF RECORDS/AUDITS

Consultant and its subconsultants agree to comply with Title 2, Code of Federal Regulations (CFR), Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.

All accounting records and other supporting papers of Consultant and its subconsultants connected with Project performance under this Scope of Work shall be maintained for a minimum of three (3) years from the date of final payment from Department and shall be held open to inspection, copying, and audit by representatives of Caltrans, the California State Auditor, and auditors representing the Federal government. Copies thereof will be furnished by Consultant and its subconsultants upon receipt of any request made by Caltrans or its agents. In conducting an audit of the costs and match credits claimed under this Scope of Work, Caltrans will rely to the maximum extent possible on any prior audit of the Imperial County Department of Public Works pursuant to the provisions of State and County law. In the absence of such an audit, any acceptable audit work performed by Consultants external and internal auditors may be relied upon and used by Caltrans when planning and conducting additional audits.

DRUG-FREE WORKPLACE CERTIFICATION

Consultant and its subconsultants certify under penalty of perjury under the laws of California that

Consultant/subconsultant(s) will comply with the requirements of the Drug-Free Workplace Act of 1990 (Gov Code Sections 8350 et seq.) and will provide a Drug-Free workplace by doing all the following:

- a. Publish a statement notifying employees that unlawful manufacture, distribution, dispensations, possession, or use of a controlled substance is prohibited and specifying actions to be taken against employees for violations, as required by Government Code Section 8355(a)(1)
- b. Establish a Drug-Free Awareness Program as required by Government Code Section 8355(a)(2) to inform employees about all the following:
 - a. The dangers of drug abuse in the workplace;
 - b. The person's or organizations policy of maintaining a Drug-Free workplace;
 - c. Any available counseling, rehabilitation, and employee assistance programs; and
 - d. Penalties that may be imposed upon employees for drug abuse violations.
- c. Provide, as required by Government Code Section 8355(a)(3), that every employee who works on the proposed contract or grant;
 - a. Will receive a copy of the company's Drug-Free Policy Statement; and
 - b. Will agree to abide by the terms of the company's statement as a condition of employment on the contract or grant
- d. Failure to comply with these requirements may result in suspension of payments under this scope of work or termination of contract or both, and Consultant may be ineligible for the award of any future State contracts if the Department is notified that Caltrans has determined that any of the following occurred: (1) Consultant/subconsultant(s) made a false certification or, (2) Consultant/Subconsultant(s) violated the certification by failing to carry out the requirements as noted above.

EXHIBIT “A”

Gateway of the Americas Location Map



1" = 1209 ft

Gateway of the Americas
Freight Optimization Plan

01/22/2025



This map may represents a visual display of related geographic information. Data provided here on is not guarantee of actual field conditions. To be sure of complete accuracy, please contact the responsible staff for most up-to-date information.

EXHIBIT “B”

**Sustainable Communities Grants
(State-SB 1)
Restricted Grant Agreement**

This Restricted Grant Agreement (RGA), between State of California acting by and through its Department of Transportation, referred to herein as **CALTRANS**, and **IMPERIAL COUNTY DEPARTMENT OF PUBLIC WORKS**, hereinafter referred to as **AGENCY**, will commence on **NOVEMBER 17, 2025**, or upon approval by **CALTRANS**, whichever occurs later. This RGA is of no effect unless approved by **CALTRANS**. **AGENCY** shall not receive payment for work performed prior to approval of the RGA and before receipt by **AGENCY** of Notice to Proceed by **CALTRANS** Contract Manager. This RGA shall expire on **JUNE 30, 2028**.

Attachments:

The following attachments are incorporated into and are made a part of this RGA by this reference and attachment.

- I. **AGENCY** Resolution
- II. Scope of Work and Project Cost and Schedule
- III. Grant Application Guide

Recitals

Under this RGA, **CALTRANS** intends to convey State restricted grant funds to **AGENCY**, pursuant to Budget Act Line Item **2660-102-3290**, who will conduct transportation studies and planning within the regional area under the jurisdiction of **AGENCY** under the terms, covenants, and conditions of this RGA.

Now, Therefore, based upon the terms, covenants, and conditions, the parties agree as follows:

Section I

AGENCY Responsibility:

To timely and satisfactorily complete all Project Work described in **Attachment II** within the project budget and in accordance with the items of this RGA.

Section II

CALTRANS Responsibility:

That when conducting an audit of the costs claimed by **AGENCY** under the provisions of this RGA, to conduct the audit in accordance with applicable laws and regulations.

Section III

Parties' Mutual Responsibilities:

- 1. Under this RGA, **CALTRANS** will convey State grant restricted funds to **AGENCY**, pursuant to Budget Act Line Item **2660-102-3290**, and **AGENCY** will conduct transportation studies and planning within the project area described in **Attachment II**. The funds subject to this RGA must be (a) identified as available for a restricted grant in **CALTRANS'** budget and (b) for the purpose of conducting transportation studies or planning and (c) to a **public** entity that is responsible for conducting transportation studies or planning.
- 2. Details of the Grant Program, Funds, Project, and Program Guidelines and the governing State and Federal law are fully described in **Attachment III** which is attached to and made a part of this RGA.

3. Under this restricted grant, funds may be only used for the purpose set forth in this RGA, Resolution (**Attachment I**), Scope of Work and Project Cost and Schedule (**Attachment II**), and the applicable Grant Application Guide (**Attachment III**), and funds may only be used for costs and expenses that are directly related to such purpose.
4. **AGENCY** shall perform all the duties and obligations described in **GATEWAY OF THE AMERICAS FREIGHT OPTIMIZATION PLAN**, hereinafter “Project”, subject to the terms and conditions of this RGA and the Approved Project Grant Application (Scope of Work and Project Cost and Schedule), which are attached hereto as **Attachment II**.
5. The resolution authorizing **AGENCY** to execute this RGA pertaining to the above described Project is attached hereto as **Attachment I**.
6. All services performed by **AGENCY** pursuant to this RGA shall be performed in accordance with California Senate Bill No. 1 (SB-1) (Chapter 5, Statutes of 2017), also known as the Road Repair and Accountability Act of 2017, including, but not limited to, Government Code Section 14460(a)(1), as well as all applicable Federal, State, and Local laws, regulations, and ordinances, all applicable **CALTRANS** policies and procedures, and all applicable **CALTRANS** published manuals, including, but not limited to, the applicable Grant Application Guide (**Attachment III**).

California Government Code Section 14460(a)(1) provides: “The department [**CALTRANS**], and external entities that receive State and Federal transportation funds from the department, are spending those funds efficiently, effectively, economically, and in compliance with applicable State and Federal requirements. Those external entities include, but are not limited to, private for profit and nonprofit organizations, local transportation agencies, and other local agencies that receive transportation funds either through a contract with the department or through an agreement or grant administered by the department.”

In case of conflict between any applicable Federal, State, and Local laws, regulations, and ordinances, and/or any applicable policies, procedures, or published manuals of either **CALTRANS** or **AGENCY**, the order of precedence of the applicability of same to this RGA shall be established in this order: 1) Federal laws and regulations; 2) California laws and regulations; 3) **CALTRANS** policies, procedures, and published manuals; 4) Local ordinances; and 5) **AGENCY** policies, procedures, and published manuals. This RGA may not include any Federal funds.

7. Project funding is as follows:

Fund Source: STATE	Fund Source: AGENCY				Total Project Cost
	Local Match (Cash)	Local Match (In-Kind)	Total Local Match	% Local Match	
Road Maintenance and Rehabilitation Account (RMRA) State (SB 1) Grant Funds					
\$298,576.00	\$38,836.00	\$0.00	\$38,836.00	11.51%	\$337,412.00

No in-kind contributions may be made unless the amount and type of the contribution is identified above.

8. This RGA is exempt from legal review and approval by the Department of General Services (DGS), pursuant to applicable law.

9. Notification of Parties

- a. **AGENCY's** Project Manager for Project is Naomi Robles.
- b. **AGENCY's** Financial Manager for the Project is Taryn Downs, taryndowns@co.imperial.ca.us.
- c. **CALTRANS'** Contract Manager is Omar Bendeck. "Contract Manager" as used herein includes his/her designee.
- d. All notices herein provided to be given, or which may be given, by either party to the other, shall be deemed to have been fully given when made in writing and received by the parties at their respective addresses:

Imperial County Department of Public Works

Attention: Naomi Robles, Project Manager
Phone Number: (442) 265-1843
Email: naomirobles@co.imperial.ca.us
Address: 155 South 11th Street
El Centro, CA 92243

California Department of Transportation

District 11/Planning & Local Assistance
Attention: Omar Bendeck, Contract Manager
Phone Number: (619) 985-1397
Email: omar.bendeck@dot.ca.gov
Address: 4050 Taylor Street
San Diego, CA 92110

10. Period of Performance

- a. Reimbursable work under this RGA shall begin no earlier than on **NOVEMBER 17, 2025**, following the written approval of **CALTRANS** and AGENCY's receipt of the Notice to Proceed letter of this RGA by the **CALTRANS** Contract Manager, and will expire on **JUNE 30, 2028**.
- b. **AGENCY** will attend a kickoff meeting with **CALTRANS** to be scheduled within one (1) week from receipt of Notice to Proceed letter by **CALTRANS** Contract Manager.

11. Changes in Terms/Amendments

This Agreement may only be amended or modified during the period of performance by mutual written agreement of the parties. Any proposed modification to this agreement that requires a formal amendment must be submitted by AGENCY to CALTRANS no less than 90 days prior to the expiration of this RGA.

12. Cost Limitation

- a. The maximum total amount granted and reimbursable to **AGENCY** pursuant to this RGA by **CALTRANS** shall not exceed **\$298,576.00**.
- b. It is agreed and understood that this RGA fund limit is an estimate and that **CALTRANS** will only reimburse the cost of services actually rendered in accordance with the provisions of this RGA and as authorized by **CALTRANS** Contract Manager at or below that fund limitation established herein.

13. Termination

- a. If the applicable law and the Grant Program guidelines provide for such termination, **CALTRANS** reserves the right to terminate this RGA for any or no reason upon written notice to **AGENCY** at least 30 days in advance of the effective date of such termination in the event **CALTRANS** determines (at its sole discretion) that **AGENCY** failed to proceed with **PROJECT** work in accordance with the terms of this RGA. In the event of termination for convenience, **CALTRANS** will reimburse **AGENCY** for all allowable, authorized, and non-cancelled costs up to the date of termination.
- b. This RGA may be terminated by either party for any or no reason by giving written notice to the other party at least thirty (30) days in advance of the effective date of such termination. In the event of termination for convenience, **CALTRANS** will reimburse **AGENCY** for all allowable, authorized, and non-cancelled costs up to the date of termination.
- c. **AGENCY** has 60 days after the Termination Date to submit accurate invoices to **CALTRANS** to make final allowable payments for **PROJECT** costs in accordance to the terms of this RGA. Failure to submit accurate invoices within this period of time shall result in a waiver by **AGENCY** of its right to reimbursement of expended costs.

14. Budget Contingency Clause

- a. It is mutually agreed that if the US Congress or the State Legislature fail to appropriate or allocate funds during the current year and/or any subsequent years covered under this RGA and do not appropriate sufficient funds for the program, this RGA shall be of no further force and effect. In this event, **CALTRANS** shall have no liability to pay any funds whatsoever to **AGENCY** or to furnish any other considerations under this RGA and **AGENCY** shall not be obligated to perform any provisions of this RGA.
- b. If funding for any fiscal year is reduced or deleted by US Congress or State Legislature for purposes of this program, **CALTRANS** shall have the option to either terminate this RGA with no liability occurring to **CALTRANS** or offer an RGA Amendment to **AGENCY** to reflect reduced amount.

15. Payment and Invoicing

- a. **AGENCY**, its contractors, subcontractors, and sub-recipients shall establish and maintain an accounting system and records that properly accumulate and segregate incurred Project costs and matching funds by line. The accounting system of **AGENCY**, its contractors, all subcontractors, and sub-recipients shall conform to Generally Accepted Accounting Principles (GAAP), enable the determination of incurred costs at interim points of completion, and provide support for reimbursement payment vouchers or invoices.
- b. The method of payment for this RGA will be based on the actual allowable costs that are incurred in accordance with the provisions of this RGA and in the performance of the Project Work. **CALTRANS** will reimburse **AGENCY** for expended actual allowable direct costs, and, including, but not limited to, labor costs, travel, and contracted consultant services costs incurred by **AGENCY** in performance of the Project Work. Indirect costs are reimbursable only if the **AGENCY** has identified the estimated indirect cost rate in **Attachment II** and an approved Indirect Cost Allocation Plan or an Indirect Cost Rate Proposal as set forth in **Section III–Cost Principles, Paragraph 18c**. The total cost shall not exceed the cost reimbursement limitation set forth in **Section III–Cost Limitations, Paragraph 12a**. Actual costs shall not exceed the estimated wage rates, labor costs, travel, and other estimated costs and fees set forth in **Attachment II** without an amendment to this RGA, as agreed between **CALTRANS** and **AGENCY**.

- c. Reimbursement of **AGENCY** expenditures will be authorized only for those allowable costs actually incurred by **AGENCY** in accordance with the provisions of this RGA and in the performance of Project Work. **AGENCY** must not only have incurred the expenditures on or after the start date and the issuance of the Notice to Proceed letter for this RGA and before the Expiration Date but must have also paid for those costs to claim any reimbursement.
- d. Travel expenses and per diem rates are not to exceed the rate specified by the State of California Department of Human Resources for similar employees (i.e. non-represented employees) unless written verification is supplied that government hotel rates were not then commercially available to **AGENCY**, its subrecipients, contractors, and/or subcontractors, at the time and location required as specified in the California Department of Transportation's Travel Guide Exception Process at the following link: <https://travelpocketguide.dot.ca.gov/>.

Also see website for summary of travel reimbursement rules.

- e. **AGENCY** shall submit invoices to **CALTRANS** at least quarterly, but no more frequently than monthly, in arrears for completion of milestones in accordance with the Project Cost and Schedule in **Attachment II** to the satisfaction of the **CALTRANS** Contract Manager. Invoices shall reference this RGA Number and shall be signed and submitted to the **CALTRANS** Contract Manager at the following address, as stated in **Section III–Notification of Parties, Item 9c**. One-time lump sum invoices for the grant amount is not allowed.
- f. Invoices shall include the following information:
 - 1) Names of the **AGENCY** personnel performing work
 - 2) Dates and times of Project Work
 - 3) Locations of Project Work
 - 4) Itemized costs as set forth in **Attachment II**, including identification of each employee, contractor, or subcontractor staff who provided services during the period of the invoice, the number of hours and hourly rates for each employee, contractor, sub-recipient, or subcontractor staff member, authorized travel expenses with receipts, receipts for authorized materials or supplies, and contractor, sub-recipient, and subcontractor invoices.
- g. Incomplete or inaccurate invoices shall be returned to the **AGENCY** unapproved for correction. Failure to submit invoices on a timely basis may be grounds for termination of this RGA for material breach per **Section III–Termination, Paragraph 13**.
- h. **CALTRANS** will reimburse **AGENCY** for all allowable Project costs at least quarterly, but no more frequently than monthly, in arrears as promptly as **CALTRANS** fiscal procedures permit upon receipt of an itemized signed invoice.
- i. The RGA Expiration Date refers to the last date for **AGENCY** to incur valid Project costs or credits and is the date the RGA expires. **AGENCY** has 60 days after that Expiration Date to make final allowable payments to Project contractors or vendors and submit the Project's Final Product(s) as defined in **Attachment II** and a final accurate invoice to **CALTRANS** for reimbursement for allowable Project costs. Any unexpended Project funds not invoiced by the 60th day will be reverted and will no longer be accessible to reimburse late Project invoices.

16. Local Match Funds

- a. **AGENCY** shall contribute not less than its specified local match amount toward the services described herein by the grant expiration date identified in Paragraph 1 of this RGA. **AGENCY** can provide less than their percentage local match contribution in each invoice submittal, but **AGENCY** must fully satisfy the local cash and in-kind match amount and percentage identified in **Section III, Paragraph 7**, with the final invoice.

- b. If Agency fails to provide the contractual local match identified in **Section III, Paragraph 7**, it is grounds for contract termination as identified in **Section III, Paragraph 13**.

17. Quarterly Progress Reporting

AGENCY shall submit written progress reports to **CALTRANS** Contract Manager to determine if **AGENCY** is performing to expectations, is on schedule, is within funding cost limitations, to communicate interim findings, and to afford occasions for airing difficulties respecting special problems encountered so that remedies can be developed.

18. Cost Principles

- a. **AGENCY** agrees to comply with Title 2, Code of Federal Regulations (CFR), Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.
- b. **AGENCY** agrees, and will assure that its contractors, sub-recipients, and subcontractors will be obligated to agree, that (a) Contract Cost Principles and Procedures, 48 CFR, Federal Acquisition Regulations System, Chapter 1, Part 31, et seq., shall be used to determine the allowability of individual Project costs and (b) all parties shall comply with Federal administrative procedures in accordance with 2 CFR, Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. Every sub-recipient receiving Project funds as a sub-recipient, contractor, or subcontractor under this RGA shall comply with Federal administrative procedures in accordance with 2 CFR, Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards to the extent applicable.
- c. Prior to **AGENCY** seeking reimbursement of indirect costs, **AGENCY** must have identified the estimated indirect cost rate in **Attachment II**, prepare and submit annually to **CALTRANS** for review and approval an indirect cost rate proposal and a central service cost allocation plan (if any) in accordance with 2 CFR, Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards and Chapter 5 of the Local Assistance Procedures Manual which may be accessed at: <https://dot.ca.gov/-/media/dot-media/programs/local-assistance/documents/lapm/ch05.pdf>.
- d. **AGENCY** agrees and shall require that all its agreements with consultants and sub-recipients contain provisions requiring adherence to this section in its entirety.

19. Repayment of Unallowable Costs

Any Project costs for which **AGENCY** has received payment or credit that are determined by subsequent audit to be unallowable under 2 CFR, Part 200, and/or Part 48, Chapter 1, Part 31, are subject to repayment by **AGENCY** to **CALTRANS**. Should **AGENCY** fail to reimburse moneys due **CALTRANS** within 30 days of discovery or demand, or within such other period as may be agreed in writing between the parties hereto, **CALTRANS** is authorized to intercept and withhold future payments due **AGENCY** from **CALTRANS** or any third-party source, including, but not limited to, the State Treasurer, the State Controller or any other fund source.

20. Americans with Disabilities Act

By signing this Agreement, **AGENCY** assures **CALTRANS** that in the course of performing Project Work, it will fully comply with the applicable provisions of the Americans with Disabilities Act (ADA) of 1990, as amended, which prohibits discrimination on the basis of disability, as well as all applicable regulations and guidelines issued pursuant to the ADA (42 USC Section 12101 et seq.).

21. Indemnification

Neither **CALTRANS** nor any officer or employee thereof is responsible for any injury, damage, or

liability occurring by reason of anything done or omitted to be done by **AGENCY**, its officers, employees, agents, contractors, subrecipients, or subcontractors, under or in connection with any work, authority, or jurisdiction conferred upon **AGENCY** under this RGA. It is understood and agreed that **AGENCY** shall fully defend, indemnify, and save harmless, **CALTRANS** and all of **CALTRANS'** officers and employees from all claims, suits, or actions of every name, kind, and description brought forth under, including, but not limited to, tortuous, contractual, inverse condemnation, or other theories or assertions of liability occurring by reason of anything done or omitted to be done by **AGENCY**, its officers, employees, agents, contractors, subrecipients, or subcontractors under this RGA.

22. Nondiscrimination Clause (2 CCR 11105 Clause b)

- a. During the performance of this RGA, the **AGENCY**, contractors, subrecipients, and subcontractors shall not deny the contract's benefits to any person on the basis of race, religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition, genetic information, marital status, sex, gender, gender identity, gender expression, age, sexual orientation, or military and veteran status, nor shall they discriminate unlawfully against any employee or applicant for employment because of race, religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition, genetic information, marital status, sex, gender, gender identity, gender expression, age, sexual orientation, or military and veteran status. **AGENCY** shall ensure that the evaluation and treatment of employees and applicants for employment are free of such discrimination.
- b. **AGENCY** shall comply with the provisions of the Fair Employment and Housing Act (Gov. Code Sections 12900 et seq.), the regulations promulgated thereunder (Cal. Code Regs., Tit. 2, Sections 11000 et seq.), the provisions of Article 9.5, Chapter 1, Part 1, Division 3, Title 2 of the Government Code (Gov. Code Sections 11135-11139.5), and the regulations or standards adopted by **CALTRANS** to implement such article.
- c. **AGENCY** shall permit access by representatives of the Department of Fair Employment and Housing and **CALTRANS** upon reasonable notice at any time during the normal business hours, but in no case less than 24 hours' notice, to such of its books, records, accounts, and all other sources of information and its facilities as said Department or **CALTRANS** shall require to ascertain compliance with this clause.
- d. **AGENCY** and contractors, sub-recipients, and subcontractors shall give written notice of their obligations under this clause to labor organizations with which they have a collective bargaining or other agreement.
- e. **AGENCY** shall include the nondiscrimination and compliance provisions of this clause in all agreements with its sub-recipients, contractors, and subcontractors, and shall include a requirement in all agreements with all of same that each of them in turn include the nondiscrimination and compliance provisions of this clause in all contracts and subcontracts they enter into to perform work under the RGA.

23. Retention of Records/Audits

- a. **AGENCY**, its contractors, subcontractors, and sub-recipients, agree to comply with Title 2, Code of Federal Regulations (CFR), Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.
- b. All accounting records and other supporting papers of **AGENCY**, its contractors, subcontractors, and sub-recipients connected with Project performance under this RGA shall be maintained for a minimum of three (3) years from the date of final payment to **AGENCY** and shall be held open to inspection, copying, and audit by representatives of **CALTRANS**, the California State Auditor,

and auditors representing the Federal government. Copies thereof will be furnished by **AGENCY**, its contractors, its subcontractors, and sub-recipients upon receipt of any request made by **CALTRANS** or its agents. In conducting an audit of the costs and match credits claimed under this RGA, **CALTRANS** will rely to the maximum extent possible on any prior audit of **AGENCY** pursuant to the provisions of State and **AGENCY** law. In the absence of such an audit, any acceptable audit work performed by **AGENCY's** external and internal auditors may be relied upon and used by **CALTRANS** when planning and conducting additional audits.

- c. For the purpose of determining compliance with applicable State and **AGENCY** law in connection with the performance of **AGENCY's** contracts with third parties pursuant to Government Code Section 8546.7, **AGENCY**, **AGENCY's** sub-recipients, contractors, subcontractors, and **CALTRANS**, shall each maintain and make available for inspection all books, documents, papers, accounting records, and other evidence pertaining to the performance of such contracts, including, but not limited to, the costs of administering those various contracts. All the above referenced parties shall make such materials available at their respective offices at all reasonable times during the entire Project period and for three (3) years from the date of final payment to **AGENCY** under this RGA. **CALTRANS**, the California State Auditor, or any duly authorized representative of **CALTRANS** or the United States Department of Transportation, shall each have access to any books, records, and documents that are pertinent to a Project for audits, examinations, excerpts, and transactions, and **AGENCY** shall furnish copies thereof if requested.
- d. **AGENCY**, its sub-recipients, contractors, and subcontractors will permit access to all records of employment, employment advertisements, employment application forms, and other pertinent data and records by the State Fair Employment Practices and Housing Commission, or any other agency of the State of California designated by **CALTRANS**, for the purpose of any investigation to ascertain compliance with this RGA.
- e. Additionally, all grants may be subject to a pre-award audit prior to execution of the RGA to ensure **AGENCY** has an adequate financial management system in place to accumulate and segregate reasonable, allowable, and allocable costs.
- f. Any contract with a contractor, subcontractor, or sub-recipient entered into as a result of this RGA shall contain all the provisions of this article.

24. Adjudication of Facts in Disputes

- a. Any dispute concerning a question of fact arising under this RGA that is not disposed of by agreement shall be decided by the **CALTRANS** Contract Officer, who may consider any written or verbal evidence submitted by **AGENCY**. The **CALTRANS** Contract Officer shall issue a written decision within 30 days of receipt of the dispute. If **AGENCY** rejects the decision of the **CALTRANS** Contract Officer, **AGENCY** can pursue any and all remedies authorized by law. Neither party waives any rights to pursue remedies authorized by law.
- b. Neither the pendency of a dispute nor its consideration by **CALTRANS** Contract Officer will excuse **AGENCY** from full and timely performance in accordance with the terms of the RGA.
- c. Voluntary Resolution: Reference to Other Means of Resolution. In recognition of the government-to-government relationship of the **AGENCY** and **CALTRANS**, the parties shall make their best efforts to resolve disputes that occur under this RGA by good faith negotiations whenever possible. Therefore, without prejudice to the right of either party to seek injunctive relief against the other when circumstances are deemed to require immediate relief, the parties hereby establish a threshold requirement that disputes between the **AGENCY** and **CALTRANS** first be subjected to a process of meeting and conferring in good faith in order to foster a spirit of cooperation and efficiency in the administration and monitoring of performance and compliance

by each other with the terms, provisions, and conditions of this RGA, as follows:

- 1) Either party shall give the other, as soon as possible after the event giving rise to the concern, a written notice setting forth, with specificity, the issues to be resolved.
- 2) The parties shall meet and confer in a good faith attempt to resolve the dispute through negotiation not later than 10 days after receipt of the notice, unless both parties agree in writing to an extension of time.
- 3) If the dispute is not resolved to the satisfaction of the parties within 30 working days after the first meeting, then either party may seek to have the dispute resolved by alternative dispute resolution methods, including, but not limited to, non-binding arbitration, mediation, or the use of a technical advisor.
- 4) Disagreements that are not otherwise resolved by mutually acceptable means as provided herein may be resolved in the Superior Court of the State of California located within the same county where a Project is located. The disputes to be submitted to the court include claims of breach or violation of this RGA. This RGA shall be interpreted under the laws of the State of California without regard to any conflict of laws' provisions. In no event may **AGENCY** be precluded from pursuing any arbitration or judicial award or remedy against **CALTRANS** on the grounds that **AGENCY** has failed to exhaust its state administrative remedies. The parties agree that, except in the case of imminent threat to public health or safety, reasonable efforts will be made to explore alternative dispute resolution avenues prior to initiating judicial proceedings.

25. Third-Party Contracts

- a. All State-government-funded procurements must be conducted using a fair and competitive procurement process. **AGENCY** may use its own procurement procedures as long as the procedures comply with the local **AGENCY's** laws, rules, and ordinances governing procurement and all applicable provisions of State law, including, without limitation, the requirement that the **AGENCY** endeavor to obtain at least three (3) competitive bids for solicitation of goods, services, and consulting services.

Resources for Third Party Contracts, which are not inconsistent with this **Paragraph 25, Third Party Contracts**:

- 1) Part 2, Chapter 2, Articles 3 and 4 of the Public Contract Code)
 - 2) State Contracting Manual (SCM), Chapter 5
 - 3) Local Assistance Procedures Manual (LAPM)Chapter 10
- b. Any contract entered into as a result of this RGA shall contain all the provisions stipulated in this RGA to be applicable to **AGENCY's** subrecipients, contractors, and subcontractors. Copies of all agreements with subrecipients, contractors, and subcontractors must be submitted to the **CALTRANS** Contract Manager.
 - c. **CALTRANS** does not have a contractual relationship with the **AGENCY's** subrecipients, contractors, or subcontractors and the **AGENCY** shall be fully responsible for all work performed by its subrecipients, contractors, or subcontractors.
 - d. Prior authorization in writing by the **CALTRANS** Contract Manager shall be required before **AGENCY** enters into any non-budgeted purchase order or sub-agreement for supplies, or consultant services. **AGENCY** shall provide an evaluation of the necessity or desirability of incurring such costs. **AGENCY** shall retain all receipts for such purchases or services and shall submit them with invoices per **Section III–Payment and Invoicing, Paragraph 15(e)(4), above**.

- e. Any contract entered into by **AGENCY** as a result of this RGA shall mandate that travel and per diem reimbursements and third-party contract reimbursements to subrecipients, contractors, and subcontractors will be allowable as **PROJECT** costs only after those costs are incurred and paid for by the subrecipients, contractors, and subcontractors. Travel expenses and per diem rates for subcontractors shall be reimbursed pursuant to **Section III–Payment and Invoicing, Paragraph 15c, above**.

26. Drug-Free Workplace Certification

By signing this RGA, **AGENCY** hereby certifies under penalty of perjury under the laws of California that **AGENCY** will comply with the requirements of the Drug-Free Workplace Act of 1990 (Gov. Code Sections 8350 et seq.) and will provide a Drug-Free workplace by doing all the following:

- a. Publish a statement notifying employees that unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance is prohibited and specifying actions to be taken against employees for violations, as required by Government Code Section 8355(a)(1).
- b. Establish a Drug-Free Awareness Program as required by Government Code Section 8355(a)(2) to inform employees about all the following:
 - 1) The dangers of drug abuse in the workplace;
 - 2) The person's or organization's policy of maintaining a Drug-Free workplace;
 - 3) Any available counseling, rehabilitation, and employee assistance programs; and
 - 4) Penalties that may be imposed upon employees for drug abuse violations.
- c. Provide, as required by Government Code Section 8355(a)(3), that every employee who works on the proposed contract or grant:
 - 1) Will receive a copy of the company's Drug-Free Policy Statement; and
 - 2) Will agree to abide by the terms of the company's statement as a condition of employment on the contract or grant.
- d. Failure to comply with these requirements may result in suspension of payments under this RGA or termination of this RGA or both, and **AGENCY** may be ineligible for the award of any future State contracts if **CALTRANS** determines that any of the following has occurred: (1) **AGENCY** has made a false certification or, (2) **AGENCY** violates the certification by failing to carry out the requirements as noted above.

27. Relationship of Parties

It is expressly understood that this agreement is executed by and between two (2) independent governmental entities and is not intended to, and shall not be construed to, create the relationship of agent, servant, employee, partnership, joint venture or association, or any other relationship whatsoever other than that of an independent party.

28. State-Owned Data

- a. **AGENCY** agrees to comply with the following requirements to ensure the preservation, security, and integrity of State-owned data on portable computing devices and portable electronic storage media:
 - 1) Encrypt all State-owned data stored on portable computing devices and portable electronic storage media using government-certified Advanced Encryption Standard (AES) cipher algorithm with a 256-bit or 128-bit encryption key to protect **CALTRANS** data stored on every sector of a hard drive, including temp files, cached data, hibernation files, and even unused disk space.

- 2) Data encryption shall use cryptographic technology that has been tested and approved against existing standards, such as FIPS 140-2 Security Requirements for Cryptographic Modules.
 - 3) Encrypt, as described above, all State-owned data transmitted from one computing device or storage medium to another.
 - 4) Maintain confidentiality of all State-owned data by limiting data sharing to those individuals contracted to provide services on behalf of the State, and limit use of State information assets for State purposes only.
 - 5) Install and maintain current anti-virus software, security patches, and upgrades on all computing devices used during the course of the Agreement.
 - 6) Notify **CALTRANS** Contract Manager immediately of any actual or attempted violations of security of State-owned data, including lost or stolen computing devices, files, or portable electronic storage media containing State-owned data.
 - 7) Advise the owner of the State-owned data, the **AGENCY** Information Security Officer, and the **AGENCY** Chief Information Officer of vulnerabilities that may present a threat to the security of State-owned data and of specific means of protecting that State-owned data.
- b. **AGENCY** agrees to use the State-owned data only for State purposes under this Agreement.
- c. **AGENCY** agrees to not transfer State-owned data to any computing system, mobile device, or desktop computer without first establishing the specifications for information integrity and security as established for the original data file(s) (State Administrative Manual (SAM) Section 5335.1).

29. Assumption of Risk and Indemnification Regarding Exposure to Environmental Health Hazards

In addition to, and not a limitation of, Contractor's indemnification obligations contained elsewhere in this RGA, Contractor hereby assumes all risks of the consequences of exposure of Contractor's employees, agents, subrecipients, contractors, and subcontractors, subcontractors' employees, and any other person, firm, or corporation furnishing or supplying work services, materials, or supplies in connection with the performance of this Agreement, to any and all environmental health hazards, local and otherwise, in connection with the performance of this Agreement. Such hazards include, but are not limited to, bodily injury and/or death resulting in whole or in part from exposure to infectious agents and/or pathogens of any type, kind or origin. Contractor also agrees to take all appropriate safety precautions to prevent any such exposure to Contractor's employees, agents, subrecipients, contractors, and subcontractors, subcontractors' employees, and any other person, firm or corporation furnishing or supplying work services, materials, or supplies in connection with the performance of this Agreement. Contractor also agrees to indemnify and hold harmless Caltrans, the State of California, and each and all their officers, agents and employees, from any and all claims and/or losses accruing or resulting from such exposure. Except as provided by law, Contractor also agrees that the provisions of this paragraph shall apply regardless of the existence or degree of negligence or fault on the part of Caltrans, the State of California, and/or any of their officers, agents and/or employees.

30. Mandatory Organic Waste Recycling

It is understood and agreed that pursuant to Public Resources Code Sections 42649.8 et seq., if Contractor generates two (2) cubic yards or more of organic waste or commercial solid waste per week, Contractor shall arrange for organic waste or commercial waste recycling services that separate/source organic waste for organic waste recycling. Contractor shall provide proof of

compliance, i.e. organic waste recycling services or commercial waste recycling services that separate/source organic waste recycling, upon request from Caltrans Contract Manager.

31. ADA Compliance

All entities that provide electronic or information technology or related services that will be posted online by Caltrans must be in compliance with Government Code Sections 7405 and 11135 and the Web Content Accessibility Guidelines (WCAG) 2.0 or subsequent version, published by the Web Accessibility Initiative of the World Wide Web Consortium at a minimum Level AA success. All entities will respond to and resolve any complaints/deficiencies regarding accessibility brought to their attention.

32. Project Close Out/Final Product

- a. **AGENCY** will provide an electronic version, preferable ADA accessible, of the Final Product(s) to the **CALTRANS** Contract Manager.
- b. **CALTRANS** reserves the right to withhold final payment to **AGENCY** pending receipt of Final Product(s) to the **CALTRANS** Contract Manager.

33. Avoidance of Infringement:

In performing services under this RGA, **AGENCY** and its employees agree to avoid designing or developing any items that infringe one (1) or more patents or other intellectual property rights of any third party. If **AGENCY** or its employees becomes aware of any such possible infringement in the course of performing any Work under this RGA, **AGENCY** or its employees shall immediately notify **CALTRANS** in writing.

34. Electronic Signatures

Each party agrees that the electronic signatures, whether digital or encrypted, of the parties included in this Agreement are intended to authenticate this writing and to have the same force and effect as manual signatures for this Agreement. Documents that are referenced by this Agreement may still require manual signatures. **Executive Order N-6-22 – Russia Sanctions**

On March 4, 2022, Governor Gavin Newsom issued Executive Order N-6-22 (the EO) regarding Economic Sanctions against Russia and Russian entities and individuals. “Economic Sanctions” refers to sanctions imposed by the U.S. government in response to Russia’s actions in Ukraine, as well as any sanctions imposed under state law unless the contract has been Federalized (i.e. there is federal participation in any phase). The EO directs state agencies to terminate contracts with, and to refrain from entering any new contracts with, individuals or entities that are determined to be a target of Economic Sanctions. Accordingly, should the State determine Contractor is a target of Economic Sanctions or is conducting prohibited transactions with sanctioned individuals or entities, that shall be grounds for termination of this agreement. The State shall provide Contractor advance written notice of such termination, allowing Contractor at least 30 calendar days to provide a written response. Termination shall be at the sole discretion of the State.

Section IV

In Witness Whereof, the parties hereto have executed this RGA on the day and year first herein above written:

**STATE OF CALIFORNIA
DEPARTMENT OF TRANSPORTATION**

**IMPERIAL COUNTY DEPARTMENT OF
PUBLIC WORKS**

By: *Breonna Dumas*

By: *John Gay*

Printed Name:
Breonna Dumas

Printed Name:
John Gay

Title:
Contract Officer

Title:
Director of Public Works

Date:
10/07/2025

Date:
10/01/2025

By:

Printed Name:

Title:

Date:

By:

Printed Name:

Title:

Date:

BOS APPROVED 08-19-2025

M.O. #28

RESOLUTION NO. 2025-140

A RESOLUTION OF THE BOARD OF SUPERVISORS COUNTY OF IMPERIAL, CALIFORNIA, AUTHORIZING THE DIRECTOR OF PUBLIC WORKS TO EXECUTE AGREEMENT WITH THE CALIFORNIA DEPARTMENT OF TRANSPORTATION FOR THE GATEWAY OF THE AMERICAS FREIGHT OPTIMIZATION PLAN

WHEREAS, the County of Imperial is eligible to receive Federal and/or State funding for certain transportation planning related plans, through the California Department of Transportation; and

WHEREAS, the Department of Public Works submitted an application to the 2025-26 Sustainable Transportation Planning Grant for the Gateway of the Americas Freight Optimization Plan to support the development of a freight optimization plan to determine critical capital improvements based on existing and planned land use to maximize commercial freight and passenger vehicle circulation and reduce greenhouse gas emissions and other harmful environmental determinants of health caused by traffic congestion and vehicle idling accessing the Calexico East Port of Entry; and

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

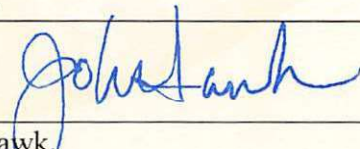
WHEREAS, the County wishes to delegate authorization to execute this agreement and any amendments thereto with California Department of Transportation to the Director of Public Works;

NOW, THEREFORE, BE IT RESOLVED that the Board of Supervisors of the County of Imperial, California:

1. Approves the application for the Gateway of the Americas Freight Optimization Plan
2. Authorizes the Director of Public Works, or designee, to execute all Restricted Grant Agreements and any amendments thereto with the California Department of Transportation

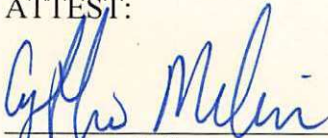
PASSED AND ADOPTED by the Board of Supervisors, County of Imperial, State of California, on this 19th day of August, 2025.

Escobar, Price, Kelley



John Hawk,
Chairman of the Board of Supervisors

ATTEST:



Cynthia Medina,
Clerk of the Board of Supervisors

SCOPE OF WORK

Project Information	
Grant Category	Sustainable Communities Competitive
Grant Fiscal Year	FY 2025-26
Project Title	Gateway of the Americas Freight Optimization Plan
Organization (Legal name)	Imperial County Department of Public Works

Disclaimer

Agency commits to the Scope of Work below. Any changes will need to be approved by Caltrans prior to initiating any Scope of Work change or amendment.

Introduction

The Gateway of the Americas (Gateway) is a commercial and industrial planning area that surrounds the Calexico East Port of Entry (Calexico East POE), the second busiest commercial port of entry along the California-Baja California border. Gateway is a designated Freight Trade Zone (FTZ) that supports a substantial portion of regional and international freight movement and has a significant role in Imperial County's economy and bi-national trade. Unfortunately, Gateway faces significant threats to transportation resiliency and economic competitiveness.

Access to the Calexico East POE can be obtained through State Route 7 (SR-7) via Interstate 8 (I-8) or State Route 98 (SR-98). During peak hours, commercial vehicles stack along SR-7 and spill onto local roads idling for hours inadvertently causing passenger vehicles to bypass SR-7 and use a local road to cut into Calexico East POE. Traffic congestion, vehicle idling, and freight bottlenecks are negatively impacting surrounding Gateway businesses and regional freight mobility.

Project funding will support the development of a corridor and freight optimization plan to determine critical capital improvements based on existing and planned land use to maximize commercial freight and passenger vehicle circulation and reduce greenhouse gas emissions and other harmful environmental determinants of health caused by traffic congestion and vehicle idling accessing the Calexico East POE; advancing the statewide priorities outlines in the California Freight Mobility Plan 2023, Climate Action Plan for Transportation Infrastructure, and the Climate Adaption Strategy.

Project Stakeholders

The Imperial County Department of Public Works (Public Works) has identified the Gateway County Service Area Advisory Committee (GAC) as a critical stakeholder in this project as the committee's vested interest in southbound truck traffic was designated as a priority on July 8, 2024. However, the complexity of this transportation issue will require cross-jurisdictional collaboration that will include, but not be limited to, Caltrans, the United States General Services Administration, and the United States Customs and Border Protection as their facility and operational requirements will dictate recommended improvements as prioritized by GAC. Further, Public Works does not have the resources or capacity to provide adequate support to this project. Therefore, Public Works will procure a highly qualified consultant to complete the technical analysis and collaborate and spearhead public outreach and Gateway Transportation Advisory Committee meetings.

Overall Project Objectives

The proposed project will study commercial/freight and passenger vehicle connectivity to the Calexico East POE and Gateway businesses and 1. identify challenges and vulnerabilities to efficient traffic/goods movement and accessibility and land use coordination, 2. quantify environmental hazards by type and amount, and 3. develop a priority list of capital improvements to reduce vehicle idling, improve fuel efficiency through traffic movement, and reduce greenhouse gas emissions/other environmental determinants of health.

Summary of Project Tasks

Task 01: Project Administration

This is an Administrative Task that shall only be charged against by the Grantee for the Administration of this grant project. Budget for this task cannot exceed 5% of the grant award amount.

Imperial County (County) shall schedule a grant kick-off meeting with Caltrans District 11 manage and administer grant project accounting to grant guidelines. County shall prepare project progress reports, status updates, and invoices as needed.

Task Deliverables
[The following are the only allowable deliverables for this Task. This Task is not for the management of the consultant or meetings between the grantee and the consultant]
Kick-off meeting with Caltrans - Meeting Notes, quarterly invoices and progress reports

Task 02: Consultant Procurement

County shall prepare a Request for Proposal (RFP) in compliance with Chapter 10 of the Caltrans Local Assistance Procedures Manual for procuring non-Architectural and Engineering Consultants and award contract to the highest ranked consultant.

Task Deliverables
Request for Proposal
Executed Contract
Consultant Kick off Meeting Notes

Task 1: Existing Conditions

Consultant, in collaboration with County, shall complete a comprehensive review of existing conditions (inclusive of available traffic data and pending improvements) and planned development according to recorded tentative and final maps. Consultant shall review traffic volume data and complete traffic counts for locations deemed high priority by County and Consultant and complete roadway analysis and issues identification. Consultant shall identify list of stakeholders to extend invitation to Advisory Committee meetings and determine extent of facility control/impact.

Task Deliverables
Existing Conditions Report
Stakeholder List

Task 2: Public Outreach

Consultant, in collaboration with County, shall coordinate a minimum of two public workshops at designated locations, and option for virtual attendance. Workshops will be publicized via County social media pages and notices sent to record property owners within Gateway. Consultant shall create and distribute public opinion survey regarding various circulation issues within Gateway. Surveys will be available for completion in person at public workshops, County offices, and online through a link posted on the County's website. All Public Outreach activities shall be conducted and disseminated in both English and Spanish.

Task Deliverables
Social Media notices
Gateway record property owner notices
Public Opinion Survey
Outreach sign in sheet/ attendance
Outreach Summary

Task 3: Gateway Transportation Advisory Committee Meetings

In collaboration with County, Consultant shall extend invitations to agencies within the Stakeholder list and conduct Advisory Committee meetings with stakeholders. Advisory committee meeting shall also include participation from the Chairman, or designee, of the Gateway County Service Area Advisory Committee. Consultant shall identify stakeholder requirements for improvement projects.

Task Deliverables
Advisory Committee agendas, sign in sheets, and meeting minutes
Advisory Committee Facility Requirements

Task 4: Needs Assessment

Consultant shall assess and determine current needs for data, capital improvements, stakeholder requirements and identify targeted environmental strategies for transportation resiliency. Consultant shall assess and determine County capacity and resources challenges, as determined by Stakeholder Facility Requirements, and identify strategies for resource planning for the successful completion of priority projects. Consultant shall identify and quantify environmental burdens and climate adaptation strategies for each recommended capital improvement project.

Task Deliverables
Problem/Strategy Identification
Capacity Planning Report

Task 5: Draft and Final Plan

Consultant shall prepare a draft Corridor and Freight Optimization Plan to identify priority capital improvement projects with corresponding performance metrics to track effectiveness of implemented projects in reducing climate impacts. Examples of capital improvement projects may include but not be limited to: use of intelligent transportation technology, synchronization of signalized intersections, use of traffic circles and/or capacity enhancing improvements to

reduce stacking and idling of vehicles. Draft Plan shall be distributed to County and Advisory Committee for review and comment. Once approved by County and Advisory Committee, accepted draft will be posted on County social media pages for public input and final deadline to respond for comments/questions. After public input review, County shall approve Corridor and Freight Optimization Plan to be finalized.

Task Deliverables
Draft Corridor and Freight Optimization Plan
Advisory Committee comment matrix
Public participation comment matrix
Final Plan

Task 6: Board Review/Approval

County, in collaboration with consultant, shall prepare a board item for discussion and approval of the final Corridor and Freight Optimization Plan to be presented to the Imperial County Board of Supervisors.

Task Deliverables
Board Agenda
Meeting minutes/minute order

[illegible]



SUSTAINABLE TRANSPORTATION PLANNING GRANTS

Fiscal Year 2025-26

GRANT APPLICATION GUIDE

Sustainable Communities,
Strategic Partnerships and
Climate Adaptation Planning

Grant Application Deadline January 22, 2025

Submit Application via [Smartsheet Form](#)

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

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1. GRANT PROGRAM OVERVIEW

The Sustainable Transportation Planning Grant Program was created to support the California Department of Transportation's (Caltrans) Mission: Provide a safe and reliable transportation network that serves all people and respects the environment.

The California Legislature passed, and Governor Edmund G. Brown Jr. signed into law, Senate Bill 1 (SB 1, Beall, Chapter 5, Statutes of 2017) – The Road Repair and Accountability Act of 2017, a transportation funding bill that provides a reliable fund source to maintain and integrate the State's multimodal transportation system. In addition to the \$9.5 million in traditional State and federal grants, approximately \$25 million in SB 1 funds for Sustainable Communities Grants is available for each grant cycle.

The State-funded Sustainable Communities grants (\$29.5 million) are intended to support and implement Regional Transportation Plan (RTP) Sustainable Communities Strategies/Alternative Planning Strategies (SCS/APS) (where applicable) and to ultimately achieve the State's greenhouse gas (GHG) reduction target of 40 and 80 percent below 1990 levels by 2030 and 2050, respectively.

The State-funded Climate Adaptation Planning grants (\$3 million) enacted with Senate Bill 198 (Committee on Budget and Fiscal Review, Chapter 71, Statutes of 2022), will support local and regional identification of transportation-related climate vulnerabilities through the development of climate adaptation plans, as well as project-level adaptation planning to identify adaptation projects and strategies for transportation infrastructure.

The federal-funded Strategic Partnerships and Strategic Partnership Transit grants (\$4.5 million) support Federal Planning Factors and address State highway/transit issues of regional, interregional, and/or statewide significance, in partnership with Caltrans.

Eligible planning projects must have a transportation nexus per Article XIX Sections 2 and 3 of the California Constitution. Therefore, successful planning projects are expected to directly benefit the multimodal transportation system. These grants will also improve public health, social equity, environmental justice, the environment, and provide other important community benefits. The period of grant fund availability spans over three FYs and approximately 32 months for grant project activities after the grant agreement is executed and Caltrans issues a Notice to Proceed. Refer to Chapter 9.2 for details regarding the anticipated grant project start and expiration dates.

1.1 Sustainable Transportation Planning Grant Summary Chart

Grant	Fund Source	Purpose	Who May Apply	Local Match
Sustainable Communities Competitive	Budget RMRA and SHA State funds Approx. \$17 million Approx. \$3 million set-aside for technical projects Up to \$2 million set-aside for Native American Tribal Governments Goal: 50% of grants should benefit Under-Resourced Communities*** Grant Minimum \$50,000 for Under-Resourced Communities, including Native American Tribal Governments and rural communities; \$100,000 for all others Grant Maximum \$700,000	Funds local and regional multimodal transportation and land use planning projects that further the region's RTP SCS/APS (where applicable), contribute to the State's GHG reduction targets, address the needs of under-resourced communities, and assist in achieving the Caltrans Mission and Grant Program Objectives (See Chapter 1.2).	The following are eligible to apply as a primary applicant: • MPOs with sub-applicants • RTPAs • Transit Agencies • Cities and Counties with compliant Housing Elements and completed Annual Progress Reports • Native American Tribal Governments • Other Public Transportation Planning Entities The following are eligible to apply as a sub-applicant: • MPOs/RTPAs • Transit Agencies • Universities and Community Colleges • Native American Tribal Governments • Cities and Counties with compliant Housing Elements and completed Annual Progress Reports • Community-Based Organizations • Non-Profit Organizations (501.C.3) • Other Public Entities**	11.47% minimum* (in cash or an in-kind contribution); not required for Native American Tribal Governments
	Budget RMRA State funds \$12.5 million			
Sustainable Communities Formula				

* For local match requirements, refer to Chapter 6.5 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).

*** For purposes of this grant program, under-resourced communities are the most vulnerable places that are facing disproportionate rates of economic, environmental, and health burdens, and are defined according to the tools in Appendix A.

Grant	Fund Source	Purpose	Who May Apply	Local Match
Climate Adaptation Planning	Budget State funds Cycle 3: \$3.7 million Up to \$1 million set-aside for Native American Tribal Governments Goal: 50% of grants should benefit Under-Resourced Communities*** Grant minimum \$100,000 Grant maximum \$1 million (single organization); above \$1.5 million to be considered for partnership applications	Funds local and regional identification of transportation-related climate vulnerabilities through the development of climate adaptation plans, as well as project-level climate adaptation planning to identify adaptation projects and strategies for transportation infrastructure.	The following are eligible to apply as a primary applicant: • MPOs • RTPAs • Transit Agencies • Cities and Counties • Native American Tribal Governments • A joint exercise of powers authority established pursuant to Chapter 5 of Division 7 of Title 1, with the consent of a transportation planning agency or a county transportation commission for the jurisdiction in which the transportation project will be developed. • A local transportation authority created or designated pursuant to Division 12.5 or Division 19 of the Public Utilities Code. The following are eligible to apply as a sub-applicant: • 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**	11.47% minimum* (in cash or an in-kind contribution); not required for Native American Tribal Governments

* For local match requirements, refer to Chapter 6.5 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).

*** For purposes of this grant program, under-resourced communities are the most vulnerable places that are facing disproportionate rates of economic, environmental, and health burdens, and are defined according to the tools in Appendix A.

Grant	Fund Source	Purpose	Who May Apply	Local Match
Strategic Partnerships	Budget FHWA SPR, Part I Federal funds \$1.5 million Grant Minimum \$100,000 Grant Maximum \$500,000	Funds transportation planning studies in partnership with Caltrans that address the regional, interregional, and statewide needs of the State Highway System, and assist in achieving the Caltrans Mission and Grant Program Objectives (See Chapter 1.2).	The following are eligible to apply as a primary applicant: • MPOs • RTPAs The following are eligible to apply as a sub-applicant: • 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**	20% minimum* (in non-federal funds or an in-kind contribution) Complete Streets related application can request a local match waiver. Details in Section 5.3.
	Budget FTA Section 5304 Federal funds \$3 million Grant Minimum \$75,000 for RTPAs and transit agencies; \$100,000 for MPOs Grant Maximum \$500,000			
Strategic Partnerships – Transit	Budget FTA Section 5304 Federal funds \$3 million Grant Minimum \$75,000 for RTPAs and transit agencies; \$100,000 for MPOs Grant Maximum \$500,000	Funds multimodal planning studies, with a focus on transit, in partnership with Caltrans, of regional, interregional and statewide significance, and assist in achieving the Caltrans Mission and Grant Program Objectives (See Chapter 1.2)	The following are eligible to apply as a primary applicant: • MPOs • RTPAs • Transit Agencies The following are eligible to apply as a sub-applicant: • 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**	11.47% minimum* (in non-federal funds or an in-kind contribution) Complete Streets related application can request a local match waiver. Details in Section 5.3.
* For local match requirements, refer to Chapter 6.5 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).				

1.2 Grant Program Objectives and Considerations

Successful grant applications address and articulate how the project relates to the Caltrans Mission, Grant Program Objectives, and Grant Program Considerations. The Grant Specific Objectives identified in Chapters 2.1, 3.1, 4.1 and 5.1 indicate the specific purpose of the Sustainable Communities, Climate Adaptation, and Strategic Partnership transportation planning grants, respectively, and must also be considered when preparing an application.

Grant Program Objectives

The following Grant Program Objectives are focused on achieving the Caltrans Mission and are intended to inform application development, including:

Objective	Description
Safety	Prioritize the elimination of fatal and serious injury crashes and enhance safe use of our roadways through the Safe System approach to realize a vision of zero road fatalities and serious injuries on all California roads by 2050.
Sustainability	Promote reliable and efficient mobility for people, goods, and services, while meeting the State's GHG emission reduction goals, preserving the State's natural and working lands, and preserving the unique character and livability of California's communities.
Preservation	Preserve the transportation system through protecting and/or enhancing the environment, promoting energy conservation, improving the quality of life, and/or promoting consistency between transportation improvements and State and local planning growth and economic development patterns.
Accessibility	Increase the accessibility of the system and mobility of people, inclusive of older adults, those with disabilities, and freight.
Innovation	Promote the use of technology and innovative designs to improve the performance and social equity of our transportation system and provide sustainable transportation options.
Economy	Support the economic vitality of the area (i.e., enables global competitiveness, enables increased productivity, improves efficiency, increases economic equity by enabling robust economic opportunities for individuals with barriers to employment and for Disadvantaged Business Enterprise (DBE), etc.).
Health	Decrease exposure to local pollution sources, reduce serious injuries and fatalities on the transportation system, and promote physical activity across the lifespan, inclusive of those with disabilities, especially through transportation means.
Social Equity	Promote transportation solutions that focus on and prioritize the needs of under-resourced communities most affected by poverty, air pollution and climate change, and promote solutions that integrate community values with transportation safety and performance while encouraging meaningful public involvement in the transportation decision making process.

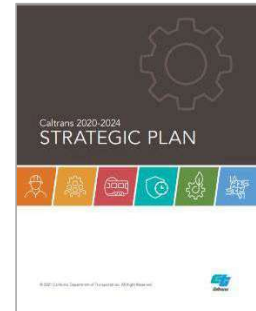
Grant Program Considerations

The Grant Program supports related State and federal mandated initiatives. The Plans and Programs listed below should be considered in grant application development. Definitions and links to these resources can be found in Appendix A.

Caltrans Strategic Plan

The Strategic Plan is a declaration of the Caltrans vision and mission, core values, strategic imperatives, and six goals to deliver a world-class transportation system for one of the nation's most populous, innovative, and diverse states:

- Safety first
- Cultivate excellence
- Enhance and connect the multimodal transportation network
- Strengthen stewardship and drive efficiency
- Lead climate action
- Advance equity and livability in all communities



This plan guides and informs the development of the Sustainable Transportation Planning Grant Program. Competitive applications will articulate how they will assist in achieving the Caltrans vision and mission, the six strategic goals above.

California Transportation Plan 2050

The California Transportation Plan (CTP) 2050 is a long-range transportation plan, updated every five years pursuant to State and federal law, and is statutorily required to be fiscally unconstrained:

- Defines a vision for the future transportation system, establishes new statewide priorities, and guides Caltrans and partner agencies in implementing its recommendations
- Identifies strategies and policies that are required to make transparent and transformational transportation decisions
- Recognizes the unique transportation needs and interests of urban, suburban, rural, and tribal communities
- Guides transportation decision makers at all levels of government, while emphasizing the importance of shared responsibility in meeting our transportation needs



The CTP does not contain projects, but policies and strategies required to close the gap between what the RTPs aim to achieve and how much more is required to meet 2050 goals. Competitive applications will discuss how proposed projects will assist in achieving the CTP 2050 vision, goals, recommendations, and the modal plans that support it.

Modal Plans that Support the California Transportation Plan

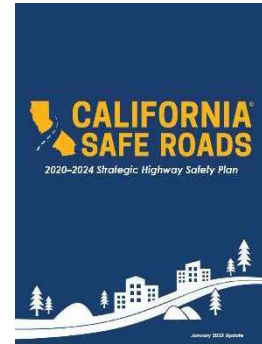
The CTP is the umbrella plan that informs and pulls together the State's long-range modal plans listed below, to envision the future system:

- Interregional Transportation Strategic Plan
- California Freight Mobility Plan

- California State Rail Plan
- California State Bicycle and Pedestrian Plan
- Statewide Transit Strategic Plan
- California Aviation System Plan

Strategic Highway Safety Plan

The Strategic Highway Safety Plan (SHSP) is a statewide, coordinated traffic safety plan that provides a comprehensive framework for reducing roadway fatalities and serious injuries on California's public roads. This document represents the third update of California's initial 2005 SHSP and uses the latest crash data and insights from safety partners across the state to inform the SHSP's development. Working in conjunction with other statewide safety plans such as the Highway Safety Improvement Program, the Highway Safety Plan, and the Commercial Vehicle Safety Plan, this SHSP provides guidance that will influence the development of goals, strategies, and performance measures for stakeholders working to improve traffic safety throughout California.



The latest California SHSP effort focuses on strategies with the greatest potential to reduce fatalities, serious injuries, and overall crashes. To ensure that decision-making is consistent, the SHSP is anchored by a clear Vision, Mission, and Goal. The vision represents what the SHSP aims to accomplish, while the mission is the means of getting there. Fulfilling these statements affords the state, under guidance of the SHSP, the best opportunity to reach its goal: Zero Fatalities and Serious Injuries by 2050.

Title VI and Environmental Justice

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.

Caltrans integrates Title VI as well as environmental justice in all activities. In the past, low-income and minority communities disproportionately bore many of the negative impacts of transportation projects, which they continue to feel the consequences from today. It is the goal of environmental justice to ensure that when transportation decisions are made, low-income and minority communities have a full opportunity to participate in the decision-making process, and they receive an equitable distribution of benefits and not a disproportionate share of burdens, which contribute to poor health outcomes.

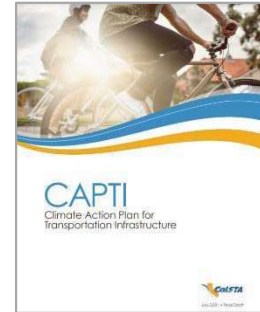
More information about non-discrimination requirements can be found in Chapter 6.6.

Director's Policy DP 28-R2 (Title VI Implementation Plan: Federal Fiscal Year 2024, Appendix B):

<https://dot.ca.gov/-/media/dot-media/programs/civil-rights/documents/title-vi/2024caltranstitleviimplementationplan9823a11y.pdf>

Climate Action Plan for Transportation Infrastructure

The Climate Action Plan for Transportation Infrastructure (CAPTI) details how the State recommends shifting and investing billions of discretionary transportation dollars annually to aggressively combat and adapt to climate change while supporting public health, safety and equity. CAPTI builds on executive orders signed by Governor Gavin Newsom in 2019 and 2020 targeted at reducing GHG emissions in transportation, which account for more than 40 percent of all emissions, to reach the State's ambitious climate goals. Competitive grant applications will discuss how proposed projects will assist in implementing the CAPTI Investment Framework, Guiding Principles, and align with the Implementation Strategies and Key Actions. Through CAPTI Caltrans is committed to intentional engagement and partnership with tribal governments and community-based organizations representing historically marginalized voices.

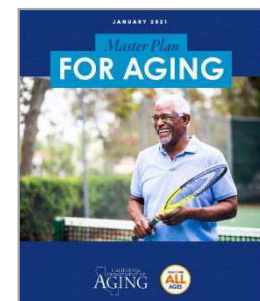


California Climate Adaptation Strategy

The California Climate Adaptation Strategy, mandated by Assembly Bill 1482 (Gordon, 2015), links the State's existing and planned climate adaptation efforts, showing how they fit together to achieve California's six climate resilience priorities. The Strategy is organized around outcome-based priorities, enabling a coordinated, integrated approach to building climate resilience. The Strategy shows how the State's efforts fit together to deliver on six priorities for climate resilience action in California: Strengthen Protections for Climate Vulnerable Communities; Bolster Public Health and Safety to Protect Against Increasing Climate Risks; Make Decisions Based on the Best Available Climate Science; Build a Climate Resilient Economy; Accelerate Nature-Based Climate Solutions and Strengthen Climate Resilience of Natural Systems; Partner and Collaborate to Leverage Resources. The California Climate Adaptation Strategy also deepens the integration of California Native American tribal priorities into California climate policies and programs and support tribal partnership and collaboration through funding tribal climate projects. Competitive grant applications will discuss how proposed projects consider climate resilience and align with the California Climate Adaptation Strategy.

Master Plan for Aging

The Master Plan for Aging is a blueprint for aging across the lifespan, not simply a plan for today's older adults. California's over-60 population is projected to diversify and grown faster than any other age group. In response, the Master Plan calls on all California communities to build a California for All Ages: for older Californians currently living through the many different stages of the second half of life; for younger generations who can expect to live longer lives than their elders; for communities of all ages – family, friends, neighbors, coworkers, and caregivers – surrounding older adults. Competitive grant applications will discuss specific connections and help achieve the Master Plan's five goals and twenty-three strategies to build a California for All Ages by 2030.



2. SUSTAINABLE COMMUNITIES COMPETITIVE AND TECHNICAL

Approximately \$12 million in State Road Maintenance and Rehabilitation Account (RMRA) funds and \$5 million in State Highway Account (SHA) funds, or a combined total of \$17 million will be distributed through a competitive program to Metropolitan Planning Organizations (MPOs) with a sub-applicant(s), Regional Transportation Planning Agencies (RTPAs), cities and counties, transit agencies, and Native American Tribal Governments. **MPOs must have a sub-applicant in order to be eligible and apply to the Sustainable Communities Competitive and Technical grants.**

Approximately \$3 million will be set-aside for a technical project sub-category. In accordance with the recent release of the guidance documents for the implementation of Senate Bill 743 (SB 743, Chapter 386, Statutes of 2013), there is a current need for improved tools to measure VMT and induced travel and to develop and implement VMT mitigation programs.

Up to \$2 million will be set-aside for Native American Tribal Governments.

Funding distribution for the competitive program will depend on the quality and number of applications.

2.1 Purpose and Specific Objectives

The purpose of the Sustainable Communities grants is to fund local and regional multimodal transportation and land use planning projects that further the region's RTP SCS/APS (where applicable), contribute to the State's GHG reduction targets, and assist in achieving the Caltrans Mission and Grant Program Objectives, which must be considered when preparing the grant application.

A minimum threshold of 50 percent of Sustainable Communities Competitive and Technical Grants has been identified for projects that benefit under-resourced communities, which includes Native American Tribal Governments and rural communities (for transportation planning purposes, rural is defined as all areas of the state that are not included in urbanized areas of 50,000 in population or greater; refer to Appendix C, *Caltrans/Regional Agency Boundaries Map*, which indicates rural areas). For purposes of the grant program, acceptable under-resourced communities definitions are described in Appendix A and include:

- Rural communities of 50,000 or less and outside of urbanized areas
- Native American Tribal Governments
- Regionally/locally defined under-resourced communities
- At or below 80% Assembly Bill 1550 (Gomez, Statutes of 2016)
- At or above 75% California Department of Education, Free or Reduced Priced Meals Data
- At or above 75% CalEnviroScreen Version 4.0
- At or below 25% California Healthy Places Index (HPI)

Sustainable Communities Competitive and Technical applicants must demonstrate how the project fits every aspect of the following Specific Objectives, as appropriate for the applicant and project type:

- Encourage local and regional multimodal transportation and land use planning that furthers the region's RTP SCS/APS (where applicable). For applicants not in an MPO region, address how the project encourages local and regional multimodal transportation and land use planning that advances sustainability

- Contribute to the State's GHG reduction targets and other State goals, including but not limited to, the goals and best practices cited in the 2024 RTP Guidelines
- Address the needs of under-resourced communities through robust public engagement
- Assist in achieving the Caltrans Mission and Grant Program Objectives (See Chapter 1.2).

Sustainable Communities Technical project types do not require extensive public engagement due to their technical nature, but they will explain and demonstrate:

- How the public will be involved at later stages of the planning process
- How they will collaborate with and involve appropriate stakeholders with technical expertise to review and validate quantification assumptions and methods
- How stakeholders will be involved in the application and Scope of Work

Technical project applications are scored under the same criteria as all other project types, but they are grouped with other technical projects, and they compete at the same level. Refer to Chapter 2.2 for Example Technical Project Types. Applicants should contact their Caltrans District listed in Appendix D to help decide which grant category is the best fit for their project.

Below is a list of Appendix A Guidance, Tools, and Resources to assist applicants in preparing a competitive grant application that is consistent with the Grant Program Objectives, Grant Program Considerations, and Specific Objectives.

- Advance Transportation Related GHG Reduction Project Types/Strategies
- Addressing the Needs of Under-Resourced Communities
- Public Health Resources
- Active Community Engagement
- Integrated Housing, Land Use and Transportation Planning
- Promote the Region's RTP SCS/APS (where applicable) and State Planning Priorities, and Climate Adaptation Goals
- Climate-Ready Transportation

2.2 Example Project Types

The examples below are organized in the following grant project types: Active Transportation; Corridor and Freight; Social Equity; Integrated Housing, Land Use, and Transportation; Multimodal; Safety; Technical; and Transit.

Active Transportation

- Active transportation plans, including bicycle, pedestrian, and trail master plans
- Plans for bike parking facilities
- Rural planning studies or plans that provide rural counties the ability to develop active transportation plans with a rural context-sensitive focus and allow for rural regions to contribute to the State's GHG reduction targets
- Studies or plans that include a temporary built environment demonstration, e.g., tactical urbanism

Corridor and Freight

- Comprehensive Multimodal Corridor Plans
- Corridor enhancement studies
- Studies or plans related to zero emissions vehicle goods movement

- Freight/goods movement plans and studies
- Local or regional corridor plans
- Studies and plans that can help to quantify and highlight the value and importance of the rural State transportation system which connects large urban centers to rural open space, State and federal lands, and recreation and agriculture hubs.
- Studies and plans to mitigate for impacts to the rural transportation system due to increased interregional tourism and visitor traffic
- Modeling improvements that address SB 743 implementation and induced travel (see Sustainable Communities – Technical grant-specific objectives in Chapter 2.1)
- Complete Streets plans that consider last-mile freight
- Curbside freight management plans
- Sustainable freight plans
- Agriculture goods movement plans
- Freight/supply chain resiliency studies

Social Equity

- Community Needs Assessments
- Health and transportation studies, including health equity transportation studies and other plans that incorporate health into transportation planning
- Studies to improve access to social services and other community destinations for under-resourced communities such as grocery stores, schools, hospitals, transit stations, etc.
- Studies, plans or planning methods that address environmental justice issues in a transportation related context
- Congestion pricing studies including plans that enhance social equity and avoid inequitable cost burdens
- Planning to remove or reduce barriers created by transportation infrastructure such as highways, overpasses and underpasses, that create disconnected communities
- Studies or plans to ensure that infill and transit-oriented development benefits existing residents and businesses, low-income and under-resourced communities, and minimizes displacement
- Outreach to educate under-resourced communities on mode shifts to electric forms of transportation, as part of a plan or study as appropriate
- Student internships for rural agencies and/or under-resourced communities
- Native American Tribal Government transportation planning training and capacity building

Integrated Housing, Land Use, and Transportation

- Studies, plans or planning methods that assist transportation agencies in creating sustainable communities and transit-oriented development
- SCS/APS development
- Studies that promote greater access between affordable housing and job centers
- Station area planning
- Integration of transportation and environmental planning
- First Mile/Last Mile project development planning
- An update to a general plan land use element, zoning code, or land use plan that increases development opportunities around key transportation corridors or nodes

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

Multimodal

- Complete Streets plans or multimodal transportation plans
- Long range transportation plans for tribal governments
- Studies, plans or planning methods that advance a community's effort to reduce single occupancy vehicle trips and transportation related GHG through strategies including, but not limited to, advancing mode shift, demand management, travel cost, operational efficiency, accessibility, and coordination with future employment and residential land use
- Context-sensitive streetscapes or town center plans
- Studies that evaluate accessibility and connectivity of the multimodal transportation network
- Shared mobility services planning studies
- Community outreach plans for park-and-ride lots

Safety

- Bike and pedestrian plans with a safety enhancement focus, including Vision Zero plans
- Community to school studies or safe routes to school plans
- Traffic calming and corridor safety enhancement plans

Technical

- Transportation modeling studies or planning activities that address SB 743 implementation and induced travel, active transportation, emerging technology, public health, VMT and other impacts
- Planning for zero or near zero emission vehicles
- Electric vehicle charging infrastructure network planning
- Transit planning for zero emission bus fleets
- Planning for autonomous vehicles
- Road or parking pricing studies
- Transportation Demand Management studies
- Commute trip reduction studies and plans
- Data collection/data sharing initiatives
- Integration of transit, new emerging technologies, and shared mobility services
- Educational outreach as part of a plan or study as appropriate, e.g., for mode shifts to electric forms of transportation

Transit

- Identification of policies, strategies, and programs to preserve transit facilities and optimize transit infrastructure
- Transit planning studies related to accessible transit, paratransit, mobility management, etc.
- Studies, plans, or outreach for school public transit, school pool ridesharing
- Strategies to increase transit ridership

- Studies or plans that evaluate commuter rail or multimodal connectivity
- Studies or plans that evaluate first and last mile transit connectivity

2.3 Eligible and Ineligible Activities and Expenses

Eligible Activities and Expenses

Eligible activities must have a transportation nexus per the California Constitution, Article XIX Section 2 and 3. Applicants need to 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
- Report writing and the development of associated graphics
- Planning consultant procurement
- Advertising for consultant procurement
- Advertising for public workshops, e.g., flyers, paid media ads
- Travel expenses (See Chapter 6.5 for details)
- Up to 30 percent design or conceptual drawings
- Equipment (as defined in 2 CFR Part 200.33)¹ purchases must remain under \$5,000 or depreciation will need to be taken in to account when the grant project is completed since equipment could have future uses. 2 CFR Part 200.436² provides the criteria for depreciation.
- Community surveys, meetings, public workshop room rental, charrettes, focus groups
- Virtual outreach activities and on-line meetings
- Bilingual services for interpreting and/or translation services for meetings
- Community/stakeholder advisory groups
- Light snacks and refreshments for public workshops (no full meals), subject to Caltrans approval
 - Requests to enhance public participation beyond the currently eligible costs for light refreshments will need justification regarding the cost benefit of the anticipated increase in public participation and must be submitted to Caltrans, and FHWA, when applicable, for consideration and approval, on a case-by-case basis.
- Project administration (up to 5 percent of the grant is allowed, i.e., quarterly reports, invoicing, and kick-off meeting with Caltrans)

Ineligible Activities and Expenses

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

Ineligible activities and expenses include:

¹ Electronic Code of Federal Regulations, 2 Code of Federal Regulations, Part 200.33, 2020, <https://www.ecfr.gov/on/2017-01-03/title-2/subtitle-A/chapter-II/part-200/subpart-A/subject-group-ECFR2a6a0087862fd2c/section-200.33>

² Govinfo, 2 Code of Federal Regulations, Part 200.436, 20, <https://www.govinfo.gov/app/details/CFR-2022-title2-vol1/CFR-2022-title2-vol1-sec200-436>

- 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
- Program or project implementation
- Repurposing unspent grant funds (not applicable to Sustainable Communities Formula)
- Application development to pursue construction funds/project implementation
- RTPs or updates to the RTP, excluding SCS/APS development
- Construction projects, capital costs, such as the building of a facility, or maintenance
- Office furniture purchases, or other capital expenditures
- Decorations, e.g., for public workshop events
- Acquisition of vehicles or shuttle programs
- Organizational membership fees
- Incentives for public participation
- Charges passed on to sub-recipient for oversight of awarded grant funds
- Other items unrelated to the project

2.4 Tips for Successful Sustainable Communities Grant Applications

Criteria for Successful Sustainable Communities Grant Applications

Some guidance is provided below however, it is not intended to be all inclusive.

- Integrate Grant Program Considerations (See Chapter 1.2)
- Advance transportation related GHG emission reduction project types/strategies (i.e., mode shift, demand management, travel cost, operational efficiency, accessibility, and coordination with future employment and residential land use, etc.)
- Identify and address deficiencies in the multimodal transportation system, including the needs of environmental justice and under-resourced communities, including Native American Tribal Governments and rural communities
- Encourage stakeholder collaboration
- Involve active community engagement for under-resourced communities and Native American Tribal Governments by utilizing advocacy groups, community-based organizations, and tribal organizations
- Coordinate transportation, housing, and land use planning
- Result in funded and programmed multimodal transportation system improvements

General Tips

- Some sections of the grant application may seem redundant when discussing under-resourced community engagement, overall public engagement, and stakeholder involvement. Although the general public and under-resourced communities are stakeholders for any project, for application purposes, the strategy, and methods for engaging these groups will be different, as described below.
 - Overall public engagement will describe the general strategy to engage the public at large.
 - Under-resourced communities' engagement will explain how the project will go above and beyond business as usual or what is statutorily required to address the

specific needs of under-resourced communities and use unique methods to involve these groups in the decision-making process. Refer to Appendix A, *Active Community Engagement*, which includes case studies for examples of equitable community engagement.

- Stakeholder engagement will explain how partner agencies, businesses, and/or non-profit community-based organizations will be involved throughout the project.
- 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 Cost and Schedule.
- Include Caltrans as an active partner in the study.
- Provide tailored letters of support and project area photographs to enhance the application. If applicants/supporters do not have the time/resources to provide tailored letters of support, a petition signed by supporters in a simple table format that lists the supporters **and** specifically how supporters will benefit the proposed project will suffice.

Project Description

Concisely describe the project. Explain “What parties are involved, the proposed major milestones, and why the project is necessary.”

Project Justification

- Clearly define and explain the transportation problem or deficiency that the project will attempt to address and how the project will address the problem. Why is it critical to address the problem now? Make the case for a critical need that the project will address and support it with verifiable data, if available.
- Explain how the project affects under-resourced communities. The tools in Appendix A are intended to help applicants define an under-resourced community in the project area. Please cite data sources, the tools used, and include a comparison to the statewide thresholds that are established in each tool.
- If the applicant is a Native American Tribal Government or a rural area (outside of the urbanized areas with 50,000 in population or greater) of the State, describe population characteristics such as demographics, location, and size.

Grant Specific Objectives

Demonstrate how the project fits every aspect of the Grant Specific Objective, as appropriate for the applicant and project type. Some guidance is provided below; however, it is not intended to be all inclusive. Applications should reference Appendix A for Resources to Advance Sustainable Communities Grant Specific Objectives.

Successful applications should include:

Planning for Housing, Housing Element Compliance, and Prohousing Designation

- To avoid a deduction of 5 points, applicants must demonstrate how they integrate housing planning into their policies, programs, and project, or commit to coordinate housing and transportation in future policies and programs throughout the application (e.g., narrative and scope of work). See Chapter 2.2 for a list of example projects that coordinate housing, land use, and transportation.
- To be eligible for a grant award, city and county primary/sub-grant applicants are required to submit:
 1. A housing element adopted by the local government to the Department of Housing and Community Development (HCD), and HCD must find the adopted housing element in substantial compliance with state housing element law pursuant to Government Code Section 65585.
 2. Annual Progress Reports (APRs) to HCD for at least the previous two years, 2022 and 2023.
- City or county primary/sub-applicants will receive a high recommendation from HCD if they have a Prohousing Designation, which can be earned by adopting local policies that facilitate the planning, approval, and construction of housing. The HCD Prohousing Designation Program provides incentives to cities and counties in the form of additional points or other preference in the scoring of competitive housing, community development, and infrastructure programs. For HCD Prohousing Designation Program information and how to develop a competitive application, refer to Appendix A, *Integrated Housing, Land Use, and Transportation Planning*.

Note: Charter cities are not exempt from this specific program requirement and must submit an Annual Progress Report for the calendar years mentioned above.

IMPORTANT TIPS:

- ✓ City and county primary/sub-grant applicants are required to submit:
 1. A housing element adopted by the local government to HCD.
 2. Annual Progress Reports to HCD for at least the previous two years, 2022 and 2023.

Community Engagement

- Refer to Appendix A, *Active Community Engagement*, for Community Engagement Best Practices.

- Evidence of additional public outreach measures that promote access to decision-making and program implementation for all segments of the community, including special needs populations, under-resourced communities, and a variety of socio-economic groups (e.g., households across the income and employment spectrum, ethnically and racially diverse households).
- The application narrative should outline specific outreach strategies including in-person and virtual options.
- Tailored letters of support with electronic signatures from community-based organizations or public advocacy groups to demonstrate their support or involvement in identifying the issues that the proposed project is attempting to address.
- If applicants/supporters do not have the time/resources to provide tailored letters of support, a petition electronically signed by supporters in a simple table format that indicates specifically how supporters will benefit the proposed project will suffice.

HELPFUL TIPS:

Tailored letters of support from local agencies that not only provide support for the project, but also confirms that the proposed project:

- ✓ Helps to implement the RTP SCS/APS and/or State priorities
- ✓ Involves a coordinated approach to integrating land use and transportation in all phases of project planning and implementation.

Integrated Housing, Land Use, and Transportation Planning

- Application narrative and any relevant supporting or illustrative data should describe how the proposed project integrates and connects land use and transportation, including how transportation and land use agencies or jurisdictions are actively collaborating on the project in all project phases.
- Competitive grant applications should demonstrate how the project furthers this coordinated and integrated approach to planning. For example:
 - Demonstrate how the project will support or align with the region's Regional Early Action Planning (REAP)³ grant investments or other regional planning or implementation efforts. REAP 2.0 seeks to accelerate infill housing development, reduce Vehicle Miles Traveled (VMT), increase housing supply at all affordability levels, affirmatively further fair housing, and facilitate the implementation of adopted regional and local plans to achieve these goals. Eligible uses include projects that invest in infrastructure to expand active transportation and fund and implement parking and transportation demand management programs or ordinances.
 - Describe how the project aligns with State housing policies and goals by serving a community within ½ mile of a transit station or stop that has received a positive Prohousing Designation Program score, certified by HCD.
 - Explain how the project is located in an area that has earned a Prohousing Designation and positive scores for Prohousing Enhancement policies from HCD. Jurisdictions supporting integrated housing, land use, and transportation planning may have policies

³ REAP Website: [Programs: Active | California Department of Housing and Community Development](#)

that include Prohousing Enhancement Factors, which represent a multi-faceted approach to planning objectives, are consistent with State priorities, go beyond state law, etc. Competitive applications may also identify a jurisdiction's policies that promote housing development and reduce VMT. For information about the HCD Prohousing Designation Program and how applicants can develop a competitive application with Prohousing Enhancement Factors or VMT reducing policies, refer to Appendix A, *Integrated Housing, Land Use, and Transportation Planning*. HCD will highly recommend awards for City and county primary/sub-applicants that earn this designation.

Project Management

- **Scope of Work:** Refer to the Scope of Work Checklist in Appendix B.
- **Cost and Schedule:** Refer to the Cost and Schedule Checklist in Appendix B.

3. SUSTAINABLE COMMUNITIES FORMULA

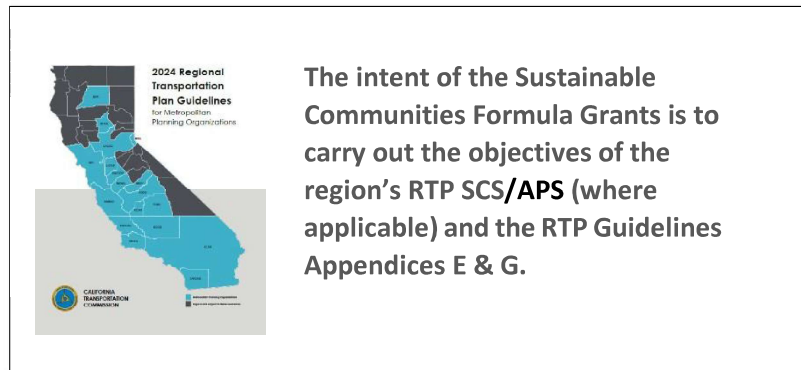
\$12.5 million will be distributed to the MPOs on a formula basis. The formula funds for the MPOs will reflect the same formula used to distribute Federal Highway Administration (FHWA) Metropolitan Planning PL funds.

The FHWA PL formula has three components:

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

3.1 Purpose and Specific Objectives

The purpose of the Sustainable Communities Formula is to fund local and regional multimodal transportation and land use planning projects that further the region's RTP SCS/APS (where applicable), contribute to the State's GHG reduction targets, and assist in achieving the Caltrans Mission and Grant Program Objectives (See Chapter 1.2).



The specific objectives, eligibility requirements, and performance considerations for the Sustainable Communities Formula Grants awarded to MPOs are consistent with the Sustainable Communities Competitive Grants.

The intent of the Sustainable Communities Formula Grants is to carry out the objectives of the region's RTP SCS/APS (where applicable) and the RTP Guidelines Appendices E and G. In addition, MPOs are strongly encouraged to administer Sustainable Communities Formula funding in a transparent manner and maintain non-profit eligibility, consistent with the legislative intent of SB 1 - The Road Repair and Accountability Act of 2017.

3.2 Guidance and Approval Process

Minimum Eligibility Criteria

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

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

If an MPO does not meet the minimum eligibility criteria listed above by **April 30, 2025**, their allocation will be redistributed to the remaining MPOs that are eligible and apply for the Sustainable Communities Formula Grants.

IMPORTANT NOTE:

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

Annual Draft Overall Work Program (OWP) Development and Approval Process

Sustainable Communities Formula Grants are part of the annual draft OWP development and approval process. The draft OWP process includes meaningful consultation with Caltrans district staff and the Headquarters Office of Regional and Community Planning (ORCP). MPOs are responsible for including a draft Work Element(s) for Sustainable Communities Formula Grant funds in the draft FY 2025-26 OWP and sending a list of activities using the provided template to Caltrans, no later than **March 1, 2025**. Draft OWPs are submitted to the district Regional Planning Liaison who will coordinate with ORCP. The draft Work Element(s) should include an explanation of how the project supports the Sustainable Communities Grant Specific Objectives and provide the same level of detail included in the grant application Scope of Work and Cost and Schedule for the Sustainable Communities Competitive Grants. The Work Element name and number must remain unchanged until the project(s) is completed. If Work Elements do not provide enough detail, MPOs will need to submit the competitive grant application Scope of Work and Cost and Schedule. More information and detailed requirements are outlined in the *SB 1 Guidance for OWPs and Requests for Reimbursements*, available upon request.

3.3 Example Project Types

MPOs have flexibility for how the Formula Grant allocation is administered. For example, MPOs may use these funds for a regional competitive grant program, integrated land use and transportation planning activities related to developing their SCS/APS, carrying out the best practices cited in the RTP Guidelines, or a combination thereof. If an MPO uses Formula Grant funds to administer a regional grant program, the MPO must submit their grant program criteria and list of eligible applicants and sub-applicants to the Caltrans district and ORCP. This step is to ensure the MPO's grant program aligns with the Caltrans Sustainable Communities Competitive Grants, including city and county housing element compliance. MPOs will also submit a list of awarded grants to the Caltrans district and ORCP. MPOs should coordinate the submittal of this information with the Caltrans district and ORCP to avoid delays for releasing the call-for-projects and grant awards. For additional example project types, refer to Chapter 2.2.

3.4 Eligible and Ineligible Activities and Expenses

Refer to Chapter 2.3 for eligible and ineligible activities and expenses.

3.5 Formula Grant Allocation Estimates

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

Sustainable Communities Formula Grants	
Metropolitan Planning Organization	Total Formula Grant Allocation
Tahoe Metropolitan Planning Organization	\$160,750
Madera County Transportation Commission	\$164,209
Kings County Association of Governments	\$162,943
Shasta Regional Transportation Agency	\$163,172
Butte County Association of Governments	\$180,569
Merced County Association of Governments	\$197,424
San Luis Obispo Council of Governments	\$195,962
Tulare County Association of Governments	\$246,944
Santa Barbara County Association of Governments	\$224,579
Stanislaus Council of Governments	\$291,053
San Joaquin Council of Governments	\$341,671
Kern Council of Governments	\$374,899
Association of Monterey Bay Area Governments	\$315,267
Fresno Council of Governments	\$407,484
Sacramento Area Council of Governments	\$774,991
San Diego Association of Governments	\$1,021,553
Metropolitan Transportation Commission	\$2,106,140
Southern California Association of Governments	\$5,170,390
Total	\$12,500,000

4. CLIMATE ADAPTATION PLANNING

Climate change adaptation aims to anticipate and prepare for climate change impacts to reduce the damage from climate change and extreme weather events, including sea level rise. Adaptation is distinct from, but complements, climate change mitigation, which aims to reduce GHG 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.

The State-funded Climate Adaptation Planning grants (\$3 million) will support tribal, local, and regional identification of transportation-related climate vulnerabilities through the development of climate adaptation plans, as well as project-level adaptation planning to identify adaptation projects and strategies for transportation infrastructure. Applicants at all stages of adaptation planning efforts including those who have not yet started adaptation work are encouraged to apply.

Climate adaptation planning projects are defined by:

- Identification of transportation system vulnerabilities and climate-related risks to existing transportation infrastructure, including resilience improvement plans
- Identification of adaptation planning projects that address climate risk impacts to existing transportation infrastructure including sea level rise, storm surge, changes in temperature and precipitation
- Planning for specific climate projects that can be programmed in existing local or regional transportation plans

4.1 Purpose and Specific Objectives

California's climate leadership has made the ambitious commitment to reduce GHG emissions and facilitate a transition to a carbon neutral economy. However, as made clear by the impacts already affecting California and the recent IPCC report, impacts of climate change are occurring sooner than expected and they disproportionately affect the most vulnerable among us. Many impacts, such as increased wildfires, droughts, landslides, rising sea levels, floods, severe storms, heat waves, and impacts to wildlife, are already occurring already and are expected to 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 better withstand 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 the California economy into the future.

Caltrans awarded three cycles of local adaptation planning grants allocated through the passage of SB 1. This program operated from FY 2017-18 through FY 2019-20 and was able to fund innovative tribal, local, and regional adaptation planning grants across California. Examples of the completed projects supported by the SB 1 Climate Adaptation Planning Grant Program can be found on the California Adaptation Clearinghouse's case study⁴ page. The current funding in this

⁴ Adaptation Clearinghouse's case study website: <https://resilientca.org/challenges/>

program aims to build upon the successful SB 1 program to further advance transportation adaptation planning.

Equity, including regional representation, will be considered when awarding projects. A minimum threshold of 50 percent of the funds has been identified for projects that benefit under-resourced communities, which includes tribal, local, regional, and rural communities (for transportation planning purposes, rural is defined as all areas of the state that are not included in urbanized areas of 50,000 in population or greater; refer to Appendix C, *Caltrans/Regional Agency Boundaries Map*, which indicates rural areas). For purposes of the grant program, acceptable under-resourced communities' definitions are described in Appendix A and include:

- Rural communities of 50,000 or less and outside of urbanized areas
- Native American Tribal Governments
- Regionally/locally defined under-resourced communities
- At or below 80% Assembly Bill 1550 (Gomez, Statutes of 2016)
- At or above 75% California Department of Education, Free or Reduced Priced Meals Data
- At or above 75% CalEnviroScreen Version 4.0
- At or below 25% California Healthy Places Index (HPI)

Furthermore, up to \$1 million will be set-aside for Native American Tribal Governments.

Climate Adaptation Planning grant applicants must demonstrate how the project fits the Grant Specific Objectives listed below, as appropriate for the applicant and project type. Additional resources (guidance, data sources, etc.) to assist in achieving these objectives can be found in Appendix A:

Applicants are required to demonstrate how the proposed effort will accomplish one or more of the following:

- Identify specific transportation infrastructure vulnerabilities⁵ to climate change impacts.
- Identify adaptation strategies and specific actions to address identified climate-related vulnerabilities, incorporating short-, medium-, and long-term strategies that mitigate overall risk throughout the entire service life of the asset or capital project. Where appropriate, this should include nature-based shoreline solutions as part of a comprehensive approach, using the best available science and guidance.
- Include economic analysis and/or cost-benefit analysis of identified adaptation strategy or strategies when applicable.

Applicants must also demonstrate how the proposed effort will accomplish one or more the following:

- Identify benefit(s) to under-resourced communities, including transit-dependent populations. Benefits may include improved access to safe and reliable transportation options, enhanced public safety measures in flood-prone areas, increased opportunities for community engagement in decision-making processes, protection of essential services and cultural resources, and the creation of local economic opportunities through workforce development and local hiring initiatives.

⁵ 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).

- 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, reductions in GHG emissions, critical emergency services, or reduction in contamination. Projects prioritizing nature-based solutions through natural and green infrastructure planning and adaptation strategies will be prioritized.
- Consistency with priorities and goals of the 2021 California State Adaptation Strategy, as well as any applicable local/regional resilience planning, and that the effort will identify ways to incorporate transportation-related climate adaptation needs into existing transportation plans.
- Projects must include a multistakeholder process that provides an opportunity for meaningful community engagement from communities potentially impacted by any projects identified or developed as part of the planning grant.

Competitive applicants will demonstrate one or more of the following:

- Alignment with or augmentation of existing plans, including climate action plans/adaptation plans, hazard mitigation plans, safety elements of general plans, resilience improvement plans, and/or Certified Local Coastal Programs⁶, that will lead to the identification and development of capital projects that can be programmed as part of local or regional transportation plans. Projects should follow State Guidance on Adaptation Planning (see Appendix A) or be aligned with local plans.
- Collaboration and partnerships with diverse external stakeholders such as businesses, non-governmental agencies, community-based organizations, federal, state, or local agencies, and community residents.
- Consideration of the adaptation needs of environmental resources in proximity to the transportation system such as coastal resources including but not limited to tidal marsh or beaches, wildlife connectivity, wetlands, or fish passage needs.
- Consideration of public access and Complete Streets' needs.

4.2 Example Project Types

Caltrans aims to fund a variety of project types from a diverse pool of applicants to respond to these climate impacts. Applicants who have adaptation planning efforts underway, as well as those who have not yet started adaptation planning, 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. The project types range from initial vulnerability assessment and broad planning efforts to project-level planning needs, for instance through local studies on natural hazards to inform a future project. Proposed projects are not constrained by the examples below.

- **Climate Vulnerability and Risk Assessments** (identification of climate vulnerabilities and risks to transportation infrastructure) which include the following steps from Phase 2 of the 2020 California **Adaptation Planning Guidelines** developed by the Governor's Office of Planning and Research (OPR):

⁶ More information about Certified Local Coastal Programs and whether a project is located in this area can be found on the Coastal Commission's website and further verified by reaching out to Coastal Commission staff at the applicable Coastal Commission District office.

<https://coastal.ca.gov/lcps.html>

- **Climate Change exposure analysis** that will characterize the community's exposure to current and projected climate hazards. This will include listing all climate change effects of concern, an overview of historical climate-related hazard events and their consequences to the community, a description of how each identified effect is expected to change over the analysis period, and a map of projected change in each identified climate change effect.
- **An assessment of impact sensitivity** that includes a list of community populations and assets that are sensitive to the community's climate change effects, descriptions of historical and potential future climate impacts to community elements and identifying potential climate impacts of greatest concern.
- **An analysis of adaptive capacity**, or the community's current ability to cope with climate impacts to community populations or key community assets. This will include a matrix describing the community's existing capacity to adapt to each of the priority climate impacts based on existing policies, plans, and/or programs, as well as a second, enhanced version of that matrix which describes factors that enhance local agencies' adaptive capacity.
- **The development and application of a vulnerability scoring methodology** including a table summarizing vulnerabilities across the study area.
- **Outreach and engagement** to foster collaboration with community members to identify community strengths, assets, and climate change impacts to allow opportunities to share their expertise and provide valuable, on-the-ground understanding of climate vulnerabilities.
- **Planning for extreme weather events that may impact transportation in a community.** Steps taken to adapt to extreme weather may include:
 - **Evacuation, response, and recovery planning** which may include the identification and evaluation of primary evacuation, response, and recovery corridors as well as the development of strategies, policies, or recommendations to improve evacuation, response, and recovery during extreme weather.
 - **Identifying communities and individuals with inadequate access to transportation options** (e.g., survey to determine number and location of transit dependent residents) and the development of potential strategies to improve the evacuation potential of such communities.
 - **Planning for expanded access to multimodal transportation options** (e.g., multimodal) in evacuation corridors to assist underserved and transit dependent populations in efficient evacuation during extreme events.
 - **Planning for Transportation Management System (TMS) and Intelligent Transportation System (ITS) elements** that will assist in the ongoing relay of information pertaining to potential hazards which may include the strategic implementation of early warning systems and changeable message signs for enhanced communication during extreme weather events.
 - **Planning and evaluating for decentralized energy storage needs for electric vehicle charging infrastructure** to safeguard against loss of power and impacts to electric vehicles due to climate-related grid disruptions from climate-related events such as extreme heat or wildfire.
- **Transportation Infrastructure Adaptation and Resilience Improvement Plans, and/or integration of transportation adaptation planning into existing plans** such as a climate mitigation or adaptation plan, Certified Local Coastal Program, Hazard Mitigation Plan, General Plan (including compliance with Senate Bill 379 requirements (Jackson, Chapter 608, Statutes of 2015)), **or other related planning efforts, including project-level planning for capital projects.** For instance, this can include:

- **Prioritization of adaptation needs and strategies** in a given region/location.
- **Project-level planning** that can be programmed through an existing local or regional transportation plan, such as evaluating infrastructure resilience to climate impacts, especially projects that integrate natural infrastructure or provide multiple benefits. Specific examples could include: adaptation strategies related to realigning/relocating transportation infrastructure impacted by sea level rise; providing transit shelters with shade, water, or other means of cooling in locations expected to see temperature increases; preparing for increased landslide risk; etc.
- **Natural and green infrastructure planning** (e.g., wetlands restoration along transportation corridors to protect transportation infrastructure from flooding and storm impacts, identifying and removing barriers to habitat and wildlife connectivity). For instance, this can include:
 - **Incorporation of natural and nature-based features into adaptation projects**, plans, and/or strategies that will address current or projected climate change impacts to transportation infrastructure and communities that use them while supporting wildlife connectivity, habitat creation or restoration, and enhancing biodiversity.
 - **The development of adaptation strategies that also incorporate elements of climate change mitigation** through the incorporation of trees and other vegetation into planning- and project-level recommendations.
- **Technical feasibility studies required to advance project-level adaptation planning.** Studies may assist in resolving more technical aspects at a study location which may result in more effective implementation of adaptation elements in project scope. They may also aid in advancing adaptation work at priority locations identified in other previous plans or policies. Studies might incorporate the following analyses:
 - **Coastal hazards and/or wave runoff analysis** at a known or identified coastal area in need of adaptation projects or solutions to make transportation assets and surrounding communities more resilient to coastal climate change hazards such as sea level rise, storm surge, and cliff retreat/coastal erosion.
 - **Precipitation or hydrological studies** that incorporate future climate risk into the analysis to ensure that subsequent adaptation strategies implemented in the study area are more resilient to projected changes in precipitation under climate change.
 - **Landslide or geotechnical studies** that consider climate change stressors including precipitation and/or wildfire and their potential impact on landslide risk.
- **Technical assistance projects for under-resourced and climate vulnerable communities to perform climate adaptation planning.** This will bring subject matter expertise on climate change and climate adaptation into a project at an identified location which will assist in effective actions being taken to improve climate resilience of transportation facilities and the communities that use them. This may include:
 - **Consultation with climate change subject-matter experts** who may offer assistance on relevant climate change data as well as demographic and/or spatial data management.
 - **Development of engagement and outreach materials and the facilitation of public meetings or events** related to climate change adaptation efforts within the community.
- **Development of educational resources, trainings and workshops for local jurisdictions and transportation service providers on any of the above listed adaptation planning activities.** This may include:
 - **Educational resources** that will inform members of the public or employees at governmental or other organizations on adapting to climate change impacts to

transportation facilities and how that may affect the community and steps that can be taken to better prepare for such impacts.

- **Trainings for staff** to establish best practices and organizational policies that will assist in preparation for future climate change impacts.

4.3 Eligible and Ineligible Activities and Expenses.

Eligible activities must have a transportation nexus per the California Constitution, Article XIX Section 2 and 3. Applicants need to consult with Caltrans district staff for more information on whether costs are eligible for funding.

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
- Up to 30 percent design or conceptual drawings
- Data and geospatial analysis
- Report writing and the development of associated graphics
- 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 dashboard
- Light snacks and refreshments for public workshops (no full meals), subject to Caltrans approval
 - Requests to enhance public participation beyond the currently eligible costs for light refreshments will need justification regarding the cost benefit of the anticipated increase in public participation and must be submitted to Caltrans, and FHWA, when applicable, for consideration and approval, on a case-by-case basis.

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
- 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
- Incentives for public participation

- Requests to enhance public participation beyond the currently eligible costs for light refreshments will need justification regarding the cost benefit of the anticipated increase in public participation and must be submitted to Caltrans, and FHWA, when applicable, for consideration and approval, on a case-by-case basis.
- Charges passed on to sub-recipient for oversight of awarded grant funds
- Other items unrelated to the project

4.4 Tips for a Successful Climate Adaptation Planning Grant Application

Strong applications will integrate all aspects of the grant program's purpose and specific objectives listed above. Additionally, strong applications will support statewide goals and objectives currently being implemented by the State of California, including the Grant Program Considerations (see Chapter 1.2).

Some guidance is provided below; however, it is not intended to be all inclusive.

Criteria for Successful Climate Adaptation Planning Grant Applications

- Clearly demonstrate how the project promotes climate change adaptation planning on the California transportation system and how the project aligns with the grant specific objectives.
- Partner with Caltrans to identify and address statewide, interregional, or regional transportation adaptation needs in the State Highway System (or multimodal transportation system for transit-focused and/or active transportation projects).
- Strengthen government-to-government relationships.
- Demonstrate that the proposed planning effort will lead to adaptation project funding proposals and/or programmed system improvements. This can include advancing planning to lead to project development through development of a cost estimate, pursuing a technical feasibility study for adaptation options, and/or developing a conceptual design.
- Identify and address deficiencies in the multimodal transportation system, including the needs of environmental justice and under-resourced communities, including Native American Tribal Governments and rural communities.
- Encourage stakeholder collaboration and include active community engagement.
- Promote the region's RTP SCS (where applicable), State planning priorities (Government Code Section 65041.1), and climate adaptation goals (State Adaptation Strategy).
- Demonstrate that the proposed planning effort will use the best available science for climate change projections.
- For proposed planning efforts in the California Coastal Zone, demonstrate that all analyses and final deliverables will be consistent with the applicable Certified Local Coastal Program, California Coastal Act (for projects in the Coastal Commission's retained jurisdiction), and Coastal Commission guidance documents on sea level rise, environmental justice, and tribal community engagement.

General Tips

- Refer to existing State guidance on climate adaptation planning to ensure alignment with State direction, State data, and guidance, including the California Adaptation Planning Guide, and resources that can be found on the State Adaptation Clearinghouse.
- 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 Cost and Schedule.
- Provide tailored letters of support and photos of project area as relevant to enhance the application. Project supporters should describe why they support the project and how they would benefit from the project. If applicants/supporters do not have the time/resources to provide tailored letters of support, a petition signed by supporters in a simple table format that lists the supporters and specifically how supporters will benefit the proposed project will suffice.
- Include Caltrans as an active partner in the study, as applicable.
- Some sections of the grant application may seem redundant when discussing under-resourced community engagement, overall public engagement, and stakeholder involvement. Although the general public and under-resourced communities are stakeholders for any project, for application purposes, the strategy and methods for engaging these groups will be different, as described below.
 - Overall public engagement will describe the general strategy to engage the public at large;
 - Under-resourced communities' engagement will explain how the project will go above and beyond business as usual to address the specific needs of under-resourced communities and use unique methods to involve these groups in the decision-making process; and
 - Stakeholder engagement will explain how partner agencies, businesses, and/or non-profit community-based organizations will be involved throughout the project.

Project Management

- **Scope of Work:** Refer to the Scope of Work Checklist in Appendix B.
- **Cost and Schedule:** Refer to the Cost and Schedule Checklist in Appendix B.

5. STRATEGIC PARTNERSHIPS

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

5.1 Purpose and Specific Objectives

Strategic Partnerships are intended to fund planning projects that partner with Caltrans to address needs on or connecting to the State Highway System, while the transit sub-category will address multimodal planning projects that focus on transit.

The objectives of the Strategic Partnerships and Strategic Partnerships - Transit grants are to:

- Strengthen government-to-government partnerships
- Accomplish the Federal Planning Factors
- Achieve the Caltrans Mission and the Grant Program Objectives

5.2 Federal Planning Factors

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

5.3 Complete Streets Local Match Waiver

FHWA and FTA have approved a local match waiver for Complete Streets related grant applications. Applicants with a Complete Streets related grant application must submit a request to receive the local match waiver. Complete Streets related activities include, but are not limited to, the following activities:

- Adoption of Complete Streets standards or policies
- Development of a Complete Streets prioritization plan that identifies a specific list of Complete Streets projects to improve the safety, mobility, or accessibility of a street
- Development of transportation plans that:

- Create a network of active transportation facilities, including sidewalks, bikeways, or pedestrian and bicycle trails, to connect neighborhoods with destinations such as workplaces, schools, residences, businesses, recreation areas, healthcare and childcare services, or other community activity centers
- Integrate active transportation facilities with public transportation service or improve access to public transportation
- Create multiuse active transportation infrastructure facilities (including bikeways or pedestrian and bicycle trails) that make connections within or between communities
- Increase public transportation ridership
- Improve the safety of bicyclists and pedestrians
- Regional and megaregional planning (i.e., multi-jurisdictional transportation planning that extends beyond MPO and/or State boundaries) that address travel demand and capacity constraints through alternatives to new highway capacity, including through intercity passenger rail
- Development of transportation plans and policies that support transit-oriented development

5.4 Example Project Types

Example Project Types - Strategic Partnerships

- Studies that identify interregional, inter-county, and/or statewide mobility and access needs
- Comprehensive Multimodal Corridor Plans
- Corridor performance/preservation studies
- Corridor enhancement 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 that result in sustainable transportation investments
- Enhanced tools to capture GHG benefits of Operations and System Management projects
- Integration of transportation and economic development
- Studies and plans that can help to quantify and highlight the value and importance of the rural State transportation system which connects large urban centers to rural open space, State and federal lands, and recreation and agriculture hubs
- Planning for sustainable freight
- Planning for transportation safety
- Transportation planning for special events
- Studies for relinquishment of state routes
- Statewide or interregional research or modeling tools
- Transportation demand management plans
- System investment prioritization plans
- Assessment and integration of new technology
- Complete street plans that consider last-mile freight
- Curbside freight management plans
- Agriculture goods movement plans
- Freight/supply chain resiliency studies
- Studies that evaluate accessibility and connectivity of the multimodal transportation network

- Studies that evaluate accessibility and connectivity of the multimodal transportation network
- Integration of transportation and environmental planning
- Studies, plans, and policies that address land use conflicts with major transportation corridors such as major highways, ports, shipping and freight corridors, etc. that are near sensitive land uses such as homes, schools, parks, etc. or potentially impacted by climate change
- Studies, plans or planning methods that advance a community's effort to reduce single occupancy vehicle trips and transportation related GHG through strategies including, but not limited to, advancing mode shift, demand management, travel cost, operational efficiency, accessibility, and coordination with future employment and residential land use

Example Project Types - Strategic Partnerships Transit

- Identification of policies and procedures to integrate transit into the transportation system and planning process
- Statewide and regional transit planning surveys and research
- Identification of policies, strategies, and programs to manage transit assets, preserve transit facilities, and optimize transit infrastructure
- Projects that evaluate accessibility and connectivity of the multimodal transportation network
- Transit technical planning studies and operational analyses to optimize system performance
- Studies or plans that evaluate rail or multimodal connectivity
- Studies or plans that evaluate bike and pedestrian connections to transit
- Short- and long-range Transit plans
- Station area planning
- Complete Streets plans or multimodal transportation plans
- Studies that evaluate accessibility and connectivity of the multimodal transportation network
- Transit planning for zero emission bus fleets
- Integration of transit, new emerging technologies, and shared mobility services
- Strategies to increase transit ridership
- Studies, plans or planning methods that assist transportation agencies in creating sustainable communities and transit-oriented development

5.5 Eligible and Ineligible Activities and Expenses

Eligible Activities and Expenses

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

Some examples of eligible costs include:

- Data gathering and analysis
- Planning consultant procurement
- Advertising for consultant procurement
- Advertising for public workshops, e.g., flyers, paid media ads
- Virtual outreach activities and on-line meetings
- Travel expenses (See Chapter 6.5 for details)
- Up to 30 percent conceptual drawings and design

- Equipment (as defined in 2 CFR Part 200.33)⁷ purchases must remain under \$5,000 or depreciation will need to be taken in to account when the grant project is completed since equipment could have future uses. 2 CFR Part 200.436⁸ provides the criteria for depreciation, at the GovInfo website.
- Community surveys, meetings, public workshop room rental, charrettes, focus groups
- Bilingual services for interpreting and/or translation services for meetings
- Community/stakeholder advisory groups
- Light snacks and refreshments for public workshops (no full meals), subject to Caltrans and federal approval
 - Requests to enhance public participation beyond the currently eligible costs for light refreshments will need justification regarding the cost benefit of the anticipated increase in public participation and must be submitted to Caltrans, and FHWA, when applicable, for consideration and approval, on a case-by-case basis.
- Project administration (up to 5 percent of the grant is allowed, i.e., quarterly reports, invoicing, and kick-off meeting with Caltrans)

Ineligible Activities and Expenses

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

- Environmental studies, plans, or documents normally required for project development under the National Environmental Policy Act or the California Environmental Quality Act
- Engineering plans and design specification work
- Project Initiation Documents
- Program or project implementation
- Repurposing unspent grant funds
- Consultant mark-ups
- Application development to pursue construction funds/project implementation
- RTPs or updates to the RTP
- Economic development plans or studies
- Land use plans or studies
- General Plans or updates to elements
- Construction projects, capital costs, such as the building of a facility, or maintenance
- Office furniture purchases, or other capital expenditures
- Decorations, e.g., for public workshop events
- Acquisition of vehicles or shuttle programs
- Organizational membership fees
- Incentives for public participation

⁷ Electronic Code of Federal Regulations, 2 Code of Federal Regulations, Part 200.33, 2020, <https://www.ecfr.gov/on/2017-01-03/title-2/subtitle-A/chapter-II/part-200/subpart-A/subject-group-ECFR2a6a0087862fd2c/section-200.33>

⁸ Govinfo, 2 Code of Federal Regulations, Part 200.436, 2022, <https://www.govinfo.gov/app/details/CFR-2022-title2-vol1/CFR-2022-title2-vol1-sec200-436>

- Charges passed on to sub-recipient for oversight of awarded grant funds
- Other items unrelated to the project

5.6 Tips for Successful Strategic Partnerships Grant Applications

Criteria for Successful Strategic Partnerships Grant Applications

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

General Tips

- Refer to Appendix A, *Multimodal System Planning*, for guidance documents in the development of proposed corridor plans/studies, freight plans/studies, and other multimodal system planning documents.
- 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 Cost and Schedule.
- Include Caltrans as an active partner in the study.
- Provide tailored letters of support and project area photographs to enhance the application. Project supporters should describe why they support the project and how they would benefit from the project.
- If applicants/supporters do not have the time/resources to provide tailored letters of support, a petition signed by supporters in a simple table format that lists the supporters and specifically how supporters will benefit the proposed project will suffice.

Project Summary

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

Project Justification

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

Grant Specific Objective

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

Project Management

- **Scope of Work:** Refer to the Scope of Work Checklist in Appendix B.
- **Cost and Schedule:** Refer to the Cost and Schedule Checklist in Appendix B.

6. GRANT PROJECT ADMINISTRATIVE REQUIREMENTS

The content of this chapter 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.

6.1 Coordination with Caltrans

Caltrans is committed to be an active partner. If awarded a grant, the applicant should include Caltrans district staff when planning both technical advisory and community meetings. In addition, Caltrans district staff will help to ensure that the approved Scope of Work, Cost and Schedule, 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.

Caltrans may contact grantees to participate in peer exchange forums to promote information sharing and best practices.

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.

6.2 Third Party Contracts

The agreements between a grantee and a sub-applicant/recipient, consultant, or sub-consultant are often referred to as “third party contracts.” An eligible sub-applicant should be identified by an eligible applicant at the onset of the application. Eligible sub-applicants/recipients may be added to an application after award with prior Caltrans approval. 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. An on-call shortlist may be used for consultant procurement if the on-call shortlist was established through a competitive process. Additionally, the consultant services solicited via the on-call shortlist must be consistent with the services sought in the initial request for proposals used to establish the on-call shortlist. Agencies may not use another agency’s on-call shortlist unless they are a grantee’s sub-applicant.

Grantees may use their agency’s procurement procedures if they comply with the State Contracting Manual, Chapter 5, the Local Assistance Procedures Manual, Chapter 10, and the terms of the agreement with Caltrans. In addition, work can only be contracted if it has been stated in the applicant’s Scope of Work and Cost and Schedule. A grantee is fully responsible for all work performed by its sub-recipient, consultant, or sub-consultant. Caltrans solely enters a contract directly with the grantee; therefore, the grantee is responsible to ensure that all third parties adhere to the same provisions included in the contractual agreement between Caltrans and the grantee.

All government funded consultant procurement transactions must be conducted using a fair and competitive procurement process that is consistent with the State Contracting Manual, Chapter 5,⁹

⁹ California State Contracting Manual Volume 1, Chapter 5, 2023,
<https://www.dgs.ca.gov/OLS/Resources/Page-Content/Office-of-Legal-Services-Resources-List-Folder/State-Contracting>

the Local Assistance Procedures Manual, Chapter 10,¹⁰ and the terms of the agreement with Caltrans. All documentation of third-party contract procurements must be retained, and copies of all agreements must be submitted to Caltrans. For more information on third party contracting, visit the State Contracting Manual and the Local Assistance Procedures Manual Websites.

6.3 Quarterly Reporting

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

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

For MPOs and RTPAs, the progress and expenditure 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.

6.4 Integrated Climate Adaptation and Resiliency Program (ICARP) Case Studies

Caltrans and the Governor's Office of Planning and Research are sharing the lessons learned from this grant opportunity to inform other existing or new State grant programs. To this end, Climate Adaptation Planning primary grant recipients will prepare a final case study/write-up upon grant completion to be included in the ICARP Clearinghouse (described in Appendix A., Pages 70-71), which was developed to share information, resources, and case studies with local and regional jurisdictions. Previous case studies can be found on the ICARP Case Study website¹¹. These case 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.

Climate Adaptation Planning grant recipients 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 ICARP contact information upon request.

Final Case Study Requirements:

- Include images and GIS files of maps, when applicable

¹⁰ Caltrans Local Assistance Procedures Manual, Chapter 10, 2024, <https://dot.ca.gov/programs/local-assistance/guidelines-and-procedures/local-assistance-procedures-manual-lapm>

¹¹ ICARP Case Study website: <https://resilientca.org/case-studies/>

- Emphasize processes or results that can be adapted or replicated for use in multiple jurisdictions or in various parts of the state
- Document the under-resourced community's involvement throughout the entire process of the proposed project and tools used to capture this information

6.5 Invoicing and Financial Requirements

Pre-Award Audit

The Sustainable Communities grants are available in amounts up to \$700,000, Strategic Partnerships grants are up to \$500,000 and Climate Adaptation Planning grants are up to \$3,000,000. However, any awarded grant in excess of \$250,000 may require a pre-award audit. The pre-award audit is to ensure that recipients of State or 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.

Accounting Requirements

Grantees and sub-applicants/recipients are required to maintain an accounting system that properly records, 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.

The accounting system must have the following attributes:

- Account numbers identifying allowable direct, indirect, and unallowable cost accounts
- Ability to accumulate and segregate allowable direct, indirect, and unallowable costs into different cost accounts
- Ability to accumulate and segregate allowable direct costs by project, funding source, and type of cost (e.g.: labor, consulting, pass-thru, or other)
- Internal controls to maintain integrity of financial management system
- Ability to account and record costs consistently and to ensure costs billed are in compliance with 2 CFR Part 200
- Ability to ensure costs billed reconcile to general ledgers and job costing system; and
- Ability to ensure costs are in compliance with contract terms and State and federal requirements

The types of records that are used to support the existence of these attributes include the following:

- Subsidiary general ledgers
- Chart of accounts
- Time keeping records
- General ledger and job costing ledgers
- Audited financial statements
- Accounting policy and procedure manuals specific to the agency
- Documents supporting actual costs (e.g. invoices, canceled checks)

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 Cost and Schedule. 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.

Local Match

All tasks require a grant amount and local match, except for the administrative tasks – Task 01 and Task 02, where both a grant amount and local match are optional. The local match is a financial requirement that demonstrates the grantee/local agency is vested in the project.

Because the local match is part of the total project cost, the local match can only fund eligible grant activities. Therefore, grant recipients must fund ineligible activities with funds other than the local match.

The local match can be all cash, all third-party in-kind contributions, or a combination of the two. The minimum local match is a percentage of the total project cost (i.e., minimum local match amount plus the grant amount) and is identified in the Cost and Schedule at the Task level.

Beginning with FY 2021-22, grantees can provide a tapered local match, which allows grantees to vary the required local match ratio for each task and with every Request for Reimbursement. Applicants must identify if they will utilize the tapered match on the Cost and Schedule. Grantees agree to satisfy the total local match amount by the grant expiration date.

Local Match Sources

- **Sustainable Communities Competitive and Technical**

Federal toll credits, FHWA PL, and FTA Section 5303, and Sustainable Communities Formula are ineligible match sources; otherwise, any source of funds may be used if the proposed grant work is an eligible activity for the local match fund source.

Local match is not required for Native American Tribal Governments.

- **Sustainable Communities Formula**

Federal toll credits are an ineligible match source; otherwise, any source of funds may be used if the proposed grant work is an eligible activity for the local match fund source. If MPOs are matching with federal Consolidated Planning Grant (CPG) funds (i.e., FHWA PL or FTA Section 5303), the work must all be eligible. However, federal approval is required as CPG objectives may differ and must be aligned with Sustainable Communities Formula specific objectives and 23 CFR Part 450 requirements.¹²

- **Climate Adaptation Planning**

Federal toll credits, FHWA PL, and FTA Section 5303, and Sustainable Communities Formula are ineligible match sources; otherwise, any source of funds may be used if the proposed grant work is an eligible activity for the local match fund source.

Local match is not required for Native American Tribal Governments.

- **Strategic Partnerships and Strategic Partnerships – Transit**

Any non-federal source of funds may be used if the proposed grant work is an eligible activity for the local match fund source. If MPOs are matching with Sustainable Communities

¹² Title 23, Code of Federal Regulations, Part 450,

<https://www.govinfo.gov/content/pkg/CFR-2004-title23-vol1/pdf/CFR-2004-title23-vol1-part450.pdf>

Formula funds, the objectives for each grant must be in alignment. Caltrans approval is required.

Cash Match

- Staff time from the primary applicant counts as cash match. Staff time charged to a specific project that has been funded and or reimbursed, cannot be used to meet the match requirement for another project.
- Sub-applicant staff time, if reimbursed, is considered cash match. If donating their time, it is considered in-kind.
- Revenue sources for local cash match can include local sales tax, special bond measures, private donations, private foundations, etc.

Third-Party In-Kind Match

Third party in-kind contributions are typically goods and services donated from outside the primary grantee's agency and can be counted towards the minimum local match requirement. Examples of third-party in-kind contributions is the value of donated:

- Public outreach materials
- Interpreter Services
- Facilities
- Equipment
- Advertising
- Student volunteers and other stakeholder staff time
- Other goods and services

The Third-Party In-Kind Valuation Plan is required to itemize and place value on donated goods and services. It must be submitted to Caltrans for approval only if the grant application is awarded. The Third-Party In-Kind Valuation Plan Checklist and Template can be found in Appendix B.

In addition:

- The value of third-party in-kind contributions must be directly benefiting and specifically identifiable to the project.
- Minimum wage standards for student workers or Caltrans pay rates for equal-level volunteers are acceptable base values of volunteer time.
- Third-party in-kind contribution information must be identified on the Grant Application Cover Sheet, the Cost and Schedule, and the project specific Work Element in the OWP (if applicable).

Minimum Local Match Requirements

Applicants/grantees will be held responsible for any local commitments above the minimum requirement included in the grant application and will be made part of the grant agreement with Caltrans. Once the agreement is executed, any decrease to local match commitments above the minimum required amount will require Caltrans approval through an amendment. The example shown in the following table illustrates the minimum local match requirement based on a

grant request of \$300,000. Applicants must use the Local Match Calculator¹³ to ensure the correct amounts are reflected on the Grant Application Cover Sheet and the Cost and Schedule.

Minimum Local Match Requirements (Percentage of Total Project Cost)			
Grant Program	Grant Request	Local Match	Total Project Cost
Sustainable Communities, Climate Adaptation Planning, and Strategic Partnerships –Transit	88.53% Example: \$300,000	11.47%* Example: \$38,868	100% Example: \$338,868
Strategic Partnerships	80% Example: \$300,000	20% Example: \$75,000	100% Example: \$375,000

*Climate Adaptation Planning local match is not required for Native American Tribal Governments.

Indirect and Direct Costs

Direct costs are those costs that can be identified specifically with a particular final cost objective, such as a state award, or other internally or externally funded activity, or that can be directly assigned to such activities relatively easily with a high degree of accuracy. Costs incurred for the same purpose in like circumstances must be treated consistently as either direct or indirect costs, also known as facilities and administrative costs or overhead costs.

Indirect Costs are costs that are incurred for a common or joint purpose. These costs benefit more than one cost objective and cannot be readily identified with a particular final cost objective. Reproduction costs, computer purchase, and office supplies are considered indirect costs, unless they are tied to a specific task or activity then they are considered direct costs.

Indirect Cost Allocation Plan/Indirect Cost Rate Proposal

If a grantee, including sub-recipients and third-party contractors/consultants, are seeking reimbursement of indirect costs, they must submit an Indirect Cost Allocation Plan (ICAP) or an Indirect Cost Rate Proposal (ICRP) to Caltrans. Submissions should be sent to Caltrans Internal Audits Office (CIAO) or Independent Office of Audits and Investigations (IOAI).

CIAO is responsible for the review and approval of government entities and non-profits ICAP submissions.

IOAI is responsible for the review and approval of for profit (Consultant) ICAP submissions. Consultants submit their ICAPs only when they are initially included in the contract and not on an annual basis.

An ICAP or ICRP must be prepared and submitted yearly in accordance with 2 CFR, Part 200. Indirect costs may be sought for reimbursement only

IMPORTANT NOTE

- ✓ Applications must include the estimated indirect cost rate on the Cost and Schedule.

¹³ Local Match Calculator posted on-line at (will download as MS Excel spreadsheet):
<https://dot.ca.gov/programs/transportation-planning/division-of-transportation-planning/regional-and-community-planning/sustainable-transportation-planning-grants>

after the grantee has received ICAP/ICRP approval from CIAO. For guidance on the ICAP/ICRP submission process, visit Caltrans Internal Audit Office¹⁴ and the Caltrans LAPM Chapter 5 Accounting/ Invoicing.¹⁵

Most Common Types of Indirect Cost Rates

The following are the most common types of Indirect Cost Rates:

- Fixed Rate
- Final Rate
- De Minimis Rate
- Safe Harbor Rate

Changes to the De Minimis Rate are outlined in the revised 2 CFR Part 200.414(f)¹⁶ that became effective November 12, 2020.

Applications must include the estimated indirect cost rate on the Cost and Schedule.

Travel Expenses

Grantees may be eligible to claim travel expenses if they have been approved in the Scope of Work and Cost and Schedule. 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). Any request for reimbursement that exceeds the State rates will be denied. The grantee is responsible for paying beyond the State rates and cannot use the local match because it is an ineligible activity.

For more information on eligible travel expenses, visit the Caltrans Travel Guide Website.¹⁷

Requests for Reimbursements

- Grant payments are made only as reimbursements.
- Grant reimbursements will be based on actual allowable incurred costs.
- Grant costs will be reimbursed if incurred on or after the start date and the issuance of the Notice to Proceed and before the expiration date.
- Request for Reimbursements (RFRs) must be submitted at least quarterly, but no more frequently than monthly.
- A one-time, lump sum invoice or RFR for the entire grant is not allowed.
- Grantees must pay sub-recipients and subcontractors prior to submitting an RFR to Caltrans.
- Incomplete or inaccurate RFRs will be returned for correction.
- An accounting management system generated report must accompany all RFRs.
- Refer to Chapter 9.2 to determine final RFR dates

¹⁴ Caltrans Internal Audits Office, ICAP/ICRP Submission Process, 2022,
<https://dot.ca.gov/programs/audits/submission-review-main>

¹⁵ Caltrans Local Assistance Procedures Manual Chapter 5, 2020,
<https://dot.ca.gov/-/media/dot-media/programs/local-assistance/documents/lapm/ch05.pdf>

¹⁶ Electronic Code of Federal Regulations, 2 Code of Federal Regulations, Part 200.414(f), 2020,
https://www.ecfr.gov/cgi-bin/text-idx?node=se2.1.200_1414&rgn=div8

¹⁷ Caltrans Travel Guide, 2020, <https://dot.ca.gov/programs/accounting/travel-guide>

- When requesting reimbursement of indirect costs, the following items are required as part of the submitted RFR package:
 - An approved ICAP/ICRP rate must be on file for the FY in which the costs occurred.
 - A financial management system report that segregates direct/indirect costs by fund source.
 - ICAP support document spreadsheet that identifies direct charges and rate applied to those charges.
- Grantees must pay final consultant invoices by the final invoice due date to be eligible for reimbursement when submitting a final RFR.

6.6 Non-Discrimination Requirements

Title VI Non-Discrimination Requirement

The FHWA and the FTA each have requirements that recipients of Metropolitan Planning federal funds must demonstrate continued compliance with Title VI. Compliance with Title VI includes conducting meetings in a fair and reasonable manner that are open to all members of a community. Interpretation and translation services should also be provided when appropriate. 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. Refer to the Caltrans Title VI website¹⁸ for more information.

Disadvantaged Business Enterprises

Successful grant applicants are expected to market contracting opportunities to all small businesses, including DBEs and Disabled Veteran Business Enterprises.

Grant recipients of federal funds are required to report any contracting opportunities that may involve DBE participation. DBE reporting is required twice a year: April 1 and October 1. For details about DBE requirements, visit the Office of Civil Rights website.¹⁹

6.7 Final Product

All final reports funded through the Sustainable Transportation Planning Grant Program shall credit the FHWA, FTA, or Caltrans' financial participation on the cover or title page. An Americans with Disabilities Act of 1994 (ADA)-accessible electronic copy of all final reports shall be forwarded to the Caltrans district office responsible for the administration and oversight of the grant. There are resources to assist with development of ADA compliant documents.²⁰

¹⁸ Caltrans, Title IV of the Civil Rights Act of 1964, 2020,
<https://dot.ca.gov/programs/civil-rights/title-vi>

¹⁹ Caltrans, Office of Civil Rights, Disadvantaged Business Enterprise Website:
<https://dot.ca.gov/programs/civil-rights/dbe>

²⁰ State of California Accessibility Website: <https://www.ca.gov/accessibility/>

California Department of Rehabilitation Accessibility Website:
<https://www.dor.ca.gov/Home/Accessibility>

MS Office Support Video: <https://support.office.com/en-us/article/video-check-the-accessibility-of-your-document-9d660cba-1fcd-45ad-a9d1-c4f4b5eb5b7d>

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.

Applicants should thoughtfully develop the project title. Once a Caltrans grant agreement is executed, changes to the original grant project title are not allowed. Grantees may use an "Also Known As" (AKA), but both the AKA and the original title must be included in the final product.

Grantees must submit their final product with the final RFR to Caltrans for approval and reimbursement. Grantees will not be reimbursed for activities that are not completed, and the activity budget must be left unexpended.

6.8 Project Close-Out Survey

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

6.9 California Public Records Act

All applications are subject to the California Public Records Act of 1968²¹. As such, applicants may be contacted by anyone who requests their grant application. While Caltrans is obligated to share applications at any time, awarded applicants should avoid a potential conflict of interest when contacted by consultants who may inquire about the grant-funded project and not give the consultant an unfair advantage for the consultant procurement process.

²¹ Leg info, California Government Code, Sections 6250 - 6270.7, https://leginfo.ca.gov/faces/codes_displayText.xhtml?division=7.&chapter=3.5.&lawCode=GOV&title=1.&article=1.

7. APPLICATION SUBMITTAL PROCESS

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.

7.1 Applicant Eligibility

Primary applicants must have statutory authority to conduct transportation/transit planning for their jurisdiction. Generally, the local and regional agencies have this specific authority. Native American Tribal Governments must be federally recognized to be eligible. Refer to the public entity's bylaws to find this information.

7.2 Early Coordination and Technical Assistance for 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/APS for the entire MPO region and do not duplicate efforts being applied for or already awarded to the MPO.

Caltrans district staff (See Appendix D) are available during the application period to answer questions and help interested groups complete their applications.

For questions specific to the Grant Application Guide, applicants are also welcomed to contact:

Application Guide Technical Assistance	Contacts
Sustainable Communities and Strategic Partnerships	Kevin Mariant, Grant Management Branch Chief Caltrans Division of Transportation Planning Office of Regional and Community Planning Email: Kevin.Mariant@dot.ca.gov
Climate Adaptation Planning	Julia Biggar, Climate Change Branch Chief Caltrans Division of Transportation Planning Office of Air Quality and Climate Change Email: Julia.Biggar@dot.ca.gov
Questions about Housing Element Compliance for Sustainable Communities Competitive and Technical	Paul McDougall Department of Housing and Community Development Email: Paul.McDougall@hcd.ca.gov

7.3 Application Submittal Instructions

The Grant Application Guide, Application forms, and required templates are available on the Caltrans Sustainable Transportation Planning Grant Program website, at:

<https://dot.ca.gov/programs/transportation-planning/division-of-transportation-planning/regional-and-community-planning/sustainable-transportation-planning-grants>

- All grant application packages are required to be submitted via Smartsheet
- Smartsheet features work better with Google Chrome browser
- Smartsheet progress cannot be saved. To avoid issues, follow these instructions:
 1. Complete the Application Cover Sheet in MS Word
 2. Copy and paste the Application Cover Sheet fields into the Smartsheet form
 3. Have the PDF attachment ready to upload into the Smartsheet form
- An agency may only submit one application package per Smartsheet submittal.
- An application cannot be submitted to more than one grant category.
- The required items outlined on the Grant Application Checklist in Appendix B must be submitted as a single PDF document (not to exceed 25MB); if awarded, original formats will be requested.
- All application documents must list the applicant's legal name.
- A confirmation of receipt can be sent via Smartsheet if the applicant checks the box to receive a copy of the submittal.

Submit applications via **Smartsheet Form** January 22, 2025

Hard copies will not be accepted, and late applications will not be reviewed.

Caltrans anticipated award announcements: **Summer 2025**

Caltrans district staff are available during the application period to answer questions and help interested groups complete their applications. Refer to Appendix D, *Caltrans District Contact List*, for contact information.

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

7.4 Application Supplemental Documentation

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 late or separate from the application package will not be considered. The letters should be addressed to the applicant. Such letters can come from community-based organizations, local governments, regional governments, Native American Tribal Governments, service agencies, and elected officials.

Graphics

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

Safety Data

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

Travel Mode Data

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

Other Data

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

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

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

8. APPLICATION REVIEW PROCESS

8.1 Two-Tiered Application Review Process

This chapter provides a brief overview of the grant application review process. Grant application evaluation is a two-tiered process that consists of:

- Caltrans District Review and Evaluation
- Caltrans Headquarters (HQ) Interagency Review Committees Evaluation

Caltrans district staff conducts the first-level review of all applications for content, submission of proper documentation, overall relationship to regional and local planning efforts, and documents their evaluations. Caltrans district staff scores, prioritizes, and recommends the most highly ranked Sustainable Communities and all Strategic Partnerships applications for the next level of review with the Interagency Review Committees. Grant applications from Native American Tribal Governments, Transit Agencies, and proposed projects spanning multiple Caltrans districts or projects having a statewide significance, may also move on directly from Caltrans districts to HQ for review.

The HQ Interagency Review Committees conduct the second-level review and comprise staff from Caltrans HQ, the Federal Highway Administration, the Federal Transit Administration, the California Department of Housing and Community Development, the California Department of Public Health, the Governor's Office of Planning and Research, the Strategic Growth Council, and the California Air Resources. Caltrans HQ also coordinates with internal specialists, depending on the grant application subject matter, to provide high-level reviews of the proposed project to avoid funding duplicative efforts or efforts that are not supportive of State planning efforts. The committees for each grant category convene to develop funding recommendations that are approved by every level of Caltrans management and the California State Transportation Agency.

8.2 Application Evaluation/Scoring Process

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 that would not unintentionally put some applicant/project types at a disadvantage. Therefore, applications will be scored based on how well they are able to describe the project, justify need, incorporate the grant specific objectives, and develop a Scope of Work and Cost and Schedule, all in accordance with this grant guide, samples and checklists provided, as applicable and appropriate for the applicant and project type. Once the grant review committees evaluate, rank, and select the best applications for grant funding, final recommendations are presented to Caltrans management and California State Transportation Agency for approval.

8.3 Past Performance Award Considerations

Previous Caltrans transportation planning grantee performance will be considered during the evaluation process. Applicants with a history of inadequate performance and/or unresolved past grant performance issues may be at a competitive disadvantage in the application review process. Past performance issues could include the following:

- Poor grant project management
- Lack of communication/coordination with Caltrans
- Failure to achieve grant project milestones

- Untimely invoice submittals
- Excessive balances and consistently relinquish transportation funds administered by Caltrans Planning
- Unresolved audit issues or findings
- Overall poor quality of the final grant product
- Failure to satisfy the required State and federal planning requirements including submittal and administration of OWPs, RTPs, and Transportation Improvement Programs

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

9. APPLICATION AWARD PROCESS

9.1 Award and Non-Award

Successful grant applicants will receive an award letter via email. A list of awarded and non-awarded grants will be posted to the Caltrans Sustainable Transportation Planning Grant Program website.

Caltrans Sustainable Transportation Planning Grant Program Website:

<https://dot.ca.gov/programs/transportation-planning/division-of-transportation-planning/regional-and-community-planning/sustainable-transportation-planning-grants>

Conditional Award Teleconferences

Each grantee will receive a Conditional Award Letter that outlines the grant project cost, important expiration and final invoice dates.

Caltrans district staff will schedule individual teleconferences to provide the specific and general conditions of grant acceptance that are necessary to accept grant funding, including any revisions to the grant application, Scope of Work and Cost and Schedule. Conditions may include revisions to the project Scope of Work to bolster public participation, consider land use and housing, and to coordinate with local housing and community development departments and health departments. Awardees are required to submit all supporting materials and a signed agreement or risk forfeiting the grant award.

Non-Award Teleconferences

Unsuccessful grant applicants are encouraged to request a debriefing from Caltrans. Applicants typically receive specific comments from the District/Interagency Review Committee on how to improve applications to re-apply in a future grant cycle. If the application advanced to the second-level review, HQ provides the Interagency Review Committee score, as well as how close the application was relative to the cut-off score for available grant funding. Applicants sometimes apply two or three times before they are successful due to the competitiveness of the grant program.

9.2 Contracting with Caltrans

All awarded grant funds must be under an executed agreement with Caltrans during the State FY 2025-26. The project start date depends on the method of contracting with Caltrans.

MPOs and RTPAs

All MPOs/RTPAs with a current Master Fund Transfer Agreement (MFTA) must have the entire grant award and local match programmed in the FY 2025-26 OWP within 90-days of receiving the signed FY 2024-25 reconciliation letter. Due to the competitiveness of this grant program, failure to program funds may result in forfeiture of grant funds. MPOs/RTPAs should include a place-holder Work Element in the Draft FY 2025-26 OWP and satisfy specific grant conditions before the first FY 2025-26 OWP amendment. MPO/RTPAs can anticipate starting their projects in November 2025, after the OWP amendment is processed and Caltrans issues a formal Notice to Proceed.

Non-MPOs/RTPAs

Grantees that do not have a current MFTA with ORCP (i.e., cities, counties, transit agencies, Native American Tribal Governments), Caltrans will contract directly with the primary grantees through the Restricted Grant Agreement (RGA) process. For grantees that undergo the RGA contracting

process, work may begin as early as November 2025, assuming the grantee has received a fully executed contract and Caltrans district staff send a formal Notice to Proceed which allows grantees to begin work.

Estimated Project Start/Expiration Dates

It is important for applicants to reflect the estimated project start date in the Scope of Work and Cost and Schedule. Project Timeline constraints for both methods of contracting with Caltrans are provided below. Grantees must consider these dates when developing the Scope of Work and Cost and Schedule:

Master Fund Transfer Agreement Project Timeline (MPOs/RTPAs Only)	
November 2025	Anticipated start date
June 30, 2028	- Grant project end/expiration date - Reimbursable work must be completed - Grant extensions are only allowed for extenuating circumstances and may require a formal Overall Work Program (OWP) amendment
August 29, 2028	All Final Request for Reimbursements for must be submitted no later than 60 days after the end of the fiscal year to coincide with the submission of the OWP Final Expenditure Report.
Restricted Grant Agreement Project Timeline (Non-MPO/RTPAs)	
November 2025	Anticipated start date
June 30, 2028	- Grant project end/expiration date - Reimbursable work must be completed - Grant extensions are only allowed for extenuating circumstances and require a formal amendment.
August 29, 2028	Final Request for Reimbursements and final products must be submitted to Caltrans for approval and reimbursement. This allows Caltrans sufficient time to comply with the State Controller's Office payment requirements.

Native American Tribal Governments

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

- (1) Contracting with Tribes Directly** – The authority Caltrans uses to contract with tribes directly comes from California Streets and Highways Code section 94. **Caltrans no longer requires tribes to provide a limited waiver of sovereign immunity with an RGA unless requested by a tribe.** The RGA boilerplate template for Native American Tribal Governments is available upon request.
- (2) Partnering with a Regional Agency** – Another mechanism for contracting with Caltrans is to collaborate with an MPO or RTPA with a current MFTA. Caltrans can pass through grant funding to tribes for planning projects where options or time are limited. This option uses the three-part contract, MFTA/OWP/OWPA, and is usually the quickest option to allow planning projects to get started.

(3) Transferring Funds Pursuant to 23 U.S.C. 202(a)(9) – Section 202(a)(9) of title 23, United States Code encourages cooperation between States and Tribes by allowing any funds received from a State, county, or local government to be credited to appropriations available for the Tribal Transportation Program (TTP). One potential source of such funding is funds apportioned or allocated to a State under title 23. Section 104(f)(3) allows the Secretary of Transportation to, at the request of a State, transfer among States, or to the FHWA, funds that have been so apportioned or allocated. This provision, used in conjunction with the authority under 23 U.S.C. 209(a)(9), allows State funds to be transferred to FHWA, which in turn would provide the funds to the specified Tribe.

For more information visit the FHWA website.²²

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

²² Federal Highway Administration, Office of Tribal Transportation , 2020
<https://filh.fhwa.dot.gov/programs/ftp/documents/Funds-Transfer-Procedures-Pursuant-to-23-U.S.C.202%28a%29%289%29.pdf>

APPENDICES

APPENDIX A. GUIDANCE, TOOLS, AND RESOURCES FOR PREPARING A GRANT APPLICATION

Grant Program Considerations

The Grant Application Guide incorporates guidance from many sources. The following links are provided to assist applicants in preparing a competitive grant application consistent with the grant program, specific objectives, and the Grant Program Considerations:

- Caltrans Strategic Plan
- California Transportation Plan (CTP) 2050
- California Strategic Highway Safety Plan (SHSP) 2020-2024
- Modal Plans that Support the CTP
 - Interregional Transportation Strategic Plan
 - California Freight Mobility Plan
 - California State Rail Plan
 - California State Bicycle and Pedestrian Plan
 - Statewide Transit Strategic Plan
 - California Aviation System Plan
- Title VI and Environmental Justice
- Climate Action Plan for Transportation Infrastructure
- California Climate Adaptation Strategy
- Master Plan for Aging

Caltrans Strategic Plan

The purpose of the Strategic Plan is to be a roadmap of Caltrans' role, expectations, and operations as we meet the challenges of modernizing Caltrans into a world-class Department of Transportation. The tools we use to implement this Plan are performance management, transparency, accountability, sustainability, and innovation. The Plan serves a number of functions:

- Provides clear direction for meeting statewide objectives;
- Creates and deepens strategic partnerships; and
- Provides performance measures that monitor success

<https://dot.ca.gov/-/media/dot-media/programs/risk-strategic-management/documents/sp-2020-16p-web-a11y.pdf>

California Transportation Plan 2050

The CTP 2050 is the State's statutorily fiscally unconstrained long-range transportation roadmap for positive change that:

- Provides a unifying and foundational policy framework for making effective, transparent, and transformational transportation decisions in California
- Addresses the varied transportation needs of urban, suburban, rural, and tribal communities
- Emphasizes implementation and identifies a timeline, roles, and responsibilities for each plan recommendation.

The CTP does not contain projects, but policies and strategies required to close the gap between what the RTPs aim to achieve and how much more is required to meet 2050 goals. Competitive applications will discuss how proposed projects will assist in achieving the CTP 2050.

<https://dot.ca.gov/-/media/dot-media/programs/transportation-planning/documents/ctp-2050-v3-a11y.pdf>

Strategic Highway Safety Plan

California's Strategic Highway Safety Plan (SHSP) is a statewide, comprehensive, data-driven effort to reduce fatalities and serious injuries on public roads. Started in 2005, the SHSP is updated regularly to ensure continued progress and meet changing safety needs. Currently, over 300 safety stakeholders from 80 public and private agencies and organizations work together to implement the plan under the direction of the SHSP Executive Leadership and a 13-member Steering Committee. The SHSP includes behavioral, infrastructure, and technology strategies addressing the "4Es" of safety: engineering, enforcement, education, and emergency services.

<https://dot.ca.gov/programs/safety-programs/shsp>

Modal Plans that Support the California Transportation Plan

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

Interregional Transportation Strategic Plan (ITSP)

A Caltrans document that provides guidance for the identification and prioritization of interregional transportation improvements to be funded in the Interregional Transportation Improvement Program (ITIP). The ITSP analyzes the entire interregional transportation system including highways and rail. While the ITSP informs the ITIP, the purpose of the plan is to be a guiding document for all investment in the interregional transportation system regardless of funding source.

<https://dot.ca.gov/programs/transportation-planning/division-of-transportation-planning/corridor-and-system-planning>

California Freight Mobility Plan

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

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

California State Rail Plan

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

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

California State Bicycle and Pedestrian Plan

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

<https://dot.ca.gov/-/media/dot-media/programs/transportation-planning/documents/f0020350-activeca-final-plan-2017-05-18-a11y.pdf>

Statewide Transit Strategic Plan

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

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

California Aviation System Plan

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

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

Title VI and Environmental Justice

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

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

<https://dot.ca.gov/programs/civil-rights/title-vi>

The following tools are provided to assist grant applicants with integrating environmental justice in their proposed activities:

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>

Environmental Justice Agency Assessment 2020

The California Environmental Justice Alliance completed the fifth Environmental Justice Agency Assessment, the only one in the nation to formally examine how state agencies develop, implement, and monitor environmentally related policies that particularly impact low-income communities and communities of color. The assessments in this report are made in the spirit of holding state agencies and elected officials accountable to the public, and to provide guidance on how they can make their work more equitable.

<https://caleja.org/wp-content/uploads/2021/07/CEJA-Agency-Assessment-062021-FINAL-WEB.pdf>

Caltrans Transportation Equity Index (EQI)

The EQI is a spatial screening tool designed to identify transportation-based priority populations at the Census block level. The EQI integrates transportation and socioeconomic indicators into three screens. All screens reflect low-income status and tribal land status.

The EQI screens include:

- Transportation-Based Priority Populations: Communities that are most burdened by the transportation system and receive the fewest benefits.
- Traffic Exposure: Communities that are the most burdened through high exposure to traffic and crashes.
- Access to Destinations: Communities that have the greatest gaps in multimodal access to destinations.

<https://dot.ca.gov/programs/esta/race-equity/eqi>

Climate Action Plan for Transportation Infrastructure

The Climate Action Plan for Transportation Infrastructure (CAPTI) details how the State recommends investing billions of discretionary transportation dollars annually to aggressively combat and adapt to climate change while supporting public health, safety and equity. CAPTI builds on executive orders signed by Governor Gavin Newsom in 2019 and 2020 targeted at reducing GHG emissions in transportation, which account for more than 40 percent of all emissions, to reach the State's ambitious climate goals.

<https://calsta.ca.gov/-/media/calsta-media/documents/capti-july-2021-a11y.pdf>

California Climate Adaptation Strategy

The California Climate Adaptation Strategy, mandated by Assembly Bill 1482 (Gordon, 2015), links the State's existing and planned climate adaptation efforts, showing how they fit together to achieve California's six climate resilience priorities. The Strategy is organized around outcome-based priorities, enabling a coordinated, integrated approach to building climate resilience. The Strategy shows how the State's efforts fit together to deliver on six priorities for climate resilience action in California: Strengthen Protections for Climate Vulnerable Communities; Bolster Public Health and Safety to Protect Against Increasing Climate Risks; Make Decisions Based on the Best Available Climate Science; Build a Climate Resilient Economy; Accelerate Nature-Based Climate Solutions and Strengthen Climate Resilience of Natural Systems; Partner and Collaborate to Leverage Resources.

<https://www.climate resilience.ca.gov/>

Master Plan for Aging

The Master Plan for Aging is a blueprint for aging across the lifespan and outlines five goals and twenty-three strategies to build a California for All Ages by 2030. It also includes a Data Dashboard for Aging to measure progress and a Local Playbook to drive partnerships that will assist in meeting the goals of the Master Plan.

<https://mpa.aging.ca.gov/>

Resources to Advance Grant Specific Objectives

Applicants must demonstrate how the project fits every aspect of the Grant Specific Objective, as appropriate for the applicant and project type. The following resources are provided in this section:

- Multimodal System Planning
- Advance Transportation Related GHG Reduction Project Types/Strategies
- Addressing the Needs of Under-Resourced Communities
- Public Health Resources
- Active Community Engagement
- Integrated Housing, Land Use, and Transportation Planning
- Promote the Region's RTP SCS/APS, State Planning Priorities, and Climate Adaptation Goals
- Climate Ready Transportation and Climate Adaptation Planning

Multimodal System Planning

The following guidance documents can be used in the development of proposed corridor plans/studies, freight plans/studies, and other multimodal system planning documents.

Comprehensive Multimodal Corridor Plan Guidelines

The California Transportation Commission developed the Comprehensive Multimodal Corridor Plan Guidelines (plan guidelines) to provide guidance to eligible Solutions for Congested Corridors Program applicants regarding the statutory requirements for comprehensive corridor plans utilized by agencies to apply for funding through the Congested Corridors Program. Applicants proposing to develop a comprehensive corridor plan are encouraged to review the plan guidelines to ensure their application and final product would align with and compete well for the Solutions for Congested Corridors Program.

<https://catc.ca.gov/programs/sb1/solutions-for-congested-corridors-program/comprehensive-multimodal-corridor-plan-guidelines>

Caltrans Corridor Planning Process Guide

The Caltrans Division of Transportation Planning prepared the Corridor Planning Process Guide (Guide) for use in preparing corridor planning documents. This Guide establishes a comprehensive planning approach through desired protocols and procedures to identify and implement multimodal transportation needs. It is neither intended as nor does it establish, a legal standard for these functions.

<https://dot.ca.gov/-/media/dot-media/programs/transportation-planning/documents/system-planning/systemplanning/corridor-planning-process-guide-april-2022-a11y.pdf>

Planning for Operations Strategic Work Plan

The Planning for Operations Strategic Work Plan is a statewide framework for multimodal system management planning, aims to identify the specific steps needed to implement multimodal system management planning at Caltrans and prioritize implementation actions.

<https://dot.ca.gov/-/media/dot-media/programs/transportation-planning/documents/system-planning/systemplanning/caltrans-p4ops-strategic-work-plan-2018-a11y.pdf>

Caltrans Climate Change Emphasis Area Guide for Corridor Planning

Consideration of climate change adaptation and mitigation must be included in the corridor planning process. This guidance was developed to describe how to address climate risk in the context of the Caltrans Corridor Planning Process Guide's 8 steps process.

<https://dot.ca.gov/-/media/dot-media/programs/transportation-planning/documents/cc-ea-guide-for-corridor-planning-march2022-a11y.pdf>

Climate Adaptation Strategies for Transportation Infrastructure

This educational-only resource describes the types of hazards and/or threats represented by different climate stressors and lists the types of adaptation actions or strategies that could be considered to minimize climate change impacts.

<https://dot.ca.gov/-/media/dot-media/programs/transportation-planning/documents/office-of-smart-mobility-and-climate-change/fy23-24-adaptation-strategies-transportation-infrastructure-05102024v2-a11y.pdf>

Active Transportation Emphasis Area Guidance

Active Transportation is one of several distinct emphasis areas to be considered in corridor plan analysis. Caltrans Active Transportation guidance has one goal – to provide corridor planners with a framework to assess and analyze the variety of Active Transportation issues that can be addressed in Corridor Plans. As the “Eight Step” process will be required to develop Corridor Plans, this Active Transportation Emphasis Area (EA) Guidance is based upon those eight steps.

<https://dot.ca.gov/-/media/dot-media/programs/transportation-planning/documents/active-transportation-complete-streets/20220131active-transportation-emphasis-area-guidance-final-version-v7a11y.pdf>

Advance Transportation Related GHG Reduction Project Types/Strategies

CARB 2022 Scoping Plan, Appendix E

The California Air Resources Board (CARB) adopted the *2022 Scoping Plan for Achieving Carbon Neutrality*, to guide how the State develops communities, preserves and protects its landscapes, and ensures that all Californians have equitable access to housing, health care, jobs, and opportunity. Competitive Sustainable Communities grant applications will demonstrate a linkage to this land use vision.

The 2022 Scoping Plan (Appendix E, *Sustainable and Equitable Communities*) also includes information on the need for reducing VMT and outlines a list of potential additional strategies that the State and other responsible parties could pursue to help achieve further VMT reduction, support local and regional actions already underway, and advance multiple additional goals.

While this document is intended to guide State-level actions, many of the strategies can also be implemented at a regional and local level. Sustainable Communities grant applicants are encouraged to explore these strategies and apply them, as appropriate, to proposed planning projects.

CARB 2022 Scoping Plan (all updates and appendices):

<https://ww2.arb.ca.gov/our-work/programs/ab-32-climate-change-scoping-plan/2022-scoping-plan-documents>

CARB 2022 Scoping Plan, Appendix E:

<https://ww2.arb.ca.gov/sites/default/files/2022-11/2022-sp-appendix-e-sustainable-and-equitable-communities.pdf>

For current CARB activities and future updates on Scoping Plan efforts, visit:

<https://ww2.arb.ca.gov/our-work/programs/ab-32-climate-change-scoping-plan>

Senate Bill 375

The Sustainable Communities and Climate Protection Act (SB 375) was signed in 2008. It supports the State's climate goals by helping reduce GHG emissions through coordinated transportation, housing, and land use planning.

Under the Sustainable Communities Act, CARB sets regional targets for GHG emissions reductions from passenger vehicle use. CARB set targets for 2020 and 2035 for each of the 18 MPO regions.

Each of the MPO regions must prepare an SCS/APS, as an integral part of its RTP, that contains land use, housing, and transportation strategies that, if implemented, would allow the region to meet CARB's targets. Once the SCS/APS is adopted by the MPO, CARB must review the adopted SCS/APS to accept or reject the MPO's determination that the SCS/APS, if implemented, would meet the targets.

Sustainable Communities grant applicants, where applicable, should explore their regions SCS/APS, and apply them, as appropriate, to proposed planning projects.

CARB SCS/APS Evaluations: <https://ww2.arb.ca.gov/our-work/programs/sustainable-communities-program/regional-plans-evaluations>

SB 375: https://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=200720080SB375

Senate Bill 743

Senate Bill (SB) 743 was signed in 2013, with the intent to "more appropriately balance the needs of congestion management with statewide goals related to infill development, promotion of public health through active transportation, and reduction of GHG emissions." As such, automobile delay or traffic congestion, as measured in level of service, is not considered a significant environmental effect under the California Environmental Quality Act (CEQA). Changes to the CEQA Guidelines were certified in December 2018 and established Vehicle Miles Traveled (VMT) as the most appropriate measure of transportation-related environmental impact. A key element of transportation analysis under the new guidance is forecasting induced vehicular travel, or the change in VMT attributable to a project. Since July 1, 2020, statewide implementation of VMT analysis in CEQA documents is required.

Applicants who wish to pursue model improvements or develop VMT Mitigation Programs using Sustainable Communities Competitive Technical or Formula grants are encouraged to review available materials relating to forecasting induced travel or strategies to mitigate and reduce VMT, including those found on the Caltrans SB 743 implementation website. Refer to the Caltrans

Transportation Analysis Framework, the Caltrans Transportation Analysis Under CEQA, and other resources linked on the website for more information.

Example project types include:

- Integration of land use modeling into travel demand models, improving long-term induced travel modeling capability
- Incorporation of impacts to trip-making behaviors as a result of network improvements
- Improved congestion feed-back into existing models, or pre- and post-processing procedures
- Induced travel case studies
- VMT-reducing strategies and programs intended to mitigate for induced travel impacts

SB 743: http://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201320140SB743

Caltrans SB 743 Implementation Resources: <https://dot.ca.gov/programs/esta/sb-743/resources>

Addressing the Needs of Under-Resourced Communities

Caltrans encourages eligible applicants to apply for Sustainable Communities Competitive Grants to address transportation needs and deficiencies in under-resourced communities. Supporting planning projects that benefit a under-resourced community is a priority; therefore, a minimum threshold of 50 percent of Sustainable Communities Competitive Grants has been identified for projects that benefit under-resourced communities, which includes Native American Tribal Governments and rural communities (for transportation planning purposes, rural is defined as all areas of the state that are not included in urbanized areas of 50,000 in population or greater; see map in Appendix C which indicates rural areas). In sum, acceptable under-resourced communities definitions include:

- Rural communities of 50,000 or less and outside of urbanized areas
- Native American Tribal Governments
- Regionally/locally defined under-resourced communities
- At or below 80% Assembly Bill 1550 (Gomez, Chapter 369, Statutes of 2016)
- At or above 75% California Department of Education, Free or Reduced Priced Meals Data
- At or above 75% CalEnviroScreen Version 4.0
- At or below 25% California Healthy Places Index (HPI)

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

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

IMPORTANT INFORMATION:

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

Regionally and/or Locally Defined Under-Resourced Communities

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

Assembly Bill (AB) 1550 (Gomez, Chapter 369, Statutes of 2016)

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

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

AB 1550: https://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201520160AB1550

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

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

FRMP data files: <https://www.cde.ca.gov/ds/sd/sd/files.asp>

SB 99: https://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201320140SB99

CalEnviroScreen Version 4.0

CalEnviroScreen is a screening methodology that can be used to help identify California communities that are disproportionately burdened by multiple sources of pollution. CalEnviroScreen uses environmental, health, and socioeconomic information to produce a numerical score for each census tract in the state. For purposes of SB 535 (De León, Statutes of 2012), disadvantaged communities are defined as the top 25 percent scoring areas from CalEnviroScreen along with other areas with high amounts of pollution and vulnerable populations.

<https://oehha.ca.gov/calenviroscreen/report/calenviroscreen-40>

California Healthy Places Index (HPI)

HPI is an interactive data and mapping tool that provides a detailed snapshot of the social determinants of health across California, mapped down to the Census tract level. HPI provides comparison rankings of Census tracts statewide and an accompanying policy action guide.

Therefore, the HPI can be a useful tool in prioritizing areas with high levels of social and economic disadvantage for funding, policy, and planning interventions. HPI was developed by the Public Health Alliance of Southern California in collaboration with health departments and data experts across the state. Because HPI focuses on the social and environmental conditions that contribute to health, policy makers and local agencies can use it to identify actionable policies that would improve health in their community, such as improving transportation access, housing affordability and quality, or access to parks and open space, HPI also incorporates “decision support layers” that can be overlaid to show additional indicators such as the California Department of Public Health’s (CDPH) climate change and health vulnerability indicators (see Appendix A, *Public Health Resources*, **CDPH Climate Change and Health Vulnerability Indicators** for more information.).



<https://healthyplacesindex.org/>

Understanding the HPI Score

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

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

These HPI tools can be accessed at:

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

HPI Learning Center: <https://www.healthyplacesindex.org/learning-center>

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

For more information on HPI, including how to calculate a score for your project area and suggested project types for improving public health, visit <https://healthyplacesindex.org/>.

Senate Bill 1000 (Leyva, Chapter 587, Statutes of 2016)

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

https://leginfo.ca.gov/faces/billNavClient.xhtml?bill_id=201520160SB1000

California Environmental Justice Alliance SB 1000 Toolkit

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

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

Governor's Office of Planning and Research (OPR) General Plan Guidelines Senate Bill 1000 Technical Advisory

The OPR General Plan Guidelines for Senate Bill 1000 provides guidance for determining whether an Environmental Justice element or equivalent is required in a local jurisdiction, including identifying the location of disadvantaged communities (as defined in Gov. Code, § 65302,

subdivision (h)(4)(A))²³ as well as the nature of their environmental burdens, health risks, and needs. It also provides guidance for community engagement when addressing Environmental Justice disadvantaged communities; and goals, policies, and programs that address the unique and compounded health risks in disadvantaged communities and prioritize improvements and programs that meet the needs of disadvantaged communities.

https://opr.ca.gov/docs/20200706-GPG_Chapter_4_EJ.pdf

Displacement/Gentrification

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

Grant applicants are encouraged to reference the *2024 RTP Guidelines, Appendices E and G*, for best practices in addressing displacement of low income and under-resourced communities.

Transformative Climate Communities Program

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

https://sgc.ca.gov/meetings/council/2022/docs/20220428-Item5a_TCC_Guidelines_Round%204_Technical%20Amendment_Clean.pdf

Implementing Senate Bill 350 (De Leon, Chapter 547, Statutes of 2015) and Community Needs Assessments

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

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

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https://leginfo.legislature.ca.gov/faces/codes_displayText.xhtml?lawCode=GOV&division=1.&title=7.&part=&chapter=3.&article=5.

SB 350: https://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201520160SB350

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

In February 2018, the California Air Resources Board released the Final Guidance Document, *Low-Income Barriers Study, Part B: Overcoming Barriers to Clean Transportation Access for Low-Income Residents*. This Guidance Document provides background for SB 350 and may assist Sustainable Communities applicants with developing Community Needs Assessments as a standalone project or as part of a proposed project.

<https://ww2.arb.ca.gov/resources/documents/carb-barriers-report-final-guidance-document>

Public Health Resources

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

Community Health Needs Assessments

Community Health Needs Assessments (CHNA) and implementation strategies are regularly conducted by county public health departments and are newly required of tax-exempt hospitals as a result of the Patient Protection and Affordable Care Act. These assessments and strategies create an important opportunity to improve the health of communities. They ensure that hospitals have the information they need to provide community benefits that meet the needs of their communities. They also provide an opportunity to improve coordination of hospital community benefits with other efforts to improve community health. By federal statute, the CHNAs must take into account input from "persons who represent the broad interests of the community served by the hospital facility, including those with special knowledge of or expertise in public health." To avoid duplicative efforts, grant applicants are encouraged to contact and coordinate with local health departments/non-profit hospitals to take advantage of information that may have been collected as part of CHNA efforts, such as low-income resident and under-resourced communities' transportation and mobility needs. It is important for grant applicants to connect with these public health entities for both partnership building on transportation needs for under-resourced communities, but also to not over-burden those communities with multiple assessments or efforts asking similar questions.

CDPH Climate Change and Health Vulnerability Indicators (CCHVIs)

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

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

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

CDPH Climate Change and Health Profile Reports (CHPRs)

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

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

CDPH Healthy Communities Data and Indicators Project (HCI)

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

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

Integrated Transport and Health Impact Model (ITHIM)

The California version of ITHIM is a planning tool that answers the question of "How much benefit or harm to human health can we expect by changing the mix of active and motorized travel across a county, region, or the entire State of California?" ITHIM contrasts one travel pattern that serves as a reference with an alternative that has a different profile of fine particulate air pollution from vehicle exhaust, physical activity from walking and cycling, and injuries from traffic collisions. ITHIM calculates the change in deaths, years of life shortening and disability, and costs due to these changes in air pollution, physical activity, and traffic injuries. Grant applicants are encouraged to reference and utilize ITHIM to assess the health impacts their projects and programs.

<https://skylab.cdph.ca.gov/HealthyMobilityOptionTool-ITHIM/>

Health In All Policies (HiAP) Approach

The HiAP initiative is a collaborative approach designed to improve the health of Californians by incorporating health, equity, and sustainability considerations into policymaking across sectors. The approach recognizes that chronic illness, climate change, health inequities, and increasing health care costs are interrelated and influenced by policies, programs, and investments across sectors. The initiative provides access to tools, resources and journal articles highlighting Health in All Policies approaches, techniques, and concepts from California and beyond.

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

Active Community Engagement

Sustainable Communities Competitive Grant applications must include an explanation of how local residents and community-based organizations will be meaningfully engaged in developing the final product, especially those from under-resourced and low-income communities, and how the final product will address community-identified needs. Applicants are encouraged to implement, as applicable and appropriate the tips, best practices, and tools listed below:

Community Engagement Best Practices

- Refer to the following case studies that meaningfully demonstrate the expectations of equitable community engagement:
 - The community driven Carsharing and Mobility Hubs in Affordable Housing Pilots²⁴ offer a strong example of equitable community engagement. The equity-based project incorporated community input from start to finish through community partnership building.
 - The Mobility Equity Framework²⁵ should be used to assess and compare multimodal transportation options and centers community needs and shifts decision making power to the public. For successful implementation examples, refer to: (1) California Air Resources Board (CARB) Clean Mobility Options Program²⁶, (2) City of Portland, Oregon, Pricing Options for Equitable Mobility Project²⁷, and North Carolina's Transit Equity Campaign²⁸.
- Refer to Greenlining Institute's Six Standards for Equitable Investment²⁹ to implement qualitative measures of equity. These standards feature a list of approaches, ranging from the minimum to transformative approach, depending on how much time, resources, and effort are generally required because equity approaches differ in each community context and conditions.
- Refer to Greenlining Institute's Making Equity Real in Mobility³⁰, a toolkit of clear strategies and best practices to put equity in action
- Clarify the type of engagement will be utilized, as seen in the Public Participation Spectrum³¹. Agencies and communities need to understand where engagement level falls from the "inform" to "empower" model.
- Utilize a Participatory Budgeting (PB) planning process, as appropriate. PB is a democratic approach to public spending that meaningfully and deeply engages people in government and the community. During PB, community members democratically decide how to spend part of a public budget, enabling them to make the fiscal decisions that affect their lives and the health of their communities.
- Seek existing community-based organizations or agencies that organize vulnerable populations, to be able to reach out and form collaborative relationships.

²⁴ Carsharing and Mobility Hubs in Affordable Housing Pilots:

<https://greenlining.org/publications/reports/2021/clean-mobility-transportation-equity-report/>

²⁵ Mobility Equity Framework: <https://greenlining.org/publications/2018/mobility-equity-framework/>

²⁶ CARB Clean Mobility Options Program: <https://cleanmobilityoptions.org/about/>

²⁷ Portland, Oregon, Pricing Options for Equitable Mobility Project:

<https://www.portland.gov/transportation/planning/pricing-options-equitable-mobility-poem>

²⁸ North Carolina Transit Equity Campaign: <https://bikedurham.org/transit>

²⁹ Greenlining Institute's Six Standards for Equitable Investment: <https://greenlining.org/wp-content/uploads/2021/03/Clean-Mobility-Equity-A-Playbook-Greenlining-Report-2021.pdf>

³⁰ Greenlining Institute's Making Equity Real in Mobility: https://greenlining.org/wp-content/uploads/2019/08/Toolkit_Making-Equity-Real-in-Mobility-Pilot-Projects_Final-1.pdf

³¹ Public Participation Spectrum:

<https://sustainingcommunity.wordpress.com/2017/02/14/spectrum-of-public-participation/>

- Involve local health departments which can assist in reaching community-based organizations and under-resourced and vulnerable community members.
- Collaborate with under-resourced, vulnerable, and tribal communities to design and implement programs, plans and policies. Robust engagement of under-resourced and vulnerable communities in significant agency decisions brings about better decisions through increased input from different perspectives, increases buy-in and acceptance of decisions and support for their implementation.
- Make opportunities for input accessible in terms of formats (pop-up workshops, temporary built-environment demonstrations, online, in public meetings, one on one, by mail, etc.), venues (at school and community events, community centers, libraries, transit hubs, etc.), hours (evening or weekend), and language (accessible to lay people and translated into the principal languages of the relevant communities, including accessible media such as caption videos).
- Develop a written collaboration agreement or memorandum of understanding that defines respective roles, expectations, desired outcomes, and agreements for how to work together.
- Establish an advisory group of representatives of vulnerable communities, including community leaders and give them worthwhile roles to design the public engagement process, so that community capacity is built during the collaboration process.
- Conduct targeted outreach to community groups representing special needs populations, under-resourced communities, and a variety of socio-economic groups through various methods.
- Use a variety of outreach methods to optimize participation, such as creating and marketing user-friendly survey websites for public feedback, conducting surveys in multiple languages to collect input on local citizens' priorities, and carrying out meetings at accessible times and meeting locations (e.g., using community group buildings, hosting pop-up workshops at public venues, etc.).
- Have material available in multiple languages when requested. Have translator available during workshops, public meetings, and events.

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

Additional Public Engagement Best Practices and Strategies

Applicants will need to consider how to conduct public outreach and engagement that allows for both in-person and virtual options. Below are some resources to help applicants evaluate and develop the best strategy for public engagement.

- **Caltrans Planning Horizons, “Digital Public Engagement and Transportation: Getting It Right – Theory, Techniques and Best Practices.”:** Digital engagement can greatly increase the reach of public education and involvement; many public agencies have been surprised by the positive results and substantial increase in participants.

<https://youtu.be/85t9ibR2U7Q>

- **The Great Pivot - Public Engagement in the Wake of COVID-19:** Celia McAdam and Natalie Porter of AIM Consulting hosted a WTS seminar where they provided examples and strategies for public outreach, including diverse and under-resourced communities, during the COVID-19 pandemic.

<https://youtu.be/k2dPVqhlwvc>

- **Digital Environmental Engagement Resource Catalogue:** The California Natural Resources Agency and the California Environmental Protection Agency developed a resource catalogue of online sessions on community engagement and equity. This resource catalogue comes from the "Online Environmental Engagement: Building Our Skills Together" conference. From June 2nd to 4th 2020, forty-nine panelists and approximately 1,500 registrants from California and across the nation gathered together online to discuss their successes, challenges and practical tips for online environmental engagement.

<https://resources.ca.gov/Outreach/Digital-Environmental-Engagement-Resource-Catalogue>

- **Tips and Tools to Engage Your Community in a Digital Environment:** Ensuring inclusive public participation is more challenging than ever because of physical distancing requirements, the digital divide, language access challenges and technology learning curves. With those challenges in mind, ILG offered a helpful webinar in July 2020, that featured innovative strategies for using high-tech and low-tech virtual platforms to engage residents on a variety of topics without meeting face-to face.

<https://www.ca-ilg.org/digitalengagement>

- **Broadening Participation Using Online Engagement Tools:** This document provides examples and guidance to local governments interested in enhancing public participation outcomes with online engagement tools.

https://www.ca-ilg.org/sites/main/files/file-attachments/broadening_participation_via_online_tools_final_draft_1.pdf

- **The Guide to Remote Community Engagement:** A collection of resources designed to support cities that wish to create and maintain strong, institutionalized practices of community engagement during periods of remote working and in an increasingly digital world. Refer to the article, *5 Methods for Non-Internet Based Remote Community Engagement*, for ideas on how to supplement traditional online public engagement efforts to be inclusive of residents lacking high-speed broadband internet access.

<https://medium.com/the-guide-to-remote-community-engagement>

- **Virtual Public Involvement:** The U.S. Department of Transportation, Federal Highway Administration, developed this innovation spotlight to provide an overview of virtual public involvement tools that enhance and broaden the reach of public engagement efforts by making participation more convenient, affordable, and enjoyable for greater numbers of people.

https://www.fhwa.dot.gov/planning/public_involvement/vpi/

- **Designing Parks Using Community-Based Planning:** This document inspires meaningful community engagement for future public projects. It shares methods learned through California's Statewide Park Development and Community Revitalization Program. These methods have been proven effective in urban, rural, and suburban settings.

https://www.parksforcalifornia.org/planning_guide

Integrated Housing, Land Use, and Transportation Planning

Development patterns directly impact GHG emissions, including those from transportation between jobs, services, and housing. Improved coordination between housing and transportation can reduce commute times, increase transit ridership, lower vehicle miles traveled, lower pollution and GHG, provide greater economic opportunity, and other positive outcomes.

Housing Element Compliance

To support planning for housing California's growing population, the Department of Housing and Community Development (HCD) reviews each local government's housing element of its general plan.

- The housing element must plan to meet the local government's existing and regional housing needs allocation and quantify and analyze the specific needs and resources available to address the housing needs.
- A housing element can also provide a mechanism to adopt efficient land-use strategies, including those that address climate change and reduce vehicle miles traveled. For example, strategies could include the promotion of affordable higher density, infill development, mixed-use development, or transit-oriented development near transit stations or transit corridors.
- Local governments are required to annually submit progress reports on the implementation of the housing element and provide a detail of production toward their projected housing needs.

For more information on:

- Housing element requirements, see the HCD Building Blocks website at <https://www.hcd.ca.gov/planning-and-community-development/housing-elements/building-blocks>
- Adopted housing element requirements, see the "Housing Element Process" section at <https://www.hcd.ca.gov/planning-and-community-development/housing-elements>
- A local government's housing element compliance, see <https://www.hcd.ca.gov/planning-and-community-development/housing-open-data-tools/housing-element-review-and-compliance-report>
- Annual Progress Reports, see <https://www.hcd.ca.gov/planning-and-community-development/annual-progress-reports>

Prohousing Designation Program

The State 2019-20 Budget Act, Assembly Bill 101 enacted the Prohousing Designation Program (Program), which enables HCD to designate local jurisdictions as Prohousing when they demonstrate policies and planning that accelerate the production of housing. To receive the Prohousing Designation, local jurisdictions must meet basic threshold requirements related to compliance with the Housing Element Law and other State housing laws and demonstrate actions worth at least 30 points spread across each of four categories of Prohousing policies: favorable zoning and land use, acceleration of housing production timeframes, reduction of construction and development costs, and providing financial subsidies. The benefit to local jurisdictions receiving the Prohousing Designation includes being given an advantage such as priority processing or additional points when applying for several competitive funding programs, including:

- Affordable Housing and Sustainable Communities
- Infill Infrastructure Grant
- Transformative Climate Communities
- Transit and Intercity Rail Capital Program

VMT reducing policies and the Prohousing Enhancement Factors below help indicate that a project is within a jurisdiction supporting integrated housing, land use, and transportation planning. These policies show that a jurisdictions further supports State housing priorities in promoting affordable housing, reducing development barriers, and reducing vehicle miles travelled.

Prohousing Enhancement Factors include policies that:

- Represent one element of a unified, multi-faceted strategy to promote multiple planning objectives, such as efficient land use, access to public transportation, affordable housing, climate change solutions, and/or hazard mitigation.
- Promote development consistent with the State planning priorities pursuant to Government Code section 65041.1.
- Go beyond State law requirements in reducing displacement of lower income households and conserving existing housing stock that is affordable to lower income households.
- Rezoning and other policies that support high-density development in Location Efficient Communities.

VMT reducing policies may include projects located in jurisdictions that are/have:

- Permitting missing middle housing uses (e.g., triplexes and fourplexes) by right in existing low-density, single-family residential zones.
- With density bonus programs which exceed statutory requirements by 10 percent or more.
- Increasing allowable density in low-density, single-family residential areas beyond the requirements of State Accessory Dwelling Unit law (e.g., permitting more than one ADU or JADU per single-family lot). These policies shall be separate from any qualifying policies under category (ii) above.
- Reducing or eliminating parking requirements for residential development as authorized by Government Code sections 65852.2; adopting vehicular parking ratios that are less than the relevant ratio thresholds at subparagraphs (A), (B), and (C) of Government Code section 65915, subdivision (p)(1); or adopting maximum parking requirements at or less than ratios pursuant to Government Code section 65915, subdivision (p).
- Zoning to allow for residential or mixed uses in one or more non-residential zones (e.g., commercial, light industrial). Qualifying non-residential zones do not include open space or substantially similar zones.
- Modifying development standards and other applicable zoning provisions to promote greater development intensity. Potential areas of focus include floor area ratio; height limits; minimum lot or unit sizes; setbacks; and allowable dwelling units per acre. These policies must be separate from any qualifying policies under Category (ii) above.
- Adopted a Nondiscretionary Local Approval Process for residential and mixed-use development in all zones permitting multifamily housing, established a Workforce Housing Opportunity Zone, as defined in Government Code section 65620, or a housing sustainability district, as defined in Government Code section 66200.
- Zoning more sites for residential development or zoning sites at higher densities than is required to accommodate 150 percent of the minimum regional housing need allocation for the Lower-Income allocation in the current housing element cycle.
- Priority permit processing or reduced plan check times for Accessory Dwelling Units (ADUs)/Junior Accessory Dwelling Units (JADUs), multifamily housing, or homes affordable to Lower- or Moderate-Income households.
- Adopted ordinances or implemented other mechanisms that result in less restrictive requirements than Government Code sections 65852.2 and 65852.22 to reduce barriers for property owners to create ADUs/JADUs. Examples of qualifying policies include, but are not limited to, development standards improvements, permit processing improvements, dedicated ADU/JADU staff, technical assistance programs, and pre-approved ADU/JADU design packages.
- Measures that reduce costs for transportation-related infrastructure or programs that encourage active modes of transportation or other alternatives to automobiles. Qualifying policies include, but are not limited to, publicly funded programs to expand sidewalks or

protect bike/micro-mobility lanes; creation of on-street parking for bikes; transit-related improvements; or establishment of carshare programs.

- Established pre-approved or prototype plans for missing middle housing types (e.g., triplexes and fourplexes) in low-density, single-family residential areas.
- Documented practice of streamlining housing development at the project level, such as by enabling a by-right approval process or by utilizing statutory and categorical exemptions as authorized by applicable law (Pub. Resources Code, sections 21155.1, 21155.4, 21159.24, 21159.25; Gov. Code, section 65457; Cal Code Regs., tit. 14, sections 15303, 15332; Pub. Resources Code, sections 21094.5, 21099, 21155.2, 21159.28).
- Policies that represent one element of a unified, multi-faceted strategy to promote multiple planning objectives, such as efficient land use, access to public transportation, affordable housing, climate change solutions, and/or hazard mitigation.
- Policies that promote development consistent with the State planning priorities pursuant to Government Code section 65041.1.
- Rezoning and other policies that support high-density development in Location Efficient Communities.

For more information on the Prohousing Designation Program, email HCD at ProhousingPolicies@hcd.ca.gov or visit the following HCD websites:

Program Website

<https://www.hcd.ca.gov/planning-and-community-development/prohousing-designation-program>

Prohousing Designation Application Status List

<https://www.hcd.ca.gov/sites/default/files/docs/planning-and-community/Prohousing-Public-Application-Tracker.xlsx>

Prohousing Designation Program FAQs

hcd.ca.gov/community-development/prohousing/docs/ProhousingFAQ.pdf

Promote the Region's RTP SCS/APS, State Planning Priorities, and Climate Adaptation Goals

SB 1 - The Road Repair and Accountability Act of 2017 (Beall, Chapter 5, Statutes of 2017)

The intent of additional Sustainable Communities grant funding, pursuant to SB 1 - The Road Repair and Accountability Act of 2017, is to encourage local and regional planning that furthers State goals, including but not limited to, the goals and best practices cited in the RTP Guidelines. Competitive applications will incorporate these cutting-edge planning practices into their proposed planning projects.

SB 1: https://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201720180SB1

2024 RTP Guidelines (Appendix E, Page 228; Appendix G, Page 260)

The California Transportation Commission adopted the 2024 RTP Guidelines for RTPAs and 2024 RTP Guidelines for MPOs which includes Appendix E – Promoting Health and Health Equity in MPO RTPs and Appendix G – Planning Practice Examples. These appendices highlight planning practices that are undertaken by large, medium, and small MPOs in both rural and urban areas throughout the state.

<https://catc.ca.gov/-/media/ctc-media/documents/programs/transportation-planning/adopted-2024-rtp-guidelines-for-mpos.pdf>

SB 375 (Steinberg, Chapter 728, Statutes of 2008)

Caltrans supports SB 375 RTP SCS/APS efforts. Successful applications must be compatible with an existing adopted SCS/APS, where applicable, that meets the region's GHG targets, and must strongly support and aim to implement regional SCS/APS efforts. The SCS/APS planning process is intended to help communities reduce transportation related GHG emissions, coordinate land use and transportation planning, and assist local and regional governments in creating sustainable communities for residents throughout the state.

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

Information on SB 375-related planning efforts:

<https://ww2.arb.ca.gov/our-work/topics/sustainable-communities>

SB 375: https://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=200720080SB375

Complete Streets and Smart Mobility Framework

In recognition that walking, biking, transit, and passenger rail are integral to our vision of delivering a brighter future for all through a world-class transportation network, Caltrans also supports Complete Streets and the Smart Mobility Framework (SMF). In locations with current and/or future pedestrian, bicycle, or transit needs, Caltrans encourages applicants to consider the tools and techniques contained in the SMF as well as typical components of Complete Streets. Specifically, this might include how the project addresses components of community design, regional accessibility, place types, and priority activities to achieve smart mobility outcomes, community transition, and associated multimodal performance measures for the appropriate context of the problem. Information on these efforts can be found at:

Complete Streets

<https://dot.ca.gov/programs/transportation-planning/division-of-transportation-planning/complete-streets>

Smart Mobility Framework

<https://dot.ca.gov/programs/transportation-planning/division-of-transportation-planning/active-transportation-and-complete-streets/smart-mobility-framework>

Climate Ready Transportation and Climate Adaptation Planning

Through the Grant Program, Caltrans supports the State's broader efforts to help ensure our transportation infrastructure is climate-ready. In order to prioritize these investments, Governor Gavin Newsom signed Executive Order (EO) N-19-19 on September 20, 2019, to redouble the State's "efforts to reduce GHG emissions and mitigate the impacts of climate change while building a sustainable, inclusive economy." The EO lists California's ambitious and essential climate goals to transition to a healthier, more sustainable, and more inclusive economy, including:

- Reducing GHG emissions 40 percent below 1990 levels by 2030
- Providing 100 percent of the State's electricity from clean energy sources by 2045
- Reducing methane emissions and hydrofluorocarbon gases by 40 percent

- Adding five million zero-emission vehicles to the State's roads by 2030

To help achieve these goals, the EO directs the California State Transportation Agency to leverage over \$5 billion in annual state transportation spending toward transportation construction, operations, and maintenance to lower fuel consumption and GHG emissions from transportation. This includes strategies for lowering vehicle miles traveled, such as supporting housing development near available jobs, and supporting active modes of transportation such as biking and walking that also benefit public health. The EO specifically requires that the State Transportation Agency also work to mitigate increased transportation costs for low-income communities.

<https://www.gov.ca.gov/wp-content/uploads/2019/09/9.20.19-Climate-EO-N-19-19.pdf>

Integrated Climate Adaptation and Resiliency Program

Senate Bill 246 (Wieckowski, Chapter 606, Statutes of 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). Grant applicants may refer to the ICARP website to explore the State Adaptation Clearinghouse, a centralized source of information and resources to assist decision makers at the state, regional, and local levels when planning for and implementing climate adaptation projects to promote resiliency across California. Caltrans is coordinating with ICARP staff on the OPR Climate Adaptation Planning Grant Program.

ICARP Website: <https://opr.ca.gov/climate/icarp/>

SB 246: https://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201520160SB246

Adaptation Planning Grants: <https://www.opr.ca.gov/climate/icarp/grants/adaptation-planning-grant.html>

California Adaptation Clearinghouse

The Adaptation Clearinghouse serves as a centralized source of information that provides the resources necessary to guide decision makers at the state, regional, and local levels when planning for and implementing climate adaptation projects to promote resiliency to climate change in California.

<https://resilientca.org/>

ResilientCA Adaptation Planning Map (RAP-Map)

ICARP – supported through the Governor's Office of Planning & Research – contains a statewide inventory of local government adaptation and resiliency planning efforts. It is an open data tool, to inventory local government climate risk, adaptation, and resiliency planning efforts across the state and track progress towards statewide adaptation planning goals.

<https://resilientca.org/rap-map/>

Community Climate Resiliency

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

Defining Vulnerable Communities in an Adaptation Context, OPR Resource Guide

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

<https://opr.ca.gov/climate/icarp/vulnerable-communities.html>

State Guidance for Adaptation Planning

2017 General Plan Guidelines, Safety Element (Ch. 4)

The General Plan Guidelines set out each statutory requirement in detail, provides OPR recommended policy language, and includes online links to city and county general plans that have adopted similar policies. The guidelines include information on how to consider climate change during general plan development/updates. In accordance with Senate Bill 379, general plans must address climate adaptation and resilience within the Safety element. Local governments are required to include a climate change vulnerability assessment, measures to address vulnerabilities, and a comprehensive hazard mitigation and emergency response strategy.

https://opr.ca.gov/docs/OPR_COMPLETE_7.31.17.pdf

California Climate Adaptation Planning Guide – local/regional agency guidance

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

<https://resilientca.org/apg/>

Planning and Investing for a Resilient California – State Agency guidance

Introduces a four-step process for building resilience and a set of resilient decision-making principles for state agencies when considering climate-informed infrastructure investments. These steps include identifying how climate change could affect a project or plan, conducting an analysis of climate risks, making a climate-informed decision, and tracking and monitoring progress.

https://www.opr.ca.gov/docs/20180313-Building_a_Resilient_CA.pdf

Ocean Protection Council Sea-Level Rise Guidance

The State of California Sea-Level Rise Guidance reflects advances in sea-level rise science and addresses the needs of state agencies and local governments as they incorporate sea-level rise into their planning, permitting, and investment decisions.

http://www.opc.ca.gov/webmaster/ftp/pdf/agenda_items/20180314/Item3_Exhibit-A_OPC_SLR_Guidance-rd3.pdf

California Coastal Commission Sea Level Rise Policy Guidance

This guide provides an overview of the best available science on sea level rise for California and recommended methodology for addressing sea level rise in Coastal Commission planning and regulatory actions.

https://documents.coastal.ca.gov/assets/slr/guidance/2018/0_Full_2018AdoptedSLRGuidanceUpdate.pdf

Coastal Adaptation Planning Guidance for Critical Infrastructure

This guidance from the California Coastal Commission addresses two main types of infrastructure – transportation and water – and presents six key considerations for successful adaptation planning. These considerations are accompanied by recommendations for stakeholders on how to plan effectively for the impacts of sea level rise on coastal infrastructure, a description of the regulatory framework that applies to adaptation planning for infrastructure.

https://documents.coastal.ca.gov/assets/slr/SLR%20Guidance_Critical%20Infrastructure_12.6.2021.pdf

Coastal Adaptation Planning Guidance and Environmental Justice Considerations

The Environmental Justice Policy is the Coastal Commission's framework for identifying and analyzing project impacts on under-resourced and disadvantaged communities. The policy is designed to achieve more meaningful engagement, equitable process, effective communication, and stronger coastal protection benefits for all Californians.

https://documents.coastal.ca.gov/assets/env-justice/CCC_EJ_Policy_FINAL.pdf

Coastal Adaptation Planning Guidance and Tribal Consultation

The Coastal Commission adopted a Tribal Consultation Policy, which is intended to guide outreach and collaboration. It also helps to inform permit applicants how the Commission will review coastal development permit applications to ensure adequate tribal consultation occurs.

<https://documents.coastal.ca.gov/assets/env-justice/tribal-consultation/CCC%20Tribal%20Consultation%20Policy%20Adopted%208.8.2018.pdf>

Climate Data Sources and Adaptation Plans

Cal-Adapt

Cal-Adapt is the repository for State-endorsed climate change projections, developed through the State's Climate Change Assessment efforts. Cal-Adapt offers free public access to peer-reviewed data that show climate change impacts on state infrastructure, communities, and natural resources. Find tools, data, and resources to conduct research, develop adaptation plans and build applications.

<https://cal-adapt.org/>

Climate Action Plans

Many California cities and counties are developing Climate Action Plans to reduce their GHG emissions. Agencies may have existing plans that include strategies or insight on potential approaches to implementing climate change considerations on the transportation network. CARB has created a webmap that can be used to identify plans created, GHG inventory information, GHG reduction targets, local strategies planned to meet these targets, and more. The second website provides a host of resources, including example Climate Action Plans and templates. This information can also be found on the Adaptation Clearinghouse.

<https://webmaps.arb.ca.gov/capmap/>
<http://www.ca-ilg.org/climate-action-plans>

Caltrans Vulnerability Assessments

To ensure the resiliency of the State Highway System, Caltrans conducted vulnerability assessments statewide. These Summary Reports and associated Technical Reports describe climate change effects in each of Caltrans' 12 districts.

<https://dot.ca.gov/programs/transportation-planning/division-of-transportation-planning/air-quality-and-climate-change/2019-climate-change-vulnerability-assessments>.

Local Vulnerability Assessments

If local vulnerability assessments have been developed along a corridor, their data may be interwoven with Cal-Adapt data, Caltrans Climate Change Vulnerability Assessments, and/or other vulnerability information for more granular analysis of specific local areas, particularly those in more densely populated areas or with a high density of affected transportation assets. Many of these assessments and case studies can be found on the ICARP Case Studies and Examples search page (<https://resilientca.org>). Some transit and rail providers in California have also developed vulnerability assessments for their 21 networks as well, which may contain detailed analysis that could be useful.

Caltrans Climate Change Adaptation Strategy Report

Through this report, Caltrans is aiming to adopt a leadership role in the process of climate change adaptation through developing a "how to" guide for integrating climate change adaptation into agency activities and decision-making. This Adaptation Strategy Report initially outlines an overall "pathway" for adopting recommendations on how Caltrans should mainstream adaptation strategies throughout functional areas and develop an approach to coordinate with partner agencies. Recognizing the important role of transit and active transportation facilities and routes, this report will develop solutions for all modes of transportation. This report also has a section focused on the incorporation of climate change considerations into System Planning documents.

https://transplanning.onramp.dot.ca.gov/downloads/transplanning/files/suscommplan/Climate%20Adaptation%20Report_May_2020.pdf

Other Relevant Datasets for Climate Planning

Protecting Californians from Extreme Heat: A State Action Plan to Build Community Resilience

A plan that outlines a strategic and comprehensive set of state actions to address extreme heat.

<https://resources.ca.gov/-/media/CNRA-Website/Files/Initiatives/Climate-Resilience/2022-Final-Extreme-Heat-Action-Plan.pdf>

California Water Action Plan

A roadmap for the first five years of the State's journey toward sustainable water management.

http://resources.ca.gov/docs/california_water_action_plan/Final_California_Water_Action_Plan.pdf

CALFIRE Fire Hazard Severity Zones

CALFIRE has mapped areas of significant fire hazards based on fuels, terrain, weather, and other factors, forming wildfire severity zones. There are three levels of hazard in the State Responsibility Areas: moderate, high, and very high. This analysis can provide further understanding of wildfire risk at the potential project location.

<https://osfm.fire.ca.gov/what-we-do/community-wildfire-preparedness-and-mitigation/fire-hazard-severity-zones>

California Department of Conservation – Landslide Hazards

The California Landslide Inventory is an ongoing project to make the California Geological Survey landslide information publicly accessible.

http://www.conservation.ca.gov/cgs/geologic_hazards/landslides

State Wildlife Action Plan

The State Wildlife Action Plan includes conservation actions that respond to current and future challenges with objectives and goals that are specific, measurable, and time bound.

<https://www.wildlife.ca.gov/SWAP/Final>

CDFW Regional Conservation Investment Strategies

This program encourages a voluntary, non-regulatory regional planning process intended to result in higher-quality conservation outcomes and includes an advance mitigation tool. The Program uses a science-based approach to identify conservation and enhancement opportunities that, if implemented, will help California's declining and vulnerable species by protecting, creating, restoring, and reconnecting habitat and may contribute to species recovery and adaptation to climate change and resiliency.

<https://www.wildlife.ca.gov/conservation/planning/regional-conservation>

CDFW Natural Communities Conservation Plans

A Natural Communities Conservation Plan identifies and provides for the regional protection of plants, animals, and their habitats, while allowing compatible and appropriate economic activity.

<https://www.wildlife.ca.gov/conservation/planning/nccp>

California Sustainable Freight Action Plan

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

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

APPENDIX B. SAMPLE APPLICATION PACKAGE

The Grant Application Guide and all fillable application documents can be found on the Sustainable Transportation Planning Grant website.

- Application Checklist, Cover Sheet, and Signature Page
- Application Narratives for Sustainable Communities, Climate Adaptation Planning, and Strategic Partnerships
- Scope of Work and Checklist
- Cost and Schedule and Checklist
- Third-Party In-Kind Valuation Plan and Checklist
- Local Resolution and Checklist

Application Checklist

The following documents are required and must be submitted via Smartsheet in one single PDF document, not to exceed 25 MB. The Signature Page may be submitted separately if there are issues combining with the single PDF document. Keep the file name brief, as files are corrupted when file 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.

PDF documents should be submitted in their fillable PDF formats. The original file formats will be required upon grant award.

Required Application Documents	
(✓)	Ensure these items are completed prior to submitting to Caltrans via Smartsheet
	Application Cover Sheet (complete in Smartsheet and submit with single PDF document)
	Signature Page (Electronic signatures accepted; may submit as a separate file if there are issues with combining with single PDF document)
	Application Narrative
	Scope of Work
	Cost and Schedule
	Third Party In-Kind Valuation Plan (if applicable, required upon award)
	Map of Project Area
Supplemental Documentation (not required)	
	Graphics of Project Area (when applicable)
	Letter(s) of support
	Data



Sustainable Transportation Planning Grant Program

GRANT APPLICATION COVER SHEET

PART A. APPLICATION INFORMATION

FY 2025-26

Grant Category (select only one)

Climate Adaptation (MPOs, RTPAs, Transit Agencies, Cities, Counties, Tribes, other Public Transportation Planning Entities)

11.47% Local Match requirement (Not Applicable to Native American Tribal Governments)

Sustainable Communities (MPOs with sub-applicant, RTPAs, Transit Agencies, Cities, Counties, Tribes, other Public Transportation Planning Entities)

Strategic Partnerships (MPOs & RTPAs only)
Strategic Partnerships Transit (MPOs, RTPAs & Transit Agencies only)

Sustainable Communities Competitive
(11.47% Local Match requirement) **Not applicable to Native American Tribal Governments**

Strategic Partnerships (FHWA SPR Part I)
(20% Local Match requirement)

Sustainable Communities Competitive Technical
(11.47% Local Match requirement) **Not applicable to Native American Tribal Governments**

Strategic Partnerships Transit (FTA 5304)
(11.47% Local Match requirement)

Application Submittal Type (more than one may be selected)

New	Prior Phases	Re-Submittal
New Application	Continuation of a prior project. If so, list the Grant FY and project title below.	Re-submittal from a prior grant cycle.
		How many times has an application been submitted for this project, including this one?

PART B. PROJECT INFORMATION

Project Title and Location

Project Title	
Project Location (City)	Project Location (County)

Funding Information

1. Is the applicant proposing to meet the minimum local match requirement or an over-match? Use the Match Calculator to determine the appropriate match. [Match Calculator](#) (posted online)

☐ Minimum Local Match ☐ Over-Match

2. What is the source of Local Match funds being used?

(MPOs – Federal Toll Credits, PL, and FTA 5303 cannot be used to match Sustainable Communities Competitive or Adaptation Planning grants)

☐ Local Transportation Funds ☐ Local Sales Tax ☐ Special Bond Measures

☐ Other, specify:

Grant Funds Requested	Local Match (Cash)	Local Match (In-Kind)	Total Local Match	% Local Match	Total Project Cost
\$	\$	\$	\$		\$

Sustainable Transportation Planning Grant Program
GRANT APPLICATION COVER SHEET

PART B. PROJECT INFORMATION (CONTINUED)

Project Description (3-5 Sentences Max.)

Insert Application
Narrative:
1. Project Description

Project Type

Choose the Project Type that best represents the focus of the proposed project. See Grant Application Guide for examples. Two max. may be selected.

- ☐ Active Transportation (Bicycle and Pedestrian)
- ☐ Climate Change (Infrastructure Adaptation, Vulnerability and Resiliency)
- ☐ Complete Streets (Multimodal specific type)
- ☐ Corridor (Local Streets or Highways)
- ☐ Freight/Goods Movement
- ☐ General Plan-Related (Circulation Element, Land Use Element, Specific Plan)
- ☐ Multimodal (Motorized and Active Transportation)
- ☐ Safety (Vision Zero, Safe Routes to Schools)
- ☐ Technical (Modeling, VMT Mitigation, ZEV Infrastructure, ZEB Transition, etc.)
- ☐ Transit (Bus, Light Rail, and Commuter Rail Service)
- ☐ Other, specify:

Under-Resourced Community Definitions

If applicable to the project, what tools were used to identify the under resourced communities in the project area? Choose all that apply.

- ☐ Rural Communities of 50,000 or less and outside of urbanized areas
- ☐ Native American Tribal Governments
- ☐ Regionally/Locally Defined Under-Resourced Communities
- ☐ At/Below 80% Assembly Bill 1550 (Gomez, Statutes of 2016)
- ☐ At/Above 75% California Department of Education, Free or Reduced Priced Meals Data
- ☐ At/Above 75% CalEnviroScreen Version 4.0
- ☐ At/Below 25% California Healthy Places Index



Sustainable Transportation Planning Grant Program
GRANT APPLICATION COVER SHEET

PART C. CONTACT INFORMATION*

	Primary Applicant	Sub-Applicant	Sub-Applicant
Organization (Legal name)			
Dept./Division			
Street Address			
City			
Zip Code			
Phone Number			
Executive Director Name			
Title			
Executive Director E-mail			
Financial Manager Name			
Title			
Financial Manager E-mail			
Contact Person Name			
Title			
Contact Phone Number			
Contact E-mail			

*Use additional pages if necessary.



Sustainable Transportation Planning Grant Program

GRANT APPLICATION COVER SHEET

PART D. COMPLIANT HOUSING ELEMENT

City/County Primary/Sub-Applicants for Sustainable Communities Grants	Yes	No
Does the City/County have a compliant Housing Element? If No, explain the current status:		
Has the City/County submitted Annual Progress Report to the California Department of Housing and Community Development for calendar years 2022 and 2023?		

PART E. OTHER FUNDING PROGRAMS

Applicants may leverage other program funds for this planning grant, as long as the activities are eligible.

	Yes	No	N/A
Is the applicant applying for the Governor's Office of Planning and Research (OPR) Climate Adaptation Planning Grant Program? Applicants should not submit the same project application to both funding programs. However, applicants may propose to leverage funds from one funding program to another. For instance, an applicant with a large project may propose to fund one component with Caltrans funds, and another with OPR funds. Applicants may also propose two entirely different projects to each funding program. If yes, identify the differences between each proposal, and briefly summarize the leverage opportunity if awarded both Caltrans and OPR funding:			
Is the applicant applying for any other funding programs to complete this project? If yes, list them here:			



Sustainable Transportation Planning Grant Program
GRANT APPLICATION COVER SHEET

PART F. LEGISLATIVE INFORMATION

Use the following link to determine the appropriate legislative members in the Project area.

Search by address: <http://findyourrep.legislature.ca.gov/>

State Senator(s)		Assembly Member(s)	
District	Name	District	Name

PART G. LETTERS OF SUPPORT

List all letters of support received for the proposed project. Letters should be addressed to the applicant. Letters received after the final application filing date will not be considered.

Name/Agency	Name/Agency



Sustainable Transportation Planning Grant Program

GRANT 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.

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

*Use additional pages if necessary.



Sustainable Transportation Planning Grant Program
SUSTAINABLE COMMUNITIES - GRANT APPLICATION
NARRATIVE

PART H. APPLICATION NARRATIVE

FY 2025-26

Project Information

Organization (Legal name)	
Project Title	
Project Area Boundaries	
Project Timeframe (Start and End Dates)	

Do not alter application format and font size 10

Application Narrative

1. Project Description (10 points) - Do not exceed the space provided (5 sentences maximum)

Briefly summarize project in a clear and concise manner, including why the project is necessary, major deliverables, parties involved, and any connections to relevant local, regional, and/or State planning efforts.

2A. Project Justification (15 points)

- Describe the problems or deficiencies the project is attempting to address, as well as how the project will address the identified problems or deficiencies
- Describe the ramifications and impact of not funding this project
- Clearly define the existing issues surrounding the project (e.g., transportation issues, inadequate transit services, impacts of heavy trucking on local streets, air pollution, etc.)
- Competitive applications support the need for the project with empirical data
- Describe how this project addresses issues raised
- Define the public benefit
- Explain how the public was involved with identifying issues
- **Do not exceed the space provided**



Sustainable Transportation Planning Grant Program

SUSTAINABLE COMMUNITIES - GRANT APPLICATION

NARRATIVE

2B. Under-Resourced Communities Justification (5 points)

The tools in Grant Application Guide, Appendix A, are intended to help applicants define an under-resourced community.

- Explain how the project area or portions of the project area are defined as an under-resourced community, including Native American Tribal Governments and rural communities
- Explain how the proposed project addresses the needs of the under-resourced community
- Describe how under-resourced communities will benefit from the proposed planning project
- Cite data sources, the tools used, and include a comparison to the statewide thresholds that are established in each tool
- **Do not exceed the space provided**

2C. Under-Resourced Communities Engagement (5 points)

See Grant Application Guide, Appendix A, for best practices in community engagement

- Describe how the proposed effort would engage under-resourced communities, including Native American Tribal Governments and rural communities. Include specific outreach methods for involving under-resourced communities
- Describe how under-resourced communities will continue to be engaged during the next phases after the proposed planning project is complete, including project implementation.
- **Do not exceed the space provided**

3. Grant Specific Objectives (Total 35 points)

Integrate the following Grant Program Considerations (Grant Application Guide, Chapter 1.2) in the responses for 3A-G below, as applicable:

- Caltrans Strategic Plan
- California Transportation Plan (CTP)
- Strategic Highway Safety Plan (SHSP)
- Modal Plans that Support the CTP
- Title VI and Environmental Justice
- Climate Action Plan for Transportation Infrastructure (CAPTI)
- California Adaptation Strategy
- Master Plan for Aging



Sustainable Transportation Planning Grant Program

SUSTAINABLE COMMUNITIES - GRANT APPLICATION NARRATIVE

3A. Grant Specific Objectives (5 points)

- Explain how the proposal encourages local and regional multimodal transportation, housing and land use planning that furthers the region's RTP SCS (where applicable)
- Demonstrate how the proposed effort would coordinate transportation, housing, and land use planning components of the project to inform one another (i.e., regular coordination meetings between responsible entities, joint community meetings, letters of commitment from all relevant implementing agencies, etc.)
- Explain how the proposed effort would contribute to shifts in land use towards more sustainable and equitable communities, such as more affordable housing near transit or more compact regional development patterns (Reference Grant Application Guide, Chapter 2.2, for example project types)
- **Do not exceed the space provided**

3B. Grant Specific Objectives (5 points)

- Explain how the proposal contributes to the State's GHG reduction targets and advances transportation related GHG emission reduction project types/strategies (i.e., mode shift, demand management, travel cost, operational efficiency, accessibility, and coordination with future employment and residential land use, etc.)
- **Do not exceed the space provided**

3C. Grant Specific Objectives (5 points)

- Explain how the proposal supports other State goals, including but not limited to:
 - State Planning Priorities (Government Code Section 65041.1)
 - Climate Adaptation Goals (State Adaptation Strategy)
 - Goals and Best Practices cited in the 2024 RTP Guidelines, Appendices E and G
- **Do not exceed the space provided**

3D. Grant Specific Objectives (5 points)

- Explain how the proposal encourages stakeholder involvement
 - List the stakeholders involved in the planning effort (e.g., first responders, community-based organizations, local housing and public health departments, transit agencies, and partners including State, federal, local agencies)
 - Explain how stakeholders will be involved throughout the project
- **Do not exceed the space provided**



Sustainable Transportation Planning Grant Program

SUSTAINABLE COMMUNITIES - GRANT APPLICATION NARRATIVE

3E. Grant Specific Objectives (5 points) • Explain how the proposal involves active community engagement • Describe the specific public outreach methods/events that will be employed throughout the project • Explain how public input will inform the project • Describe how the effort will survey the public at the end of each outreach event to gauge effectiveness of these activities for the planning effort • Do not exceed the space provided
3F. Grant Specific Objectives (5 points) • Explain how the proposal assists in achieving the Caltrans Mission and Grant Program Objectives (Grant Application Guide, Chapter 1.2) ◦ Safety, Sustainability, Preservation, Accessibility, Innovation, Economy, Health, and Social Equity, as applicable • Do not exceed the space provided
3G. Grant Specific Objectives (5 points) • Explain how the proposal ultimately results in funded and programmed multimodal transportation system improvements. Applicants should discuss next steps for project implementation, including timing for programming improvements that would result from the planning effort • Do not exceed the space provided
4. Project Management (Total 30 points) See Scope of Work and Cost and Schedule samples and checklists for requirements (Grant Application Guide, Appendix B), also available on the Caltrans grants website: https://dot.ca.gov/programs/transportation-planning/division-of-transportation-planning/regional-and-community-planning
4A. Scope of Work (15 points)
4B. Cost and Schedule (15 points)



Sustainable Transportation Planning Grant Program
CLIMATE ADAPTATION PLANNING - GRANT APPLICATION
NARRATIVE

PART H. APPLICATION NARRATIVE		FY 2025-26
Project Information		
Organization (Legal name)		
Project Title		
Project Area Boundaries		
Project Timeframe (Start and End Dates)		
Do not alter application format and font size 10		
Application Narrative		
1. Project Description (5 points) - Do not exceed the space provided (5 sentences maximum) Briefly summarize project in a clear and concise manner, including why the project is necessary, major deliverables, desired outcomes, parties involved, and alignment with relevant local, regional, and/or State planning efforts.		
2A. Project Justification (10 points) - Describe the problem or deficiencies the project is attempting to address, including the climate adaptation need and any other priority needs, as well as how the project will address the identified problems or deficiencies - Describe the impact of not funding the project - Describe the public benefits Do not exceed the space provided		
2B. Under-Resourced Communities Justification (7.5 points) The tools in the Grant Application Guide, Appendix A, are intended to help applicants define an under-resourced community. - Explain how the project area or portions of the project area benefit under-resourced communities, including Tribal, local, regional, and rural communities as applicable - Explain how the proposed project addresses the needs of the communities and how they will benefit from the proposed project, including if the communities informed the scope of the project - Cite data sources, the tools used, and include a comparison to the statewide thresholds that are established in each tool Do not exceed the space provided		



Sustainable Transportation Planning Grant Program

CLIMATE ADAPTATION PLANNING - GRANT APPLICATION NARRATIVE

2C. Under-Resourced Communities Engagement (7.5 points)

See Grant Application Guide, Appendix A, for best practices in community engagement

- Describe how the proposed project will engage under-resourced communities and how the effort was informed by engagement with under-resourced communities, including Tribal, local, regional, and rural communities as applicable
 - Include specific outreach methods for involving under-resourced communities
- Describe how under-resourced communities will continue to be engaged during the next phases after the proposed planning project is complete, including implementation
- Do not exceed the space provided

3. Grant Specific Objectives (Total 40 points)

Integrate the following Grant Program Considerations (Grant Application Guide, Chapter 1.2) in the responses for 3A-D below, as applicable:

- Caltrans Strategic Plan
- California Transportation Plan (CTP)
- Strategic Highway Safety Plan (SHSP)
- Modal Plans that Support the CTP
- Title VI and Environmental Justice
- Climate Action Plan for Transportation Infrastructure (CAPTI)
- California Adaptation Strategy
- Master Plan for Aging

3A. Grant Specific Objectives; climate risk and adaptation (10 points)

- Explain how the project identifies and assesses climate change impact risks to multimodal transportation infrastructure vulnerabilities to climate change impacts in the project area
- Explain how the project will identify adaptation strategies and specific actions to remedy identified climate related vulnerabilities. Projects and plans should describe short-, medium-, and long-term strategies that will address the overall risk for the entire service life of the asset or capital project using the best available science and guidance.
- Articulate how the project will advance the planning of specific climate adaptation projects, such as developing a cost estimate, pursuing a technical feasibility study for adaptation options, or developing a conceptual design (up to 30%)
- When applicable, explain how the project includes economic analysis and/or cost-benefit analysis of identified adaptation strategy or strategies
- Do not exceed the space provided



Sustainable Transportation Planning Grant Program

CLIMATE ADAPTATION PLANNING - GRANT APPLICATION NARRATIVE

3B. Grant Specific Objectives; co-benefits (10 points)

- 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 (GHG) emissions.
 - If reductions in GHG emissions are identified as a co-benefit, explain how the project advances transportation related GHG emission reductions specifically through different project types/strategies (e.g., mode shift, demand management, accessibility, etc.)
- Describe if and how nature-based solutions will be integrated into the proposed project
- Describe how adaptation needs of environmental resources in proximity to the transportation system such as coastal resources like tidal marsh or beaches, wildlife connectivity, wetlands, or fish passage needs are considered in the proposed project (if applicable)
- **Do not exceed the space provided**

3C. Grant Specific Objectives; partnerships and stakeholder process (10 points)

- Explain how the project demonstrates on-going collaboration and partnerships between sectors and jurisdictions, and across levels of government at a regional scale
- Explain if the project also includes collaboration and partnerships with diverse external stakeholders such as businesses, non-governmental agencies, federal, state, or local agencies, community-based organizations, and community residents
- Explain how the project includes a multistakeholder process that provides an opportunity for meaningful community engagement from communities potentially impacted by any project identified or developed as part of the planning grant
- **Do not exceed the space provided**

3D. Grant Specific Objectives; alignment with other plans and State Goals (10 points)

- Explain how the project is consistent with priorities, goals, and actions of the California State Adaptation Strategy, follows State guidance on adaptation planning, and is consistent with any applicable local/regional resilience planning.
- Articulate if the project will identify ways to incorporate transportation-related climate adaptation needs into existing transportation plans, specifically how the project will lead to the identification and development of capital projects that can be programmed as part of local or regional plans
- Explain how the project is in alignment with or augments existing plans, including climate action/adaptation plans, hazard mitigation plans, safety elements of general plans, resilience improvement plans, and/or Coastal Act/Certified Local Coastal Program plans
- Explain how the proposed project addresses public access and Complete Streets needs
- **Do not exceed the space provided**



Sustainable Transportation Planning Grant Program
CLIMATE ADAPTATION PLANNING - GRANT APPLICATION
NARRATIVE

4. Project Management (Total 30 points)

See Scope of Work and Cost and Schedule samples and checklists for requirements (Grant Application Guide, Appendix B), also available on the Caltrans grants website:
<https://dot.ca.gov/programs/transportation-planning/division-of-transportation-planning/regional-and-community-planning>

4A. Scope of Work (15 points)

4B. Cost and Schedule (15 points)



Sustainable Transportation Planning Grant Program

STRATEGIC PARTNERSHIPS - GRANT APPLICATION NARRATIVE

PART H. APPLICATION NARRATIVE

FY 2025-26

Project Information

Organization (Legal name)	
Project Title	
Project Area Boundaries	
Project Timeframe (Start and End Dates)	

Do not alter application format and font size 10

Application Narrative

1. Project Description (10 points) - Do not exceed the space provided (5 sentences maximum)

Briefly summarize the project in a clear and concise manner, including why the project is necessary, major deliverables, parties involved, and any connections to relevant local, regional, and/or State planning efforts.

2. Project Justification (30 points)

- Describe the problems or deficiencies the project is attempting to address, as well as how the project will address the identified problems or deficiencies
- Describe the ramifications and impact of not funding this project
- Clearly define the existing issues surrounding the project (e.g., transportation issues, in-adequate transit services, impacts of heavy trucking on local streets, air pollution, etc.)
- Competitive applications support the need for the project with empirical data
- Describe how this project addresses issues raised
- **Do not exceed the space provided**



Sustainable Transportation Planning Grant Program

STRATEGIC PARTNERSHIPS - GRANT APPLICATION NARRATIVE

3. Grant Specific Objectives (Total 20 points)

Integrate the following Grant Program Considerations (Grant Application Guide, Chapter 1.2) in the responses for 3A-3D below, as applicable:

- Caltrans Strategic Plan
- California Transportation Plan (CTP)
- Strategic Highway Safety Plan (SHSP)
- Modal Plans that Support the CTP
- Title VI and Environmental Justice
- Climate Action Plan for Transportation Infrastructure (CAPTI)
- California Adaptation Strategy
- Master Plan for Aging

3A. Grant Specific Objectives (5 points)

- List and explain how the proposal would accomplish the Federal Planning Factors (Grant Application Guide, Chapter 5.2), achieve the Caltrans Mission and the Grant Program Objectives (Grant Application Guide, Chapter 1.2.)
- **Do not exceed the space provided**

3B. Grant Specific Objectives (5 points)

- Explain how the proposal partners with Caltrans to identify and address statewide, interregional, or regional transportation deficiencies in the State Highway System (or multimodal transportation system for transit-focused projects)
- Clearly define how Caltrans will be a partner in the proposed project, as appropriate for the project
- **Do not exceed the space provided**

3C. Grant Specific Objectives (5 points)

- Explain how the proposal strengthens government-to-government relationships
- Outline the entities involved with the proposed project and how partnerships will be strengthened as a result
- **Do not exceed the space provided**

3D. Grant Specific Objectives (5 points)

- Explain how the proposal results in programmed system improvements
- Discuss next steps for project implementation, including timing for programming improvements that would result from the planning effort
- **Do not exceed the space provided**



Sustainable Transportation Planning Grant Program

STRATEGIC PARTNERSHIPS - GRANT APPLICATION NARRATIVE

4. Project Management (Total 40 points)

See Scope of Work and Cost and Schedule samples and checklists for requirements (Grant Application Guide, Appendix B), also available on the Caltrans grants website, <https://dot.ca.gov/programs/transportation-planning/division-of-transportation-planning/regional-and-community-planning>

4A. Scope of Work (20 points)

4B. Cost and Schedule (20 points)

Scope of Work Checklist

The Scope of Work (SOW) is the official description of the work that is to be completed during the contract. Tasks 1-6 outlined in the SOW are for illustrative purposes only.

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

Scope of Work Checklist	
(✓)	Ensure these items are completed prior to submitting to Caltrans
	Use the Fiscal Year 2025-26 template provided
	Include the activities discussed in the grant application
	List all tasks using the same title as stated in the Project Cost and Schedule
	Include task numbers in accurate and proper sequencing, consistent with the Cost and Schedule
	Exclude sub-task numbers; only include sub-headings
	Exclude tasks for project management and/or staff/consultant coordination; these activities should be spread among relevant tasks
	Include a thorough Introduction to describe relevant background, related planning efforts, the project and project area demographics, including a description of the under-resourced community involved with the project, if applicable
	Include a thorough and accurate narrative description of each task
	Task 01 is a required task. It must be titled "Project Administration", it cannot exceed 5% of the grant award amount, and only the grantee and sub-recipient(s) can charge against this Task. This Task must only include the following activities and deliverables: • Caltrans and grantee Project kick-off meeting at the start of the grant • Invoicing and quarterly reporting to Caltrans • DBE Reporting (federal grants only)
	Include Task 02 for the procurement of a consultant (if needed). This task is for the <u>grantee and sub-applicant(s) only</u> .
	Include detailed public participation and services to diverse communities in the Public Outreach Task (excluding technical projects)
	Identify public outreach strategies in a manner that provides flexibility and allows for a diverse range of outreach methods (both in-person and virtual), excluding technical projects
	Include a Task(s) for a Draft and Final product. The draft plan must include an opportunity for the public to provide feedback (excluding technical projects).
	Include a summary of next steps your agency will take towards implementing the project in the Final Product
	List achievable project deliverables for each Task
	EXCLUDE environmental, complex design, engineering work, and other ineligible activities outlined in the Grant Application Guide

SCOPE OF WORK

Project Information	
Grant Category	
Grant Fiscal Year	
Project Title	
Organization (Legal name)	

Disclaimer

Agency commits to the Scope of Work below. Any changes will need to be approved by Caltrans prior to initiating any Scope of Work change or amendment.

Introduction

[Provide a detailed summary of the grant project. Include a thorough Introduction to describe relevant background, related planning efforts, the project and project area demographics, including a description of the under-resourced community involved with the project, if applicable]

Project Stakeholders

[Provide a detailed summary of who the Project Stakeholders are. Will a consultant be working on the project? If so, what activities/tasks will they be involved with?]

Overall Project Objectives

[Provide a detailed summary of the Overall Project Objectives]

Summary of Project Tasks

[Project Management activities must be identified within the task they are occur and not as standalone tasks.]

Task 01: Project Administration

This is an Administrative Task that shall only be charged against by the Grantee for the Administration of this grant project. Budget for this task cannot exceed 5% of the grant award amount.

Grantee will manage and administer the grant project according to the Grant Application Guidelines, Regional Planning Handbook, and the executed grant contract between Caltrans and the grantee.

[Provide a detailed narrative of activities to be completed in this Task]

Task Deliverables
[The following are the only allowable deliverables for this Task. This Task is not for the management of the consultant or meetings between the grantee and the consultant]

Kick-off meeting with Caltrans - Meeting Notes, quarterly invoices and progress reports, DBE reporting (federal Grants only).

Task 02: Consultant Procurement

[Provide a detailed narrative of activities to be completed in this Task]

Grantee will procure a consultant, consistent with state and federal requirements, Local Assistance Procedures Manual for procuring non-Architectural and Engineering consultants, the Grant Application Guide, Regional Planning Handbook, and the executed grant contract between Caltrans and the grantee.

Task Deliverables
[List achievable deliverables for this Task]
Examples: Grantees current procurement procedures, copy of the Request for Proposal/Qualifications, copy of the contract between consultant and grantee, copies of all amendments to the consultant contract, meeting notes from project kick-off with consultant

Task 1: Existing Conditions

[Provide a detailed narrative of activities to be completed in this Task]

Task Deliverables
[List achievable deliverables for this Task]
Examples: Summary of Existing Conditions

Task 2: Analysis

[Provide a detailed narrative of activities to be completed in this Task]

Task Deliverables
[List achievable deliverables for this Task]
Examples: Summary of Analysis

Task 3: Public Outreach

[Provide a detailed narrative of activities to be completed in this Task]

Task Deliverables
[List achievable deliverables for this Task]

Examples: PowerPoint Presentations, flyers, website announcements, sign-in sheets, community surveys, conceptual drawings, bilingual services, receipts for light snacks (Caltrans approval required prior to purchase. No full meals)

Task 4: Advisory Committee Meetings

[Provide a detailed narrative of activities to be completed in this Task]

Task Deliverables
[List achievable deliverables for this Task]
Examples: Agendas, meeting notes, list of attendees, list of action items

Task 5: Draft and Final Plan

[Provide a detailed narrative of activities to be completed in this Task]

Task Deliverables
[List achievable deliverables for this Task]
Examples: Draft Plan, Public Review – list of comments, Final Plan that includes a summary of next steps towards implementation, credits FHWA, FTA, and/or Caltrans on the cover or title page, submitted to Caltrans in an ADA accessible electronic copy.

Task 6: Board Review/Approval

[Provide a detailed narrative of activities to be completed in this Task]

Task Deliverables
[List achievable deliverables for this Task]
Examples: Board Agenda, presentation materials, meeting minutes with board acceptance/approval.

Cost and Schedule Checklist

The Cost and Schedule is the official budget and timeline for the project. Tasks 1-6 outlined in the Cost and Schedule are for illustrative purposes only. **The Cost and Schedule must be consistent with the Grant Application Cover Sheet. Applications with missing components will be at a competitive disadvantage.**

Cost and Schedule Checklist	
[✓] Ensure these items are completed prior to submitting to Caltrans	
	Use the Fiscal Year 2025-26 template provided (do not alter the template)
	List all tasks with the same title as stated in the Scope of Work
	Include task numbers in proper sequencing, consistent with the Scope of Work
	Exclude sub-task numbers and sub-headings
	Exclude tasks for project management and/or staff/consultant coordination; these activities should be spread among relevant tasks
	Task 01 is a required task. It must be titled "Project Administration", it cannot exceed 5% of the grant amount requested, and only the grantee and recipient(s) can charge against this Task. This Task must only include the following activities and deliverables: • Project kick-off meeting between the grantee and Caltrans at the start of the grant • Invoicing and quarterly reporting to Caltrans • DBE Reporting (federal grants only)
	Include Task 02 for procurement of consultants, if consultants are needed. This task is for the <u>grantee and sub-recipient(s) only</u> .
	Complete all budget columns as appropriate: Total Cost, Grant Amount, Local Cash Match, and if applicable, Local In-Kind Match
	Ensure a local match amount is provided for each task (Task 01 & Task 02 optional)
	Use the Local Match Calculator to ensure the total Local Match amount meets the minimum required Local Match for the specified Grant Category
	Include a grant amount for each Task (Task 01 & Task 02 optional)
	Identify if a Tapered Local Match approach will be used, which allows grantees to vary the required local match ratio over the life of the grant contract. Grantee agrees to satisfy the total local match amount by the contract expiration date.
	Identify the estimated indirect cost rate if indirect costs will be reimbursed. If FY 2024-25 indirect cost rates are not available, the rate will be an estimate based on the currently approved rate.
	Include a best estimate of the amount of time needed to complete each task
	State a realistic total cost for each task based on the work that will be completed
	Use only whole dollars in the financial information fields. No rounding up or down and no cents.
	Start the timeframe at the beginning of the grant period (November 2025)
	Extend the timeframe to the end of the grant period (June 2028)

California Department of Transportation
Sustainable Transportation Planning Grant Program
COST AND SCHEDULE

Grant Category																													
Grant Fiscal Year		FY 2025-26																											
Project Title																													
Organization (Legal name)																													
Disclaimers		Agency commits to the Cost and Schedule below. Any changes will need to be approved by Caltrans prior to initiating any Cost and Schedule change or amendment. Use only whole dollars in the financial information fields. No rounding up or down and no cents. Use the Local Watch Calculator to ensure that grant and local match amounts are correct: Local Watch Calculator (posted on-line)																											
Reimbursements/Invoicing		Does your agency plan to request reimbursement for indirect costs? ☐ Yes ☐ No If yes, what is the estimated indirect cost rate? _____ Does your agency plan to use the Tapered Match approach for invoicing purposes? ☐ Yes ☐ No																											
Task #	Task Title	Grant Amount*	Estimated Local Cash Match*	Estimated Local In-Kind Match*	Estimated Total Project Cost*	FY 2025/26 FY 2026/27 FY 2027/28																							
						J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J
01	Project Administration (no more than 5% of total grant funds)	\$0	\$2,500	\$0	\$2,500																								
02	Consultant Procurement	\$4,427	\$574	\$0	\$5,000																								
1	Existing Conditions	\$11,509	\$1,491	\$0	\$13,000																								
2	Analysis	\$30,986	\$4,015	\$0	\$32,500																								
3	Public Outreach	\$39,839	\$5,162	\$0	\$45,000																								
4	Advisory Committee Meetings	\$13,280	\$1,721	\$0	\$15,000																								
5	Draft and final Plan	\$72,595	\$6,577	\$0	\$82,000																								
6	Board Review/Approval	\$4,424	\$900	\$0	\$5,000																								
Totals		\$177,060	\$22,940	\$0	\$200,000																								

Third Party In-Kind Valuation Plan Checklist

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 donated. The Third Party In-Kind Valuation Plan must be consistent with the information provided on the Cost and Schedule and Grant Application Cover Sheet. This document is required upon grant award as a condition of grant acceptance. Refer to Grant Application Guide, Chapter 6.5 for a Third-Party In-Kind description and examples.

Third-Party In-Kind Valuation Plan Checklist	
(✓) Ensure these items are completed prior to submitting to Caltrans	
	Use the Fiscal Year 2025-26 template provided (do not alter the template).
	Name the third party in-kind local match provider; this cannot be the Grantee
	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, consistent with the Cost and Schedule.
	Ensure the in-kind local match amount is consistent with the Grant Application Cover Sheet and Cost and Schedule.

California Department of Transportation
Sustainable Transportation Planning Grant Program
THIRD-PARTY IN-KIND VALUATION PLAN

Grant Category
 Grant Fiscal Year
 Project Title
 Organization
 (Legal Name)

Task #	Task Title	Third-Party In-Kind Contribution	Name of Third-Party In-Kind Match Provider	Fair Market Value Determination	Fair Market Value or Hourly Rate	Number of Hours	Estimated Cost
Total In-kind Match:							\$0

Explain how the third party in-kind match will be documented for accounting purposes:	
---	--

Local Resolution Checklist

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

Local Resolution Checklist	
(✓)	Ensure these items are completed prior to submitting to Caltrans
	State the title of the project (1)
	State the job title of the person authorized to enter into a contract with Caltrans on behalf of the applicant (2)
	NOT be more than a year old, or it will not be accepted (3)
	Signed by the grant applicant's governing board (4)

Sample Local Resolution

CITY OF CAN DO RESOLUTION NO. 009-2012

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

1

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

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

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

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

2

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

APPROVED AND PASSED this 4th day of December 2023.

3

4

John Doe,
Chair

ATTEST:



Eileen Wright, Executive Director

APPENDIX C. CALTRANS/REGIONAL AGENCY BOUNDARIES MAP



APPENDIX D. CALTRANS DISTRICT CONTACT LIST

Caltrans Sustainable Transportation Planning Grants District Lead Contact and Native American Liaison Contact List

DISTRICT	LEAD CONTACT(S)	NATIVE AMERICAN LIAISON CONTACT(S)	MPO/RTPA
DISTRICT 1 1656 Union Street P.O. Box 3700 Eureka, CA 95502	Tatiana Ahlstrand (707) 684-6884 Email: Tatiana.Ahlstrand@dot.ca.gov	Jerome Washington (707) 834-1438 Email: Jerome.Washington@dot.ca.gov	• Del Norte LTC • Humboldt CAOG • Lake CCAPC • Mendocino COG
DISTRICT 2 1657 Riverside Drive Redding, CA 96001	Kathy Grah (530) 782-3152 Email: Kathy.Grah@dot.ca.gov	Kendee Vance (530) 768-4200 Email: Kendee.Vance@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	El Dorado, Sacramento, Sutter, Yolo, and Yuba Counties Sukhi Johal (530) 565-3885 Email: Sukhi.Johal@dot.ca.gov	Angelina Healy (530) 720-9449 Email: Angelina.Healy@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	Stephen Conteh (510) 960-0887 Email: Stephen.Conteh@dot.ca.gov Becky Frank (510) 960-0883 Email: Becky.Frank@dot.ca.gov	Stephen Conteh (510) 960-0887 Email: Stephen.Conteh@dot.ca.gov	• Metropolitan Transportation Commission
DISTRICT 5 50 Higuera Street San Luis Obispo, CA 93401-5415	Veronica Lezama (805) 748-4216 Email: Veronica.Lezama@dot.ca.gov	John Olejnik (805) 748-1787 Email: John.Olejnik@dot.ca.gov	• Monterey TAMC • Santa Cruz CCRTC • San Benito COG • Assoc. of Monterey Co. Bay Area Govts • Santa Barbara CAG • San Luis Obispo COG
DISTRICT 6 1352 W. Olive Avenue P.O. Box 12616 Fresno, CA 93778-2616	Lorena Mendibles (559) 840-6066 Email: Lorena.Mendibles@dot.ca.gov Christopher Xiong (559) 908-7064 Email: Christopher.Xiong@dot.ca.gov	Rachel Padilla (559) 353-4245 Email: Rachel.Padilla@dot.ca.gov	• Fresno COG • Tulare CAG • Kern COG • Kings CAG • Madera CTC

Caltrans Sustainable Transportation Planning Grants District Lead Contact and Native American Liaison Contact List

DISTRICT	LEAD CONTACT(S)	NATIVE AMERICAN LIAISON CONTACT(S)	MPO/RTPA
DISTRICT 7 100 S. Main Street Los Angeles, CA 90012	Kevin Lum (213) 296-1121 Email: Kevin.Lum@dot.ca.gov	Not applicable	• Southern California Association of Governments
DISTRICT 8 464 W. 4 th Street 6 th Floor, Mail Station 722 San Bernardino, CA 92401	Ricky Rivers (909) 963-9366 Email: Ricky.Rivers@dot.ca.gov Stephanie Ahmad (909) 383-4057 Email: Stephanie.Ahmad@dot.ca.gov	Lorna Foster (909) 501-5759 Email: Lorna.Foster@dot.ca.gov	• Southern California Association of Governments
DISTRICT 9 500 S. Main Street Bishop, CA 93514	Catherine Carr (760) 874-8318 Email: Catherine.Carr@dot.ca.gov	Marcela Castleberry (760) 784-4260 Email: Marcela.Castleberry@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 Gregoria Ponce (209) 483-7234 Email: Gregoria.Ponce@dot.ca.gov Merced, San Joaquin, Stanislaus Counties Tom Dumas (209) 941-1921 Email: Tom.Dumas@dot.ca.gov	Paul Bauldry (209) 948-7647 Email: Paul.Bauldry@dot.ca.gov Gregoria Ponce (209) 483-7234 Email: Gregoria.Ponce@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	Omar Flores (619) 985-2124 Email: Omar.Flores@dot.ca.gov	Karen Islas (619) 380-7501 Email: Karen.Islas@dot.ca.gov	• San Diego Association of Governments • Southern California Association of Governments
DISTRICT 12 1750 E. 4 th Street Santa Ana, CA 92705	Eric Chau (657) 328-6268 Email: Eric.E.Chau@dot.ca.gov	Not applicable	• Southern California Association of Governments

CALIFORNIA DEPARTMENT OF TRANSPORTATION

DIVISION OF TRANSPORTATION PLANNING

1120 N STREET

SACRAMENTO, CA 95814

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



EXHIBIT “C”



PROPOSAL EVALUATION FORM
COUNTY OF IMPERIAL DEPARTMENT OF PUBLIC WORKS
REQUEST FOR PROPOSAL
Gateway of the Americas Freight Optimization Plan
County Project No. 7268STPG

Prepared November 14, 2025 by N.Robles

DATE: _____

EVALUATOR: _____

RESPONDENT: _____

RATING POINTS:

5 = excellent
4 = good
3 = above average
2 = average
1 = below average
0 = unsatisfactory

CRITERIA	WEIGHT FACTOR	X	RATING	=	WEIGHTED RATING
A. Technical Approach	0.20				
• Responsiveness & understanding of work to be done, i.e. scope of work	(0.10)		_____		_____
• Specific experience with similar Traffic engineering services	(0.10)		_____		_____
C. Project Management	0.30				
• Capacity to perform the scope of work and the ability to conclude in a timely manner	(0.20)		_____		_____
• Quality of staff based on recent experience	(0.10)		_____		_____
D. References	(0.05)		_____		_____
E. Cost Effectiveness	(0.40)	_____		_____	
A. Overall quality of proposal, including qualifications and thoroughness.	(0.05)		_____		_____
				Subtotal Score	_____
G. Previous Experience and Performance working with County of Imperial Department of Public Works					_____
					(0 to -5)
				Total Score	_____

Note: Positive previous experience and no previous experience will constitute a score of zero (0). Negative experience points will be deducted from the overall score.

Comments:

EXHIBIT “D”

INSURANCE COVERAGE AND LIMITS:

Liability coverage shall be at least as broad as Insurance Services Office (ISO) CGL Policy CG 00 01. No modifications or endorsements are allowed that would reduce, limit, restrict, or exclude coverage under the standard unmodified ISO CGL policy coverages.

<u>Insurance</u>	<u>Minimum Limit*</u>
Professional Liability (Errors and Omissions)	Insurance appropriate to the Contractor's profession, with limit no less than \$1,000,000 per occurrence or claim, \$1,000,000 aggregate.
Workers Compensation, Coverage A	as required by the State of California, with Statutory Limits, and Employer's Liability Insurance with limit of no less than \$1,000,000 per accident for bodily injury or disease.
Employers Liability, Coverage B	\$1,000,000
Commercial General Liability (including Contractual Liability):	Insurance Services Office Form CG 00 01 covering CGL on an "occurrence" basis, including products and completed operations, property damage, bodily injury and personal & advertising injury with limits no less than \$3,000,000 per occurrence. If a general aggregate limit applies, either the general aggregate limit shall apply separately to this project/location (ISO CG 25 03 or 25 04) or the general aggregate limit shall be twice the required occurrence limit.
Comprehensive Automobile Liability (owned, hired & non-owned vehicles) Bodily Injury & Property Damage	ISO Form Number CA 00 01 covering any auto (Code 1), or if Contractor has no owned autos, hired, (Code 8) and non-owned autos (Code 9), with limit no less than \$1,000,000 per accident for bodily injury and property damage.

ADDITIONAL ENDORSEMENT REQUIRED:

1. Waiver of Subrogation (Rights of Recovery) endorsement of Workers' Compensation
2. Additional Insured Endorsement for "ongoing operations" at least as broad as ISO CG 2010 Scheduled form, or Automatic form CG 2038.
3. Additional Insured Endorsement for "completed operations" at least as broad as ISO CG 2037 Scheduled form, or Automatic form CG 2040.
4. Primary & non-contributory coverage (at least as broad as ISO CG 20 01)

Special Risks or Circumstances

The COUNTY reserves the right to modify these requirements, including limits, based on the nature of the risk, prior experience, insurer, coverage, or other special circumstances.

1 **AGREEMENT FOR SERVICES**

2 **«Consultant_Business_Name»**

3 THIS AGREEMENT FOR SERVICES (“Agreement”), made and entered into effective the
4 _____ day of _____, 2017, by and between the County of Imperial, a political subdivision of
5 the State of California, by and through its Department of Public Works (“COUNTY”) and
6 **«Consultant_Business_Name»**, a **«Consultant_Business_Type»** licensed to do business within the state
7 of California (“CONSULTANT”) (individually, “Party;” collectively, “Parties”) shall be as follows:

8 **RECITALS**

9 **WHEREAS**, COUNTY desires to retain a qualified individual, firm or business entity to provide
10 **«Contract_Services»** for **«Project_Name»**; County Project No. **«Project_Number»** (“Project”); and

11 **WHEREAS**, CONSULTANT represents that it is qualified and experienced to perform the
12 services; and

13 **WHEREAS**, COUNTY desires to engage CONSULTANT to provide services by reason of its
14 qualifications and experience for performing such services, and CONSULTANT has offered to provide
15 the required services for the Project on the terms and in the manner set forth herein.

16 **NOW, THEREFORE**, in consideration of their mutual covenants, COUNTY and
17 CONSULTANT have and hereby agree to the following:

18 **1. INCORPORATION OF RECITALS.**

19 The Parties certify that, to the best of their knowledge, the above recitals are true and correct. The
20 above recitals are hereby adopted and incorporated within this Agreement.

21 **2. DEFINITIONS.**

22 **2.1.** “Request for Proposal” or “RFP” shall mean that document that describes the Project and
23 project requirements to prospective bidders entitled, “**«Name_of_RFP»**,” dated
24 **«Date_of_RFP»**. The Request for Proposal is attached hereto as **Exhibit “A”** and
25 incorporated herein by this reference.

26 **2.2.** “Proposal” shall mean CONSULTANT’s document entitled, “**«Name_of_Proposal»**,”
27 dated **«Date_of_Proposal»** and submitted to COUNTY’s Department of Public Works.
28 The Proposal is attached hereto as **Exhibit “B”** and incorporated herein this by reference.

1 **3. CONTRACT COORDINATION.**

2 **3.1.** The Director of Public Works or his/her designee shall be the representative of
3 COUNTY for all purposes under this Agreement. The Director of Public Works or
4 his/her designee is hereby designated as the Contract Manager for COUNTY. He/she
5 shall supervise the progress and execution of this Agreement.

6 **3.2.** CONSULTANT shall assign a single Contract Manager to have overall responsibility for
7 the progress and execution of this Agreement. Should circumstances or conditions
8 subsequent to the execution of this Agreement require a substitute Contract Manager for
9 any reason, the Contract Manager designee shall be subject to the prior written acceptance
10 and approval of COUNTY's Contract Manager.

11 **4. DESCRIPTION OF WORK.**

12 CONSULTANT shall provide all materials and labor to perform this Agreement consistent with
13 the RFP and the Proposal, as set forth in **Exhibits "A" and "B."** In the event of a conflict amongst this
14 Agreement, the RFP, and the Proposal, the RFP shall take precedence over the Proposal and this
15 Agreement shall take precedence over both.

16 **5. WORK TO BE PERFORMED BY CONSULTANT.**

17 **5.1.** CONSULTANT shall comply with all terms, conditions and requirements of the Proposal
18 and this Agreement.

19 **5.2.** CONSULTANT shall perform such other tasks as necessary and proper for the full
20 performance of the obligations assumed by CONSULTANT hereunder; including but not
21 limited to any additional work or change orders agreed upon pursuant to written
22 authorization as described in Paragraph 6.3, and as contemplated under Sections 13, 14,
23 and 28. Proposed additional work or change order requests, when applicable, will be
24 attached and incorporated herein under **Exhibit "B"** (as "B-1," "B-2," etc.).

25 **5.3.** CONSULTANT shall:

26 **5.3.1.** Procure all permits and licenses, pay all charges and fees, and give all notices
27 that may be necessary and incidental to the due and lawful prosecution of the
28 services to be performed by CONSULTANT under this agreement;

5.3.2. Keep itself fully informed of all existing and proposed federal, state and local laws, ordinances, regulations, orders and decrees which may affect those engaged or employed under this Agreement;

5.3.3. At all times observe and comply with, and cause all of its employees to observe and comply with all of said laws, ordinances, regulations, orders and decrees mentioned above; and

5.3.4. Immediately report to COUNTY's Contract Manager in writing any discrepancy or inconsistency it discovers in said laws, ordinances, regulations, orders and decrees mentioned above in relation to any plans, drawings, specifications or provisions of this Agreement.

6. REPRESENTATIONS BY CONSULTANT.

6.1. CONSULTANT understands and agrees that COUNTY has limited knowledge in the multiple areas specified in the Proposal. CONSULTANT has represented itself to be an expert in these fields and understands that COUNTY is relying upon such representation.

6.2. CONSULTANT represents and warrants that it is a lawful entity possessing all required licenses and authorities to do business in the State of California and perform all aspects of this Agreement.

6.3. CONSULTANT shall not commence any work under this Agreement or provide any other services, or materials, in connection therewith until CONSULTANT has received written authorization from COUNTY's Contract manager to do so.

6.4. CONSULTANT represents and warrants that the people executing this Agreement on behalf of CONSULTANT have the authority of CONSULTANT to sign this Agreement and bind CONSULTANT to the performance of all duties and obligations assumed by CONSULTANT herein.

6.5. CONSULTANT represents and warrants that any employee, contractor and/or agent who will be performing any of the duties and obligations of CONSULTANT herein possess all required licenses and authorities, as well as the experience and training, to perform such tasks.

- 1 **6.6.** CONSULTANT represents and warrants that the allegations contained in the Proposal are
2 true and correct.
- 3 **6.7.** CONSULTANT understands and agrees not to discuss this Agreement or work
4 performed pursuant to this Agreement with anyone not a party to this Agreement
5 without the prior permission of COUNTY. CONSULTANT further agrees to
6 immediately advise COUNTY of any contacts or inquiries made by anyone not a party
7 to this Agreement with respect to work performed pursuant to this Agreement.
- 8 **6.8.** Prior to accepting any work under this Agreement, CONSULTANT shall perform a due
9 diligence review of its files and advise COUNTY of any conflict or potential conflict
10 CONSULTANT may have with respect to the work requested.
- 11 **6.9.** CONSULTANT understands and agrees that in the course of performance of this
12 Agreement CONSULTANT may be provided with information or data considered by
13 the owner or the COUNTY to be confidential. COUNTY shall clearly identify such
14 information and/or data as confidential. CONSULTANT shall take all necessary steps
15 necessary to maintain such confidentiality including but not limited to restricting the
16 dissemination of all material received to those required to have such data in order for
17 CONSULTANT to perform under this Agreement.
- 18 **6.10.** CONSULTANT represents that the personnel dedicated to this project as identified in
19 CONSULTANT's Proposal, will be the people to perform the tasks identified therein.
20 CONSULTANT will not substitute other personnel or engage any contractors to work
21 on any tasks identified herein without prior written notice to COUNTY.
- 22 **6.11.** CONSULTANT understands that COUNTY considers the representations made herein
23 to be material and would not enter into this Agreement with CONSULTANT if such
24 representations were not made.

25 7. **TERM OF AGREEMENT.**

26 This Agreement shall commence on the date first written above and shall remain in effect until
27 the services provided as outlined in Section 4, ("DESCRIPTION OF WORK"), have been completed,
28 unless otherwise terminated as provided for in this Agreement.

1 **8. COMPENSATION.**

2 **8.1.** The total compensation payable under this Agreement shall not exceed
3 «Cost_of_Original_Contract», unless otherwise previously agreed to in writing by
4 COUNTY.

5 **8.2.** The fee for any additional services required by COUNTY will be computed either on a
6 negotiated lump sum basis or upon actual hours and expenses incurred by
7 CONSULTANT and based on CONSULTANT's current standard rates as set forth in
8 the Proposal. Additional services or costs will not be paid without a prior written
9 agreement between the Parties.

10 **8.3.** Except as provided under Paragraphs 8.1 and 8.2, COUNTY shall not be responsible to
11 pay CONSULTANT any compensation, out of pocket expenses, fees, reimbursement of
12 expenses or other remuneration.

13 **9. PAYMENT.**

14 **9.1.** CONSULTANT shall bill COUNTY on a time and material basis as set forth in **Exhibit**
15 **“B.”** COUNTY shall pay CONSULTANT for completed and approved services upon
16 presentation of its itemized billing.

17 **9.2.** COUNTY shall have the right to retain five percent (5%) of the total of amount of each
18 invoice, not to exceed five percent (5%) of the total compensation amount of the
19 completed project. “Completion of the Project” is when the work to be performed has
20 been completed in accordance with this Agreement, as determined by COUNTY, and all
21 subcontractors, if any, have been paid in full by CONSULTANT. Upon completion of the
22 Project CONSULTANT shall bill COUNTY the retention for payment by COUNTY.

23 **10. METHOD OF PAYMENT.**

24 CONSULTANT shall at any time prior to the fifteenth (15th) day of any month, submit to
25 COUNTY a written claim for compensation for services performed. The claim shall be in a format
26 approved by COUNTY. No payment shall be made by COUNTY prior to the claims being approved in
27 writing by COUNTY's Contract Manager or his/her designee. CONSULTANT may expect to receive
28 payment within a reasonable time thereafter and in any event in the normal course of business within

thirty (30) days after the claim is submitted.

11. TIME FOR COMPLETION OF THE WORK.

The Parties agree that time is of the essence in the performance of this Agreement. Program scheduling shall be as described in Exhibits unless revisions are approved by both COUNTY's Contract Manager and CONSULTANT's Contract Manager. Time extensions may be allowed for delays caused by COUNTY, other governmental agencies or factors not directly brought about by the negligence or lack of due care on the part of CONSULTANT.

12. MAINTENANCE AND ACCESS OF BOOKS AND RECORDS.

12.1. CONSULTANT shall maintain books, records, documents, reports and other materials developed under this Agreement as follows:

12.2. CONSULTANT shall maintain all ledgers, books of accounts, invoices, vouchers, canceled checks, and other records relating to CONSULTANT's charges for services or expenditures and disbursements charged to COUNTY for a minimum period of three (3) years, or for any longer period required by law, from the date of final payment to CONSULTANT pursuant to this Agreement.

12.3. CONSULTANT shall maintain all reports, documents, and records, which demonstrate performance under this Agreement for a minimum period of five (5) years, or for any longer period required by law, from the date of termination or completion of this Agreement.

12.4. Any records or documents required to be maintained by CONSULTANT pursuant to this Agreement shall be made available to COUNTY for inspection or audit at any time during CONSULTANT's regular business hours provided that COUNTY provides CONSULTANT with seven (7) days advanced written or e-mail notice. Copies of such documents shall, at no cost to COUNTY, be provided to COUNTY for inspection at CONSULTANT's address indicated for receipt of notices under this Agreement.

13. SUSPENSION OF AGREEMENT.

COUNTY's Contract Manager shall have the authority to suspend this Agreement, in whole or in part, for such period as deemed necessary due to unfavorable conditions or to the failure on the part

of CONSULTANT to perform any provision of this Agreement. CONSULTANT will be paid the compensation due and payable to the date of suspension.

14. TERMINATION.

COUNTY retains the right to terminate this Agreement for any reason by notifying CONSULTANT in writing twenty (20) days prior to termination and by paying the compensation due and payable to the date of termination; provided, however, if this Agreement is terminated for fault of CONSULTANT, COUNTY shall be obligated to compensate CONSULTANT only for that portion of CONSULTANT's services which are of benefit to COUNTY. Said compensation is to be arrived at by mutual agreement between COUNTY and CONSULTANT; should the parties fail to agree on said compensation, an independent arbitrator shall be appointed and the decision of the arbitrator shall be binding upon the parties.

15. INSPECTION.

CONSULTANT shall furnish COUNTY with every reasonable opportunity for COUNTY to ascertain that the services of CONSULTANT are being performed in accordance with the requirements and intentions of this Agreement. All work done and materials furnished, if any, shall be subject to COUNTY's Contract Manager's inspection and approval. The inspection of such work shall not relieve CONSULTANT of any of its obligations to fulfill its Agreement as prescribed.

16. OWNERSHIP OF MATERIALS.

All original drawings, videotapes, studies, sketches, computations, reports, information, data and other materials given to or prepared or assembled by or in the possession of CONSULTANT pursuant to this Agreement shall become the permanent property of COUNTY and shall be delivered to COUNTY upon demand, whether or not completed, and shall not be made available to any individual or organization without the prior written approval of COUNTY.

17. INTEREST OF CONSULTANT.

17.1. CONSULTANT covenants that it presently has no interest, and shall not acquire any interest, direct or indirect, financial or otherwise, which would conflict in any manner or degree with the performance of the services hereunder.

17.2. CONSULTANT covenants that, in the performance of this Agreement, no sub-

contractor or person having such an interest shall be employed.

17.3. CONSULTANT certifies that no one who has or will have any financial interest under this Agreement is an officer or employee of COUNTY.

18. INDEMNIFICATION.

18.1. CONSULTANT agrees to the fullest extent permitted by law to indemnify, defend, protect and hold COUNTY and its representatives, officers, directors, designees, employees, successors and assigns harmless from any and all claims, expenses, liabilities, losses, causes of actions, demands, losses, penalties, attorneys' fees and costs, in law or equity, of every kind and nature whatsoever arising out of or in connection with CONSULTANT's negligent acts and omissions or willful misconduct under this Agreement ("Claims"), whether or not arising from the passive negligence of COUNTY, but does not include Claims that are the result of the negligence or willful misconduct of COUNTY.

18.2. CONSULTANT agrees to defend with counsel acceptable to COUNTY, indemnify and hold COUNTY harmless from all Claims, including but not limited to:

18.2.1. Personal injury, including but not limited to bodily injury, emotional injury, sickness or disease or death to persons including but not limited to COUNTY's representatives, officers, directors, designees, employees, agents, successors and assigns, subcontractors and other third parties and/or damage to property of anyone (including loss of use thereof) arising out of CONSULTANT's negligent performance of, or willful misconduct surrounding, any of the terms contained in this Agreement, or anyone directly or indirectly employed by CONSULTANT or anyone for whose acts CONSULTANT may be liable;

18.2.2. Liability arising from injuries to CONSULTANT and/or any of CONSULTANT's employees or agents arising out of CONSULTANT's negligent performance of, or willful misconduct surrounding, any of the terms contained in this Agreement, or anyone directly or indirectly employed by CONSULTANT or anyone for whose acts CONSULTANT may be liable;

1 **18.2.3.** Penalties imposed upon account of the violation of any law, order, citation, rule,
2 regulation, standard, ordinance or statute caused by the negligent action or
3 inaction, or willful misconduct of CONSULTANT or anyone directly or
4 indirectly employed by CONSULTANT or anyone for whose acts
5 CONSULTANT may be liable, including but not limited to:

6 **(a)** Any loss of funding, penalties, fees, or other costs resulting from
7 CONSULTANT's failure to adhere to Disadvantaged Business
8 Enterprise requirements and/or goals, as determined by COUNTY or
9 such other lawful entity in charge of monitoring Disadvantaged Business
10 Enterprise compliance;

11 **(a)** Any loss of funding, penalties, fees, or other costs resulting from
12 CONSULTANT's failure to adhere to prevailing wage requirements, as
13 determined by COUNTY, the California Department of Industrial
14 Relations, or such other lawful entity in charge of monitoring prevailing
15 wage compliance;

16 **18.2.4.** Infringement of any patent rights which may be brought against COUNTY
17 arising out of CONSULTANT's work;

18 **18.2.5.** Any violation or infraction by CONSULTANT of any law, order, citation, rule,
19 regulation, standard, ordinance or statute in any way relating to the occupational
20 health or safety of employees; and

21 **18.2.6.** Any breach by CONSULTANT of the terms, requirements or covenants of this
22 Agreement.

23 **18.3.** These indemnification provisions shall extend to Claims occurring after this Agreement
24 is terminated, as well as while it is in force.

25 **19. INDEPENDENT CONTRACTOR.**

26 In all situations and circumstances arising out of the terms and conditions of this Agreement,
27 CONSULTANT is an independent contractor, and as an independent contractor, the following shall
28 apply:

- 1 **19.1.** CONSULTANT is not an employee or agent of COUNTY and is only responsible for
2 the requirements and results specified by this Agreement or any other agreement.
- 3 **19.2.** CONSULTANT shall be responsible to COUNTY only for the requirements and results
4 specified by this Agreement and except as specifically provided in this Agreement, shall
5 not be subject to COUNTY's control with respect to the physical actions or activities of
6 CONSULTANT in fulfillment of the requirements of this Agreement.
- 7 **19.3.** CONSULTANT is not, and shall not be, entitled to receive from, or through, COUNTY,
8 and COUNTY shall not provide, or be obligated to provide, CONSULTANT with
9 Workers' Compensation coverage or any other type of employment or worker insurance
10 or benefit coverage required or provided by any Federal, State or local law or regulation
11 for, or normally afforded to, an employee of COUNTY.
- 12 **19.4.** CONSULTANT shall not be entitled to have COUNTY withhold or pay, and COUNTY
13 shall not withhold or pay, on behalf of CONSULTANT, any tax or money relating to
14 the Social Security Old Age Pension Program, Social Security Disability Program, or
15 any other type of pension, annuity, or disability program required or provided by any
16 federal, State or local law or regulation.
- 17 **19.5.** CONSULTANT shall not be entitled to participate in, nor receive any benefit from, or
18 make any claim against any COUNTY fringe program, including, but not limited to,
19 COUNTY's pension plan, medical and health care plan, dental plan, life insurance plan,
20 or any other type of benefit program, plan, or coverage designated for, provided to, or
21 offered to COUNTY's employees.
- 22 **19.6.** COUNTY shall not withhold or pay, on behalf of CONSULTANT, any Federal, State,
23 or local tax, including, but not limited to, any personal income tax, owed by
24 CONSULTANT.
- 25 **19.7.** CONSULTANT is, and at all times during the term of this Agreement, shall represent
26 and conduct itself as an independent contractor, not as an employee of COUNTY.
- 27 **19.8.** CONSULTANT shall not have the authority, express or implied, to act on behalf of,
28 bind or obligate COUNTY in any way without the written consent of COUNTY.

1 **20. INSURANCE.**

2 **20.1.** CONSULTANT hereby agrees at its own cost and expense to procure and maintain,
3 during the entire term of this Agreement and any extended term therefore, insurance in
4 a sum acceptable to COUNTY and adequate to cover potential liabilities arising in
5 connection with the performance of this Agreement and in any event not less than the
6 minimum limit set forth in the "Minimum Insurance Amounts" attachment to RFP
7 **(Exhibit "A")** which are incorporated as if set forth fully herein.

8 **20.2. Special Insurance Requirements.** All insurance required shall:

9 **20.2.1.** Be procured from California admitted insurers (licensed to do business in
10 California) with a current rating by Best's Key Rating Guide, acceptable to
11 COUNTY. A rating of at least A-VII shall be acceptable to COUNTY; lesser
12 ratings must be approved in writing by COUNTY.

13 **20.2.2.** Be primary coverage as respects COUNTY and any insurance or self-insurance
14 maintained by COUNTY shall be in excess of CONSULTANT's insurance
15 coverage and shall not contribute to it.

16 **20.2.3.** Name The Imperial County Department of Public Works and the County of
17 Imperial and their officers, employees, and volunteers as additional insured on
18 all policies, except Workers' Compensation insurance and Errors & Omissions
19 insurance, and provide that COUNTY may recover for any loss suffered by
20 COUNTY due to CONSULTANT's negligence.

21 **20.2.4.** State that it is primary insurance and regards COUNTY as an additional insured
22 and contains a cross-liability or severability of interest clause.

23 **20.2.5.** Not be canceled, non-renewed or reduced in scope of coverage until after thirty
24 (30) days written notice has been given to COUNTY. CONSULTANT may not
25 terminate such coverage until it provides COUNTY with proof that equal or
26 better insurance has been secured and is in place. Cancellation or change
27 without prior written consent of COUNTY shall, at the option of COUNTY, be
28 grounds for termination of this Agreement.

1 **20.2.6.** If this Agreement remains in effect more than one (1) year from the date of its
2 original execution, COUNTY may, at its sole discretion, require an increase to
3 liability insurance to the level then customary in similar COUNTY Agreements
4 by giving sixty (60) days notice to CONSULTANT.

5 **20.3. Additional Insurance Requirements.**

6 **20.3.1.** COUNTY is to be notified immediately of all insurance claims. COUNTY is
7 also to be notified if any aggregate insurance limit is exceeded.

8 **20.3.2.** The comprehensive or commercial general liability shall contain a provision of
9 endorsements stating that such insurance:

- 10 **(a)** Includes contractual liability;
- 11 **(b)** Does not contain any exclusions as to loss or damage to property caused
12 by explosion or resulting from collapse of buildings or structures or
13 damage to property underground, commonly referred to by insurers as
14 the “XCU Hazards;”
- 15 **(c)** Does not contain a “pro rata” provision which looks to limit the insurer’s
16 liability to the total proportion that its policy limits bear to the total
17 coverage available to the insured;
- 18 **(d)** Does not contain an “excess only” clause which require the exhaustion
19 of other insurance prior to providing coverage;
- 20 **(e)** Does not contain an “escape clause” which extinguishes the insurer’s
21 liability if the loss is covered by other insurance;
- 22 **(f)** Includes COUNTY as an additional insured.
- 23 **(g)** States that it is primary insurance and regards COUNTY as an additional
24 insured and contains a cross-liability or severability of interest clause.

25 **20.4. Deposit of Insurance Policy.** Promptly on issuance, reissuance, or renewal of any
26 insurance policy required by this Agreement, CONSULTANT shall, if requested by
27 COUNTY, provide COUNTY satisfactory evidence that insurance policy premiums
28 have been paid together with a duplicate copy of the policy or a certificate evidencing

1 the policy and executed by the insurance company issuing the policy or its authorized
2 agent.

3 **20.5. Certificates of Insurance.** CONSULTANT agrees to provide COUNTY with the
4 following insurance documents on or before the effective date of this Agreement:

5 **20.5.1.** Complete copies of certificates of insurance for all required coverages including
6 additional insured endorsements shall be attached hereto as **Exhibit “C”** and
7 incorporated herein.

8 **20.5.2.** The documents enumerated in this Paragraph shall be sent to the following:

9 County of Imperial
10 Risk Management Department
11 RE: County Project No. «Project_Number»
12 940 Main Street, Suite 101
13 El Centro, CA 92243

14 County of Imperial
15 Department of Public Works
16 RE: County Project No. «Project_Number»
17 155 South 11th Street
18 El Centro, CA 92243

19 **20.6. Additional Insurance.** Nothing in this, or any other provision of this Agreement, shall
20 be construed to preclude CONSULTANT from obtaining and maintaining any
21 additional insurance policies in addition to those required pursuant to this Agreement.

22 **21. PREVAILING WAGE.**

23 **21.1.** CONSULTANT acknowledges that any work that qualifies as a “public work” within
24 the meaning of California Labor Code section 1720 shall cause CONSULTANT, and its
25 sub-consultants, to comply with the provisions of California Labor Code sections 1775
26 et seq.

27 **21.2.** When applicable, copies of the prevailing rate of per diem wages shall be on file at
28 COUNTY’s Department of Public Works and available to CONSULTANT and any
other interested party upon request. CONSULTANT shall post copies of the prevailing
wage rate of per diem wages at the Project site.

1 **21.3.** CONSULTANT hereby acknowledges and stipulates to the following:

2 **21.3.1.** CONSULTANT has reviewed and agrees to comply with the provisions of
3 Labor Code section 1776 regarding retention and inspection of payroll records
4 and noncompliance penalties; and

5 **21.3.2.** CONSULTANT has reviewed and agrees to comply with the provisions of
6 Labor Code section 1777.5 regarding employment of registered apprentices; and

7 **21.3.3.** CONSULTANT has reviewed and agrees to comply with the provisions of
8 Labor Code section 1810 regarding the legal day's work; and

9 **21.3.4.** CONSULTANT has reviewed and agrees to comply with the provisions of
10 Labor Code section 1813 regarding forfeiture for violations of the maximum
11 hours per day and per week provisions contained in the same chapter.

12 **21.3.5.** CONSULTANT has reviewed and agrees to comply with any applicable
13 provisions for those Projects subject to Department of Industrial Relations (DIR)
14 Monitoring and Enforcement of prevailing wages. COUNTY hereby notifies
15 CONSULTANT that CONSULTANT is responsible for complying with the
16 requirements of Senate Bill 854 (SB854) regarding certified payroll record
17 reporting. Further information concerning the requirements of SB854 is
18 available on the DIR website located at: [http://www.dir.ca.gov/Public-](http://www.dir.ca.gov/Public-Works/PublicWorksEnforcement.html)
19 Works/PublicWorksEnforcement.html.

20 **22. WORKERS' COMPENSATION CERTIFICATION.**

21 **22.1.** Prior to the commencement of work, CONSULTANT shall sign and file with
22 COUNTY the following certification: "I am aware of the provisions of California Labor
23 Code §§3700 et seq. which require every employer to be insured against liability for
24 workers' compensation or to undertake self-insurance in accordance with the provisions
25 of that code, and I will comply with such provisions before commencing the
26 performance of the work of this contract."

27 **22.2.** This certification is included in this Agreement and signature of the Agreement shall
28 constitute signing and filing of the certificate.

1 **22.3.** CONSULTANT understands and agrees that any and all employees, regardless of hire
2 date, shall be covered by Workers' Compensation pursuant to statutory requirements
3 prior to beginning work on the Project.

4 **22.4.** If CONSULTANT has no employees, initial here: _____.

5 **23. ASSIGNMENT.**

6 Neither this Agreement nor any duties or obligations hereunder shall be assignable by
7 CONSULTANT without the prior written consent of COUNTY. CONSULTANT may employ other
8 specialists to perform services as required with prior approval by COUNTY.

9 **24. NON-DISCRIMINATION.**

10 **24.1.** During the performance of this Agreement, CONSULTANT and its subcontractors shall
11 not unlawfully discriminate, harass or allow harassment against any employee or
12 applicant for employment because of sex, race, color, ancestry, religious creed, national
13 origin, physical disability (including HIV and AIDS), mental disability, medical
14 condition (cancer), age (over forty (40)), marital status and denial of family care leave.
15 CONSULTANT and its subcontractors shall insure that the evaluation and treatment of
16 their employees and applicants for employment are free from such discrimination and
17 harassment.

18 **24.2.** CONSULTANT and its subcontractors shall not discriminate on the basis of race, color,
19 national origin, or sex in the performance of this Agreement. CONSULTANT shall
20 carry out applicable requirements of 49 CFR 26 in the award and administration of
21 DOT-assisted contracts. Failure by CONSULTANT to carry out these requirements is a
22 material breach of this Agreement, which may result in the termination of this
23 Agreement, or such other remedy as COUNTY deems appropriate.

24 **24.3.** CONSULTANT and its subcontractors shall comply with the provisions of the Fair
25 Employment and Housing Act (Gov. Code §12990 (a-f) et seq.) and the applicable
26 regulations promulgated thereunder (California Code of Regulations, Title 2, §7285 et
27 seq.).

28 **24.4.** The applicable regulations of the Fair Employment and Housing Commission

implementing Government Code §12990 (a-f), set forth in Chapter 5 of Division 4 of Title 2 of the California Code of Regulations, are incorporated into this Agreement by reference and made a part hereof as if set forth in full.

24.5. The applicable regulations of §504 of the Rehabilitation Act of 1973 (29 U.S.C. §794 (a)) are incorporated into this Agreement by reference and made a part hereof as if set forth in full.

24.6. CONSULTANT and its subconsultants shall give written notice of their obligations under this clause to labor organizations with which they have a collective bargaining or other agreement.

24.7. CONSULTANT shall include the nondiscrimination and compliance provisions of this clause in all subcontracts to perform work under this Agreement.

25. **DISADVANTAGED BUSINESS ENTITY COMPLIANCE.**

25.1. CONSULTANT represents and warrants that it has fully read the applicable Disadvantaged Business Enterprise (“DBE”) requirements pertaining to this Project and has fully and accurately completed any and all required DBE forms.

25.2. CONSULTANT represents and warrants that it will comply with all applicable DBE requirements for this Project.

25.3. CONSULTANT shall comply with the applicable DBE provisions attached hereto as **Exhibit “D”** and incorporated by this reference as though fully set forth herein.

25.4. If any state or federal funds are withheld from COUNTY or not reimbursed to COUNTY due to CONSULTANT’s failure to either comply with the DBE requirements set forth in the RFP and this Agreement, or to meet the mandatory DBE goals as determined by COUNTY, Caltrans, the Federal Highway Administration, and/or any other state or federal agency contributing funds to the Project, then CONSULTANT shall fully reimburse COUNTY the amount of funding lost. COUNTY reserves the right to deduct any such loss in funding from the amount of compensation due to CONSULTANT under this Agreement.

25.5. In addition to the above, CONSULTANT’s failure to comply with DBE

requirements/goals shall subject it to such sanctions as are permitted by law, which may include, but shall not be limited to the following:

25.5.1. Termination of this Agreement;

25.5.2. Withholding monthly progress payments;

25.5.3. Compensatory, special, incidental, liquidated and other damages; and/or

25.5.4. Designation of CONSULTANT as “nonresponsible,” and disqualification from bidding on future public works projects advertised by COUNTY.

26. NOTICES AND REPORTS.

26.1. Any notice and reports under this Agreement shall be in writing and may be given by personal delivery or by mailing by certified mail, addressed as follows:

COUNTY

Director of Public Works

RE: County Project No. «Project_Number»

«Project_Number»

155 South 11th Street

El Centro, CA 92243

County of Imperial

Clerk of the Board of Supervisors

RE: County Project No. «Project_Number»

940 W. Main Street, Suite 209

El Centro, CA 92243

CONSULTANT

«Consultant_Business_Name»

RE: County Project No.

«Consultant_Street_Address»

«Consultant_City_State»

26.2. Notice shall be deemed to have been delivered only upon receipt by the Party, seventy-two (72) hours after deposit in the United States mail or twenty-four (24) hours after deposit with an overnight carrier.

26.3. The addressees and addresses for purposes of this Section may be changed to any other addressee and address by giving written notice of such change. Unless and until written notice of change of addressee and/or address is delivered in the manner provided in this Section, the addressee and address set forth in this Agreement shall continue in effect for all purposes hereunder.

27. ENTIRE AGREEMENT.

This Agreement contains the entire Agreement between COUNTY and CONSULTANT

relating to the transactions contemplated hereby and supersedes all prior or contemporaneous agreements, understandings, provisions, negotiations, representations, or statements, either written or oral.

28. MODIFICATION.

No modification, waiver, amendment, discharge, or change of this Agreement shall be valid unless the same is in writing and signed by both Parties.

29. CAPTIONS.

Captions in this Agreement are inserted for convenience of reference only and do not define, describe or limit the scope or the intent of this Agreement or any of the terms thereof.

30. PARTIAL INVALIDITY.

If any provision in this Agreement is held by a court of competent jurisdiction to be invalid, void, or unenforceable, the remaining provisions will nevertheless continue in full force without being impaired or invalidated in any way.

31. GENDER AND INTERPRETATION OF TERMS AND PROVISIONS.

31.1. As used in this Agreement and whenever required by the context thereof, each number, both singular and plural, shall include all numbers, and each gender shall include a gender.

31.2. CONSULTANT as used in this Agreement or in any other document referred to in or made a part of this Agreement shall likewise include the singular and the plural, a corporation, a partnership, individual, firm or person acting in any fiduciary capacity as executor, administrator, trustee or in any other representative capacity or any other entity.

31.3. All covenants herein contained on the part of CONSULTANT shall be joint and several if more than one person, firm or entity executes the Agreement.

32. WAIVER.

No waiver of any breach or of any of the covenants or conditions of this Agreement shall be construed to be a waiver of any other breach or to be a consent to any further or succeeding breach of the same or any other covenant or condition.

1 **33. CHOICE OF LAW.**

2 This Agreement shall be governed by the laws of the State of California. This Agreement is
3 made and entered into in Imperial County, California. Any action brought by either party with respect
4 to this agreement shall be brought in a court of competent jurisdiction within said County.

5 **34. AUTHORITY.**

6 **34.1.** Each individual executing this Agreement on behalf of CONSULTANT represents and
7 warrants that:

8 **34.1.1.** He/She is duly authorized to execute and deliver this Agreement on behalf of
9 CONSULTANT;

10 **34.1.2.** Such execution and delivery is in accordance with the terms of the Articles of
11 Incorporation or Partnership, any by-laws or Resolutions of CONSULTANT
12 and;

13 **34.1.3.** This Agreement is binding upon CONSULTANT accordance with its terms.

14 **34.2.** CONSULTANT shall deliver to COUNTY evidence acceptable to COUNTY of the
15 foregoing within thirty (30) days of execution of this Agreement.

16 **35. COUNTERPARTS.**

17 This Agreement (as well as any amendments hereto) may be executed in any number of
18 counterparts, each of which when executed shall be an original, and all of which together shall
19 constitute one and the same Agreement. No counterparts shall be effective until all Parties have
20 executed a counterpart hereof.

21 **36. REVIEW OF AGREEMENT TERMS.**

22 **36.1.** Each Party has had the opportunity to receive independent legal advice from its
23 attorneys with respect to the advisability of making the representations, warranties,
24 covenants and agreements provided for herein, and with respect to the advisability of
25 executing this Agreement.

26 **36.2.** Each Party represents and warrants to and covenants with the other Party that:

27 **36.2.1.** This Agreement in its reduction to final written form is a result of extensive
28 good faith negotiations between the Parties and/or their respective legal counsel;

1 and

2 **36.2.2.** The Parties and/or their legal counsel have carefully reviewed and examined this
3 Agreement for execution by said Parties.

4 **36.3.** Any statute or rule of construction that ambiguities are to be resolved against the
5 drafting party shall not be employed in the interpretation of this Agreement.

6 **37. NON-APPROPRIATION.**

7 **37.1.** All obligations of COUNTY are subject to appropriation of resources by various
8 federal, State, and local agencies, including but not limited to the U.S. Department of
9 Transportation (“DOT”) and the California Department of Transportation (“Caltrans”).

10 **37.2.** This Agreement is valid and enforceable only if sufficient funds are made available to
11 COUNTY for the purposes of this Project. In addition, this Agreement is subject to any
12 additional restrictions, limitations, conditions, or any statute enacted by Congress, State
13 Legislature, or COUNTY, and any regulations prescribed therefrom, that may affect the
14 provisions, terms, or funding of this Agreement.

15 **37.3.** If sufficient funds for the Project are not appropriated, this Agreement may be amended
16 or terminated in order to reflect said reduction in funding.

17 **IN WITNESS WHEREOF**, the Parties have executed this Agreement on the day and year first
18 above written.

19
20 **County of Imperial**

«Consultant_Business_Name»

21
22 By: _____
23 Michael W. Kelley, Chairman
24 Imperial County Board of Supervisors

By: _____
«Consultant_Name_for_Signature»

25 **ATTEST:**

26
27 _____
28 Blanca Acosta, Clerk of the Board,
County of Imperial, State of California

APPROVED AS TO FORM:

Katherine Turner,
County Counsel

By: _____
«CC_Attorney»,
«CC_Attorney_Title»

SAMPLE

EXHIBIT “A” – “REQUEST FOR PROPOSAL”

SAMPLE

EXHIBIT “B” – “PROPOSAL”

SAMPLE

EXHIBIT “C” – “CERTIFICATES OF INSURANCE”

SAMPLE

EXHIBIT “D” – “DISADVANTAGED BUSINESS ENTERPRISES (DBE) PARTICIPATION”

A. This contract is subject to 49 CFR, Part 26 entitled “Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs.” Consultants who obtain DBE participation on this contract will assist Caltrans in meeting its federally mandated statewide overall DBE goal.

B. The goal for DBE participation for this contract is _____%. If applicable, participation by DBE consultant or subconsultants shall be in accordance with information contained in the form entitled, “Consultant Proposal DBE Commitment” (Exhibit 10-O1, of the LAPM), or in the form entitled, “Consultant Contract DBE Information” (Exhibit 10-O2, of the LAPM), attached hereto and incorporated as part of the Contract. If a DBE subconsultant is unable to perform, CONSULTANT must make a good faith effort to replace him/her with another DBE subconsultant, if the goal is not otherwise met.

C. DBEs and other small businesses, as defined in 49 CFR, Part 26 are encouraged to participate in the performance of contracts financed in whole or in part with federal funds. CONSULTANT or subconsultant shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. CONSULTANT shall carry out applicable requirements of 49 CFR, Part 26 in the award and administration of US DOT-assisted agreements. Failure by CONSULTANT to carry out these requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy as LOCAL AGENCY deems appropriate.

D. Any subcontract entered into as a result of this contract shall contain all of the provisions of this section.

E. A DBE firm may be terminated only with prior written approval from LOCAL AGENCY and only for the reasons specified in 49 CFR 26.53(f). Prior to requesting LOCAL AGENCY consent for the termination, CONSULTANT must meet the procedural requirements specified in 49 CFR 26.53(f).

F. A DBE performs a Commercially Useful Function (CUF) when it is responsible for execution of the work of the contract and is carrying out its responsibilities by actually performing, managing,

1 and supervising the work involved. To perform a CUF, the DBE must also be responsible with respect
2 to materials and supplies used on the contract, for negotiating price, determining quality and quantity,
3 ordering the material, and installing (where applicable) and paying for the material itself. To
4 determine whether a DBE is performing a CUF, evaluate the amount of work subcontracted, industry
5 practices, whether the amount the firm is to be paid under the, contract is commensurate with the work
6 it is actually performing, and other relevant factors.

7 G. A DBE does not perform a CUF if its role is limited to that of an extra participant in a
8 transaction, contract, or project through which funds are passed in order to obtain the appearance of
9 DBE participation. In determining whether a DBE is such an extra participant, examine similar
10 transactions, particularly those in which DBEs do not participate.

11 H. If a DBE does not perform or exercise responsibility for at least thirty percent (30%) of the
12 total cost of its contract with its own work force, or the DBE subcontracts a greater portion of the work
13 of the contract than would be expected on the basis of normal industry practice for the type of work
14 involved, it will be presumed that it is not performing a CUF.

15 I. CONSULTANT shall maintain records of materials purchased or supplied from all
16 subcontracts entered into with certified DBEs. The records shall show the name and business address
17 of each DBE or vendor and the total dollar amount actually paid each DBE or vendor, regardless of
18 tier. The records shall show the date of payment and the total dollar figure paid to all firms. DBE
19 prime consultants shall also show the date of work performed by their own forces along with the
20 corresponding dollar value of the work.

21 J. If applicable, upon completion of the Contract, a summary of these records shall be prepared
22 and submitted on the form entitled, "Final Report-Utilization of Disadvantaged Business Enterprise
23 (DBE) and First-Tier Subcontractors" CEM-2402F (Exhibit 17-F, of the LAPM), certified correct by
24 CONSULTANT or CONSULTANT's authorized representative and shall be furnished to the Contract
25 Administrator with the final invoice. Failure to provide the summary of DBE payments with the final
26 invoice will result in twenty-five percent (25%) of the dollar value of the invoice being withheld from
27 payment until the form is submitted. The amount will be returned to CONSULTANT when a
28

1 satisfactory "Final Report-Utilization of Disadvantaged Business Enterprises (DBE) and First-Tier
2 Subcontractors" form is submitted to the Contract Administrator.

3 K. If a DBE subconsultant is decertified during the life of the contract, the decertified
4 subconsultant shall notify CONSULTANT in writing with the date of decertification. If a
5 subconsultant becomes a certified DBE during the life of the Contract, the subconsultant shall notify
6 CONSULTANT in writing with the date of certification. Any changes should be reported to LOCAL
7 AGENCY's Contract Administrator within 30 days.