



# City of Sacramento City Council

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915 I Street, Sacramento, CA, 95814  
[www.CityofSacramento.org](http://www.CityofSacramento.org)

**Meeting Date:** 3/15/2011

**Report Type:** Consent

**Title:** Caltrans Transportation Planning Grant Application

**Report ID:** 2011-00239

**Location:** Citywide

**Recommendation:** Adopt a Resolution: 1) authorizing staff to submit an application for 2010-2011 Caltrans Transportation Planning Grant funding consideration for the American River Crossing Purpose and Need Study in the amount of \$300,000, and 2) authorizing the City Manager to enter into a contract with the California Department of Transportation (Caltrans) upon selection of the American River Crossing Purpose and Need Study for funding under the 2011-2012 Community-Based Transportation Planning Grant Program.

**Contact:** Fedolia "Sparky" Harris, Senior Planner, (916) 808-2996, Department of Transportation

**Presenter:** None

**Department:** Transportation Department

**Division:** Planning & Policy

**Dept ID:** 15001041

## **Attachments:**

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- 1-Description/Analysis
- 2-Background
- 3-Agreement Cover Sheet
- 4-Resolution
- 5-Exhibit A - EJ CBTP Grants Handbook FY 2011-12

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### **City Attorney Review**

Approved as to Form  
Jerry Hicks  
2/28/2011 9:44:39 AM

### **City Treasurer Review**

Prior Council Financial Policy Approval or  
Outside City Treasurer Scope  
Russell Fehr  
2/17/2011 12:12:23 PM

### **Approvals/Acknowledgements**

Department Director or Designee: Jerry Way - 2/24/2011 4:34:23 PM

Assistant City Manager: John Dangberg - 2/25/2011 6:06:02 PM

Eileen Teichert, City Attorney

Shirley Concolino, City Clerk  
Gus Vina, Interim City Manager

Russell Fehr, City Treasurer

## Description/Analysis

**Issue:** Caltrans has issued a call for projects for the 2011-2012 Transportation Planning Grants. Applications are due March 30, 2011. Staff has considered several projects that meet the goals and purpose of the two grant programs for which the City is eligible to apply. Based upon the stated goals of the grant programs, City priorities, and prior experience, staff is recommending the American River Crossing Purpose and Need Study as the most competitive candidate for funding.

**Policy Considerations:** The action requested herein is consistent with the Sacramento City Code, Title 3, and with the City's Strategic Plan goals of improving and diversifying the transportation system and supporting economic vitality by investing in infrastructure development. When implemented, the project would also provide a variety of transportation choices consistent with the adopted Smart Growth Policies as well as the Sacramento 2030 General Plan policy to eliminate gaps in the citywide transportation network. Finally, leveraging local funds with state funding is consistent with Council priorities of fiscal soundness.

### Environmental Considerations:

**California Environmental Quality Act (CEQA):** Under the California Environmental Quality Act (CEQA) guidelines, continuing administrative activities do not constitute a project and are therefore exempt from review.

**Sustainability Considerations:** Attaining funding to study the purpose and need for additional crossings of the American River furthers the City's commitment to sustainability by laying the groundwork to significantly reduce the use of fossil fuels, to encourage less driving and engage in clean air practices, to reduce dependence on the private automobile by working with community partners to provide efficient and accessible public transit and transit supportive land uses, and to foster behavioral change throughout the City.

**Other:** None.

**Commission/Committee Action:** None.

**Rationale for Recommendation:** The 2030 General Plan established the goal of providing one or more new multi-modal crossings of the American River. The type and location of such crossings have yet to be identified but could ultimately serve to relieve congestion on State facilities and provide additional connectivity between adjacent communities within the City. A project involving a major investment of transportation funds and of such complexity will need to follow the federal project delivery process to become eligible for federal transportation funds. The first step in the federal process is to identify the need and purpose of the project. A Caltrans Transportation Planning Grant would allow the City to work with the community to establish a clear purpose and need for crossing the American River in order to effectively move forward with a viable project.

**Financial Considerations:** Projects selected for Caltrans Transportation Planning Grant funding under the Community-Based Transportation Planning (CBTP) program require a minimum 10% local match from non-State and non-Federal funds. Up to one-quarter of this local match (2.5%) can be provided in-kind. Grant funding for any single project is capped at \$300,000 under the CBTP program. If selected, the local match for the American River Crossing Purpose and Need Study would be comprised of \$7,500 of in-kind services and \$22,500 from Major Streets Improvements (T15118000). Acceptance of this funding would have no financial impact to the General Fund.

**Emerging Small Business Development (ESBD):** No goods or services are being purchased at this time.



## BACKGROUND

Department of Transportation staff consulted the Community Development Department and the Implementation Program for the 2030 General Plan for transportation planning projects that would be competitive given the goals and objectives described in the Community Based Transportation Planning Grant Guidelines and the Context Sensitive Planning Grant guidelines.

Three likely candidates rose to the top based on the stated goals and objectives of the Caltrans Transportation Planning Grant programs:

1. A purpose and need study for additional crossings of the American River
2. A Specific Plan for the Broadway Corridor
3. A Downtown urban design plan

Following briefings with DOT division managers and Office of the Director staff, the purpose and need study for additional crossings of the American River emerged as the best supported candidate from the initial list.

The Caltrans Transportation Planning Grants have very specific goals. Selecting candidate projects that best conform to these goals will lead to a greater likelihood of funding. The following summarizes the intent of the Caltrans Planning Grants for which the City of Sacramento is eligible to apply:

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

### **Community-Based Transportation Planning**

*Fund coordinated transportation and land use planning that promotes public engagement, livable communities, and a sustainable transportation system which includes mobility, access, and safety.*

The Northeast Line Light Rail Station Plans and the Swanston Station Infrastructure Needs Assessment and Urban Design Plan both received funding from the Community-Based Transportation Planning program. Both of these projects promoted the integration of appropriate land use planning with public realm improvements adjacent to existing light rail lines and transit stops in the North Sacramento Community Planning area. The American River Crossing Purpose and Need Study appears to be competitive for similar funding based on the analysis below.

### **American River Crossing Purpose and Need Study**

Under this project, the City would: develop a clearly defined purpose and need for additional crossings of the American River; develop project alternatives that meet the

established purpose and need; perform traffic analysis to identify travel patterns and roadway volumes altered by various crossing alternatives and transit options; and evaluate alternatives in the context of the established purpose and need. A robust public outreach program would be a major component of the study integrated throughout the project. Further City Council action would be sought before proceeding to a technical feasibility study.

Additional crossings of the American River have been planned in the SACOG Regional Blueprint, the Metropolitan Transportation Plan, and the Sacramento 2030 General Plan without a specific number of crossings or locations clearly identified. The project under consideration would allow the City to take the first step towards making such a determination in an effort to move forward with design, environmental analysis, and ultimately construction.

The stated purpose of the Community-Based Transportation Grant Program is to fund coordinated transportation and land use planning that promotes public engagement, livable communities, and a sustainable transportation system which includes mobility, access, and safety. The American River Crossing Purpose and Need Study will accomplish this purpose by engaging public in discussing potential for bridges over the American River. Mobility, access, and safety would be enhanced by taking the initial steps toward providing additional local connections between the Central City and South and North Natomas relieving State facilities of significant local trips. Finally, the planning would be sustainable based on the General Plan goal of promoting complete streets that serve multiple modes of travel.



## Unexecuted Contract/Agreements

- The Unexecuted Contract/Agreement is signed by the other party, is attached as an exhibit to the resolution, and is approved as to form by the City Attorney.
  
- The Unexecuted Contract/Agreement (Public Project) is NOT signed by the other party, is attached as an exhibit to the resolution, and is approved as to form by the City Attorney.
  
- The Unexecuted Contract is included as an exhibit to the Resolution, however, the Agreement(s) is with other another governmental agency and it is not feasible to obtain the other agency's signature prior to Council action (be they denominated Agreements, MOUs, MOAs, etc.); however, the City Attorney approves the forwarding of the report to Council even though the signed agreement is not in hand yet.
  
- The Unexecuted Contract is NOT included as an exhibit to the resolution because, due to special circumstances, and the City Attorney confirms in writing that it is okay to proceed with Council action even though the signed agreement is not in hand yet.

*All unexecuted contracts/agreements which are signed by the other parties are to be in the Office of the City Clerk before agenda publication.*



## RESOLUTION NO. 2011-XXX

Adopted by the Sacramento City Council

### CALTRANS TRANSPORTATION PLANNING GRANT APPLICATION FOR 2011-2012

#### BACKGROUND

- A. The 2030 General Plan sets the background for substantial change in land uses throughout the City. The removal of barriers to accessibility, the provision of complete streets, connections to transit stations, and multimodal access are all key policies in the Mobility Element of the General Plan.
- B. The American River is a known barrier between the Central City and points north.
- C. The Sacramento General Plan calls for additional crossings of the American River to enhance connectivity and promote mobility.
- D. The Community-Based Transportation Planning Grant Program is intended to fund coordinated transportation and land use planning that promotes public engagement, livable communities, and a sustainable transportation system which includes mobility, access, and safety.
- E. A Community-Based Transportation Planning Grant would help the City to determine a clear purpose and need for additional crossings of the American River in order to drive future decision making in an objective manner.
- F. Completing the American River Crossing Purpose and Need Study will position the City with valuable information to compete for regional, State, and Federal funding.

#### **BASED ON THE FACTS SET FORTH IN THE BACKGROUND, THE CITY COUNCIL RESOLVES AS FOLLOWS:**

- Section 1. Staff is directed to apply to the State of California Department of Transportation for \$300,000 in Community-Based Transportation Planning Grant Program funding for the 2011-2012 Fiscal Year for the American River Crossing Purpose and Need Study; and
- Section 2 The City Manager is authorized to enter into a contract with the California Department of Transportation (Caltrans) on behalf of the City of Sacramento upon selection of the American River Crossing Purpose and

Need Study for funding under the 2011-2012 Community-Based  
Transportation Planning Grant Program.

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Exhibit A      Transportation Planning Grants Guide - Fiscal Year 2011-2012



**California Department of Transportation**  
Division of Transportation Planning  
Office of Community Planning



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# Environmental Justice & Community-Based Transportation Planning Grants Handbook

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Handbook for Caltrans District Staff,  
Grant Applicants, and Recipients

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## Introduction and Purpose

The Environmental Justice (EJ) and Community-Based Transportation Planning (CBTP) Transportation Planning Grants Program Handbook is designed to provide guidance and information regarding the submission of applications to the grant programs and to conduct grant-funded activities. The handbook is for the California Department of Transportation (Caltrans) District staff and grant applicants/recipients to use as an orientation and reference tool along with the enclosed materials to facilitate and improve the application process, contracting, and project implementation.

## General Information

### Grant Goals and Objectives

The EJ and CBTP grant programs are intended to promote a balanced, comprehensive, multi-modal transportation system. The goals provide a framework for the grant programs. Both the EJ and CBTP Grant Programs reflect the State's goals. The results of these grants should ultimately lead to the adoption, initiation, and programming of transportation improvements. A key shared goal of both programs is the presence of a robust public engagement element in the planning process.

### California Transportation Plan Goals

- **Improve Mobility and Accessibility:** expanding the system and enhancing modal choices and connectivity to meet the State's future transportation demands.
- **Preserve the Transportation System:** maintaining, managing, and efficiently utilizing California's existing transportation system.
- **Support the Economy:** maintaining, managing, and enhancing the movement of goods and people to spur the economic development and growth, job creation, and trade.
- **Enhance Public Safety and Security:** ensuring the safety and security of people, goods, services, and information in all modes of transportation.
- **Reflect Community Values:** finding transportation solutions that balance and integrate community values with transportation safety and performance, and encourage public involvement in transportation decisions.
- **Enhance the Environment:** planning and providing transportation services while protecting our environment, wildlife, and historical and cultural assets.

## Environmental Justice Transportation Planning Goals

EJ Transportation Planning Grant Program funds are intended to promote the involvement of low-income and minority communities, and Native American Tribal governments in planning transportation projects that prevent or mitigate disproportionately negative impacts while improving mobility, access, safety, and opportunities for affordable housing and economic development.

## Community-Based Transportation Planning Goals

The CBTP Grant Program funds coordinated transportation and land-use planning projects that encourage community involvement and partnerships. Projects must support livable/sustainable community concepts with a transportation or mobility objective, and promote community identity and quality of life.

## Grant Program Information

The Office of Community Planning (OCP) is the office responsible for managing the EJ and CBTP Grant Programs. This office is located within the Caltrans Division of Transportation Planning (DOTP) in the Sacramento headquarters building.

EJ and CBTP are competitive transportation planning grant programs funded from the State Highway Account (SHA). The funds are considered “local assistance” funds. Both programs anticipate receiving a total of \$6 million in State funds each fiscal year (FY), July 1 through June 30. All projects conducted under the grant programs are subject to a work completion deadline of February 28, two years after the funds have been encumbered. Ultimate fund availability expires on June 30 of the same year. For example, if the grant award was made for FY 2011-2012, the completion deadline will be February 28, 2014, and fund availability will expire on June 30, 2014.

There are 12 Caltrans District offices that are identified by geographic territory. Please refer to Appendix A titled “Caltrans District Boundaries and Mailing Addresses” and locate your local District office. Questions should be directed to your local District EJ and/or CBTP contact. Refer to Appendix B: The Caltrans District Contacts to locate the contact information for your local District office.

## Glossary of Common Grant Terms

ADM Form 360: The formal documentation required by Caltrans to initiate the writing of all contracts. A contract package includes a Scope of Work, Budget/Timeline, a Local Resolution, and an ADM Form 360. Together, these documents make up a “360 package.”

Applicant: The entity that submits a grant application to a grant program. Metropolitan Planning Organizations (MPO), Regional Transportation Planning Agencies (RTPA), cities, counties, transit agencies, and federally recognized Native American Tribal governments may apply to this grant program directly as an Applicant or as a sub-Recipient.

District Grant Manager (also known as District Contract Manager): The District staff person responsible for liaison activities and contract management between the Grantee and Caltrans. This person must make sure that all contracted obligations are followed. The Grant Manager is designated by the Caltrans District Planning Deputy or the Senior Transportation Planner that oversees the grant program. The Contract Manager oversees all contracted obligations and maintains the project correspondence file. The Grant Manager must be thoroughly involved in major project related activities. The Grant Manager is expected to develop a professional relationship and maintain close communication with a Grantee’s Program Manager and other project-related staff. The Grant Manager is also responsible for monitoring the grant progress and processing invoices for payment that have been submitted to them by the Grantee. In addition, the Grant Manager regularly reports to the Grant Program Manager at Caltrans headquarters regarding grant status and progress through both going communication and quarterly reports.

Division of Procurement and Contracts (DPAC): The Caltrans office responsible for processing, writing, executing, and distributing all contracts. DPAC provides technical assistance on all contractual matters, processing and working directly with the Resource Management Branch (RMB) to relay contracting information back to the Grant Manager via the Program Manager. The Contract Analyst is the staff person within DPAC who is responsible for writing, processing, and distributing contracts upon receiving a complete contract package (ADM Form 360).

Enterprise Resource Planning Financial Infrastructure (E-FIS): A department wide financial management system, designed to streamline the Department’s financial processes. It encompasses Project, Reporting, Budget Management, Financial Reporting, Procurement & Contracts (excluding bid solicitation), Accounts Receivable and Accounts Payable.

Expenditure Authorization (EA): The number that associates a specific activity (CBTP and EJ projects) with a specific funding source. Each individual grant project may have an individual EA, or there may be one Parent EA used for all of a grant cycle’s projects. If a Parent EA is used, it is associated with a set of numbers/letters called a Special

Designation so that each individual grant project and its associated funds can be identified and tracked appropriately. EAs are obtained from the Caltrans Accounting Office by RMB and provided to the Grant Manager via the Program Manager shortly after a grant proposal's award announcement. Special Designations are established by RMB.

The Division of Transportation Planning at Caltrans Headquarter in Sacramento (DOTP): Division to which the Office of Community Planning (OCP) and RMB belong.

Fund Transfer Agreement (FTA): Also known as "The Contract." FTA is the name of the contract type used for both CBTP and EJ grant programs. It is executed when agreed upon and signed by both the Grantee and Caltrans. The FTA includes the documents assembled for the Form 360 and the terms for providing funding. These terms include the start date for project work, the deadline for completion of grant-funded work, and various assurances related to non-discrimination, provision of a drug free work place and other mandated conditions.

Contract Number: Contract identification numbers are displayed on each FTA in the upper right hand corner of each page. A Contract Number is very useful. It can help a Grant Manager stay organized when managing multiple contracts. It also helps Grant Managers, RMB, and the Program Manager track or view a contract's financial status when working with various contract monitoring tools.

Grantee: The grant awardee. The Grantee is the party who submitted the application and will enter into a contract directly with Caltrans. The grantee will be responsible for completing all agreed upon tasks in the Scope of Work and Project Schedule.

In-Kind: An in-kind contribution is the value of donated actions, services or goods. It may be in the form of real property, equipment, supplies, services, and other expendable property.

Invoice: An itemized list detailing costs, goods shipped, or services rendered. It is essentially a bill for eligible project costs. Invoices are submitted on a reimbursable basis.

Invoice Dispute Notification: A formal document filled out by the Grant Manager when an invoice is not considered payable. Reasons that an invoice is not payable include claims for ineligible expenses or requests for clarification. The Invoice Dispute Notification process must be followed to "stop the clock" on invoice processing and payment as identified under the State's *Prompt Payment Act*. This form and the Invoice Dispute Notification process place the responsibility for invoice corrections on the Project Manager.

**Note:** *Grant Managers have 14 days to act – to approve and process, or to dispute an invoice. If the 14-day period lapses, interest penalties will be assessed to District Planning resources.*

Local Match: The amount of local contribution (cash match and/or in-kind services) the Grantee is required to expend in proportion to the grant award.

Program Survey: A document completed by the Grant Manager at the time of project closeout. This survey is used to help each grant program determine product quality and overall program progress from one grant cycle to the next.

Project Manager: A qualified staff person designated by the Grantee. This person is not a Caltrans staff member. This person oversees the grant project. This person must make sure that all contracted obligations are followed and is responsible for preparing and submitting invoices to the District Grant Manager for payment. The Project Manager maintains close communication with the District Contract Manager.

Project Schedule (also known as Project Budget/ Timeline): A Grant Project Timeline will list each task and sub-task of the project. It will include a breakdown of responsibilities, cost, and cost allocation. The timing and duration will be represented graphically

Program Manager (Also know as HQ Program Manager): The Caltrans staff person who develops and assists in the implementation of program policy. In addition, the Program Manager oversees the program and provides technical assistance to Contract Managers on day to day implementation of grant projects.

The California Prompt Payment Act: Government Code (GC), Section 927 et seq., requires State agencies to automatically calculate and pay the appropriate late payment penalties (as specified in SAM Section 8474.2) if they fail to pay properly submitted, undisputed invoices on the date required by the contract **or** specific grant, which shall not exceed 45 days; or if a payment date is not specified in the contract or specific grant, within 45 calendar days of receipt of the invoice.

Quarterly Report: A formal progress report is required by the grant programs for each grant funded project. Quarterly reports are completed by the District Grant Manager and sent to the HQ Program Manager.

Receiving Record (now known as Receiver): The form completed by the Grant Manager to initiate payment of an invoice. A receiving record must accompany an invoice in order for payment to occur. See Appendix I for an example of a receiving record, or for readers with access to the intranet, [click here](#).

Resolution (Also known as the Local Resolution (LR)): A current document from the Applicant's governing board stating the title of the person authorized to enter into a contract with Caltrans. The Local Resolution is a critical part of the grant application package and becomes a part of the contract.

Resource Management Branch (RMB): The office within DOTP that serves as liaison, responsible for activities between the EJ and CBTP Grant Programs, Accounting, and DPAC. The Program Manager must process all documents and questions related to

contract development and invoicing through RMB in order for DOTP to monitor contract development and maintain accurate accounting records. RMB is DOTP's "accountant" for all funding sources. Its role is to advise and provide technical assistance to staff regarding the processes necessary for sound contract development, resource tracking, and invoicing.

"STD 4" (Contract/Contractor Evaluation): The formal document completed by the Grant Manager at the time of project closeout. This document can be used to help the Program Manager monitor contractor performance.

Scope of Work (SOW): A detailed listing and description of the tasks and sub-tasks that will comprise the work and activities of the project. In addition, the SOW describes who will be responsible for task completion, who will participate, and what will be the task "deliverables" or proof of completion. A section with greater detail regarding the development and contents of a SOW can be found on page 18. Also see Appendix C for an example of an SOW. Online readers can [click here](#) to go to the Online Toolbox for the SOW template.

Service Contract Automated Tracking System (SCATS): Caltrans' contract/invoice-tracking system. It is used by Grant Managers, Program Managers, and the RMB to view information such as FTA begin and end dates, payments, retentions, retention releases, and remaining balances. Information about project invoices is viewable at the time the State Controller's Office issues a check, which is about 45 days after an invoice was submitted for payment. SCATS can be viewed and printed to help manage a project. Readers with Intranet access can view the SCATS web site by clicking [here](#).

Sub-Recipient (also known as sub-Applicant): The Grant sub-Recipient(s) as indicated/listed on a grant application submitted by the Applicant. In most cases, a sub-Recipient is a partner in the grant-funded project that would otherwise not be eligible to apply for grant funds. An example would be a neighborhood association that partners with a city to conduct a project within the neighborhood. Sub-Recipients may enter into a subcontract directly with the Grantee. Universities, community colleges, community-based organizations, non-profit organizations (501.C.3), and public entities may apply as a sub-Applicant with an MPO, RTPA, city or county as the Applicant.

## Grant Application Process

The following section is intended for Environmental Justice (EJ) and Community-Based Transportation Planning (CBTP) grant applicants to follow and use as a reference in the application process. This document should facilitate the process and provide clarification regarding terminology and expectations.

### Application FY 2011-2012

An electronic version of this application is available at <http://www.dot.ca.gov/hq/tpp/grants.html>. Please visit this website for updates and information on the grant programs.

### Application Guidance

#### Who May Apply

Metropolitan Planning Organizations (MPOs), Regional Transportation Planning Agencies (RTPAs), cities, counties, transit agencies, and federally-recognized Native American Tribal governments may apply for the grant programs directly as an Applicant or as a sub-Recipient.

Universities and community colleges, community-based organizations, non-profit organizations (501.C.3), and public entities may only apply as a sub-Recipient with an MPO, RTPA, city or county as the Applicant. Sub-Recipients are encouraged to work far in advance of the application deadline with the appropriate Applicant to coordinate application development.

#### General Timeline

December 1	Transportation Planning Grant Application is published. The application is made available at: <a href="http://www.dot.ca.gov/hq/tpp/grants.html">http://www.dot.ca.gov/hq/tpp/grants.html</a>
March 30	Final applications for CBTP and EJ due.
Summer	Estimated time of grant award announcements (upon approval of State budget).

## Examples of Past Projects

- Long-term Sustainable Community/Economic Development Growth studies or plans
- Blueprint Planning follow-up or refinement
- Proactive Rural Blueprint Planning
- Rural Smart Growth
- Safe, innovative, and complete pedestrian/bicycle/transit linkage studies or plans
- Community-to-School linkage studies or plans
- Jobs and Affordable Housing Proximity studies or plans
- Transit-Oriented/Adjacent Development or “transit village” studies or plans
- Infill studies or plans
- Community Transit Facility/Infrastructure studies or plans
- Transit Innovation studies or plans
- Comprehensive Mobility studies or plans
- Mixed Land-use Development studies or plans
- Form-based or Smart Code development
- Green Transportation Infrastructure planning
- Open space Conservation planning
- Community Design Guideline planning
- Context-sensitive Streetscapes or Town Center studies or plans
- Complete Street studies or plans
- Suburban Community or Urban Commercial Corridor Retrofit studies or plans
- Grid Street System studies or plans
- Access Management studies or plans that promote traffic calming, walking, biking, and livability
- Community Revitalization studies or plans
- Context-sensitive Community Development planning
- Community-Friendly Goods Movement Transportation Corridors, Ports, and Airports studies

Every Caltrans Transportation Planning Grant proposal should be coordinated with the transportation planning efforts taking place under the region’s RTPA or MPO. Additionally, all applications should be in accord with that region’s Blueprint Plan. Regional Blueprints are tools that will help communities reduce greenhouse gases and will assist transportation agencies in creating enduring communities for residents throughout the entire state.

In addition, to the ongoing Regional Blueprint Plan (RBP), Caltrans supports other various statewide initiatives. Such as the Sustainable Communities Strategy (SCS - SB 375) efforts, Complete Streets, and the Smart Mobility Framework (SMF). A competitive grant application would address how the project may help implement some of the efforts, if one exists or is being developed for that location.

More information on these efforts can be found at:

Complete Streets:

[http://www.dot.ca.gov/hq/tpp/offices/ocp/complete\\_streets.html](http://www.dot.ca.gov/hq/tpp/offices/ocp/complete_streets.html)

Regional Blueprint Plan:

<http://www.californiainterregionalblueprint.org>

SMF:

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

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

Each grant program has a different purpose. An applicant may submit more than one application, but any given project can only be submitted to **one** grant program. The Caltrans grant programs will check all applications for duplicate projects, including those with different titles. For the benefit of the applicant, Caltrans staff may refer an application to a different grant program for consideration if the proposal is better suited for that program.

### **Overall Work Program**

MPOs and RTPAs who receive a grant must include the project as a formal work element in their Overall Work Program (OWP).

### **Pre-Award Audit**

Community-Based Transportation grants are available in amounts up to \$300,000. However, any awarded grant in excess of \$250,000 will require a pre-award audit. The audit has the potential to delay the start of the project; therefore, applicants are encouraged to determine if the delay will hinder their ability to complete the project by the terms specified in the contract. For more information see Caltrans Local Programs Procedures (LPP) 00-05 "Pre-Award Audit Requirements and Consultant Procurement" dated December 15, 2000.

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

## Application Submittal and Deadline

Application submission will only be accepted via email. The following required documents are to be submitted as separate attachments in the same email: application, application signature page, scope of work, project schedule, resolution, project map, and any other supporting documentation to [OfficeofCommunityPlanning@dot.ca.gov](mailto:OfficeofCommunityPlanning@dot.ca.gov). A carbon copy (cc) of the email should be sent to the appropriate District contact. (refer to the Transportation Planning Grant Contact List.) Identify the District number, grant program, and project title in the subject line of the email (i.e., D1 CBTP, City of Can Do Planning Project). The e-mail must be submitted by **5:00 pm, Wednesday, March 30, 2011**. **Late applications will not be reviewed. Only one application submittal per e-mail is permitted.**

Caltrans District staff is available up to the deadline to answer general questions to help interested groups complete their applications. We highly encourage all interested applicants to contact appropriate District Staff as early as possible to solicit feedback and to obtain information and general guidance on the application submission process.

## Grant Program Summary Chart

GRANT	FUND SOURCE	PURPOSE	WHO MAY APPLY	LOCAL MATCH
<b>Environmental Justice Planning</b>	State Highway Account <b>Budget</b> \$3 MILLION <b>Grant Cap</b> \$250,000	Promotes community involvement in planning to improve mobility, access, and safety while promoting economic opportunity, equity, environmental protection, and affordable housing for low-income, minority, and Native American Communities.	The following may apply <b>directly as an Applicant, or as a sub-Recipient:</b> <ul style="list-style-type: none"> <li>• MPOs and RTPAs</li> <li>• Cities and Counties</li> <li>• Transit Agencies</li> <li>• Native American Tribal Governments</li> </ul> The following may apply only as a <b>sub-Recipient:</b> <ul style="list-style-type: none"> <li>• Universities and Community Colleges</li> <li>• Community-Based Organizations</li> <li>• Non-Profit Organizations (501.C.3)</li> <li>• Public Entities**</li> </ul>	10% minimum (in non-federal funds). At least 7.5% of the grant amount requested must be cash match and the rest may be in-kind.*
<b>Community-Based Transportation Planning</b>	State Highway Account <b>Budget</b> \$3 MILLION <b>Grant Cap</b> \$300,000	Funds coordinated transportation and land use planning that promotes public engagement, livable communities, and a sustainable transportation system which includes mobility, access, and safety.	The following may apply <b>directly or as a sub-Recipient:</b> <ul style="list-style-type: none"> <li>• MPOs and RTPAs</li> <li>• Cities and Counties</li> <li>• Transit Agencies</li> <li>• Native American Tribal Governments</li> </ul> The following may apply only as a <b>sub-Recipient:</b> <ul style="list-style-type: none"> <li>• Universities and Community Colleges</li> <li>• Community-Based Organizations</li> <li>• Non-Profit Organizations (501.C.3)</li> <li>• Public Entities**</li> </ul>	10% minimum (in non-federal funds). At least 7.5% of the grant amount requested must be cash match and the rest may be in-kind.*

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

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

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

### Step by Step Instructions to filling in the Application

*Note:* The enclosed application is also used for federally-funded transportation grants, so please be sure to read the application carefully.

Check One Grant Program: Check the grant program being applied to fund the project. A project may only apply to **one** program.

The Catalyst Project for Sustainable Strategies Program is in partnership with the Housing and Community Development Department (HCD). Local governments with projects designated under HCD's Catalyst Projects for Sustainable Strategies Program will receive ten bonus points if the following condition is met:

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

For more information on the Catalyst Program, please contact HCD at (916) 323-3176 or visit their website at: <http://www.hcd.ca.gov/>

*Project Title:* This box needs to contain the name of project.

*Project Location:* This box needs to contain the location(s) where the project will be performed. If the project will take place in various neighborhoods, cities, counties, etc. If the project will take place within a particular neighborhood(s) or corridor(s), list them as such.

*Applicant and sub-Recipients Table:* The entity that submits a grant application to a grant program must provide the information requested in each appropriate row under APPLICANT. *The sub-Recipient(s)* (Also known as *sub-Applicant(s)*) as indicated/listed on a grant application submitted by the Applicant must provide the information requested in each appropriate row. Please refer to the table above for information on who can be an applicant and a sub-recipient.

*Organization:* Enter the name of the entity that is requesting the funds. Enter the name of a sub-Recipient if there is one.

*Executive Director:* Enter the name of the Executive Director of the applicant organization. The Executive Director, may be the Mayor, City Manager, City Council Member (where project is located), or Director of the organization. Do the same if there is a sub-Recipient.

*Contact Person and Title:* Enter the name of the person Caltrans will establish communication with regarding the grant awards and preferred title.

*Mailing Address:* Enter the address where the notifications and correspondence should be sent.

*E-mail address and telephone number:* Enter the e-mail and phone number of the person with whom communication shall be established. This email address will be used for correspondence on application and grant matters. Please ensure the

correct e-mail is entered. If there are any changes to this e-mail address please contact and notify the grant program.

Funding Information Table: Provide the funding information for proposed project.

Grant Funds Requested: This should be the total amount requested to fund the project. The amount cannot exceed \$300,000 per project for a CBTP and \$250,000 for an EJ grant.

Local Match: must be at least 10% of the total grant funds requested.

*Sample Match Calculation*

<b>Community-Based Transportation Planning and Environmental Justice Planning Grants</b>		
<b>Local Match Calculator</b>		
Grant Funds Requested	\$100,000.00	
Local Match - Cash	\$7,500.00	7.50%
Local Match - In-Kind	\$2,500.00	2.50%
Total Project Cost	\$112,500.00	
<i>Local Match total must be a minimum of 10%</i>		
Total Local Match %		10.00%
<i>Cash Match must be at least 7.5% of Grant Amount Requested</i>		
Total Local-Cash Match		7.50%

Local Match Calculator can be found under Appendix E and on the Internet Toolbox by [clicking here](#).

Local Match-Cash: The amount of cash contribution the organization will provide to the project. This must be at least 7.5% of the Grant Funds Requested or at least three-quarters of the minimum 10% total local match required.

Local Match-In-Kind: Value of non-cash goods and services that will be contributed to the project.

Total Project Cost: List the total amount of funding that will be used for the completion of the project.

The Source of the Local Match: must address the fund source for the local match.

Legislators in Project Area: List the State Senator(s) and State Assembly Member(s) who represent the area in which the project is located. To help determine the legislators for the project area, [click here](#) to find them by zip code or [click here](#) to find them by address.

Question #1: Planning Goals: Because the application is used for both Federal and State transportation planning grants, both federal and State goals are listed, along with the Regional Blueprint and Sustainable Community Goals. For EJ and CBTP grants, read through the California Transportation Plan goals and carefully select the goal(s) that align(s) most closely with your proposed project. If the proposed project aligns with the Regional Blueprints and Sustainable Communities Strategies, read and check the appropriate box.

Every Caltrans Transportation Planning Grant proposal should be coordinated with the transportation planning efforts taking place under the region's RTPA or MPO. Additionally, all applications should be in accord with that region's Blueprint Plan and Sustainable Communities Strategy (Senate Bill (SB) 375) if applicable.

Question #2: Project Description: Use this question to introduce the project.

Section A: Provide a snapshot of the project as a whole. Be concise about defining the transportation barriers and problems that confront your community and how your project will address them. Use only the space provided.

Section B: Provide detail of the geographical setting of the project. Clearly define the community, its boundaries, ethnic make-up, languages spoken, income-levels, and transportation issues. This section is to identify a community's conditions and needs. For example, the EJ Grant Program is aimed at assisting low-income, minority, and tribal communities, so it is important to research and present descriptive language, data, and statistics. Include photographs and maps. Photographs support an application by illustrating the existing condition of streets, housing, and transportation problems. A map will help locate the community, within a neighborhood, city, county, and/ or region. Use only the space provided.

Question #3: Project Justification: The response to this question should present the issues and problems that the project is aiming to address. Use only the space provided.

Section A: Clearly define the purpose and needs that are being addressed, such as, better access to jobs and health care, safer access to schools and parks, traffic safety, air pollution, impact of heavy trucking on local streets, inadequate transit services, promoting more in-fill development, and/or reducing congestion.

Section B: Describe how the project will address the recognized issues. This section can also serve to present attributes of the community that will be utilized to meet project goals and outcomes. In addition, provide some detail about how resolving these issues will improve the quality of life.

Question #4: Public Participation: This is the core component of the grant programs. This question should be thoroughly addressed with detail and supporting information. A competitive application will provide concrete project specific tasks to perform outreach and engage the public. Community awareness, acceptance, and involvement in the planning process are vital ingredients for successful outcomes. A key goal of the grants programs is to help communities become partners in planning.

Section A: Identify the stakeholders of the project who will be involved and affected by the project. Provide insight into why the participation of stakeholders is important and how their particular interests and/or concerns are important to this project.

Section B: Provide detail about the methods that will be used to recruit, communicate and engage with stakeholders, such as community town hall meetings, “charrettes,” interactive websites, focus group meetings, surveys, workshops, door to door visitations, and public events. The section should provide meaningful detail about how the Applicant will connect and facilitate the integration of stakeholders who are traditionally under-represented in the community engagement processes.

Question #5: Project Implementation: The end result and implementation of the project is the ultimate goal of the grant. A good application should present a realistic set of outcomes that are achievable. Providing plans and recommendations with realistic outcomes that a community can understand, accept, and implement are going to be more impressive than a final product that does not have an obvious and practical outcome. The final product of these grants should have the ability to be adopted, initiated, and programmed into transportation improvements that will improve mobility, access, and economic vitality.

Section A: Describe the project’s anticipated accomplishments and final deliverables. List the type of materials and final products that will be produced.

Section B: Describe how the project deliverables will be used to implement the move to the next step in accomplishing the plan goals. Explain the next steps that will be carried forward once the final product is produced and how this will help take the project to the next level.

Question #6: Project Management: The Scope of Work (SOW) and the Project Schedule are key documents in successfully executing a grant project.

Section A: The SOW is a detailed listing and description of the tasks and sub-tasks that will comprise the work and activities of the project. In addition, the SOW describes who will be responsible for task completion, who will participate, and what will be the task “deliverables” or proof of completion. A sample SOW

can be found as Appendix C and the SOW template can be found in the online Toolbox by [clicking here](#).

*Section B:* The *Project Schedule* (also known as project budget/timeline) is a chart that will list each task and sub-task of the project. It will include a breakdown of responsibilities, cost and cost allocation. With each task identified, assigned a local match. The timing and duration should be represented graphically. A sample project schedule can be found as Appendix D and the template can be found on the online Toolbox by [clicking here](#).

## Application Tips and Check List

### **District Staff**

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

### **Tips for Developing a SOW and Project Schedule**

The grant's Scope of Work (SOW) and schedule are the building blocks of a successful project. Not only will they articulate key elements and outcomes of the project, but they will serve as the guideposts for monitoring project progress. A successful proposal, and ultimately a successful project, carefully provides documentation of all steps of the project. Accurate and realistic estimates of time and resource needs for each item are crucial. The process of developing a SOW and schedule is one that will require drafts and revisions. The more time and effort spent in this phase will result in fewer unexpected problems in project execution and easier resolution of problems that arise.

1. Begin with the desired project outcomes:
  - a. What will be the final product from grant-funded work?
  - b. How will it be used?
  - c. Who are the intended end users of grant products?
  - d. What are the intermediate and final "deliverables"?
2. Assemble a broad proposal development team:
  - a. Seek a consensus regarding goals and project outcomes.
  - b. Use team member knowledge and experience.
  - c. Include external as well as internal sources of expertise.
3. Work backwards:
  - a. Determine the components of the final product.

- b. Determine the tasks needed to be completed to create each component.
  - c. Determine the research and background information needed for each component.
  - d. Determine the deliverables and other products to confirm task completion.
4. Work forward:
    - a. What information is already available?
    - b. Determine additional informational needs.
    - c. Determine steps and processes to acquire information.
  5. Add in additional components:
    - a. Survey the product list. Are all the needed elements such as “public engagement,” “project management” and “project progress reporting” included?
    - b. Add additional items needed to confirm task completion.
  6. Determine which components are required to be in a sequence and which elements can move independently.
  7. Realistically estimate time needed for each task and each task element.
  8. Allocate resources for each task.
  9. Identify responsible party for each task.
  10. Review SOW for completeness, accuracy and adequate detail.
  11. Chart each item on the project schedule:
    - a. Include cost breakdown by fund source. Local match (cash and in-kind) must be distributed proportionally throughout the tasks listed on project schedule.
    - b. Include expected products and deliverables that document task completion.
    - c. Include timely generation of invoices based on milestone completion. Invoicing should occur at minimum each quarter and up to once each month.
    - d. Review time allocation.
    - e. Review time allocation and schedule relative to other components and tasks.
    - f. Adjust schedule as needed.
  12. The SOW and schedule must be in alignment with each other.
  13. The SOW and schedule must be in alignment with the narrative of the application.
  14. The SOW and schedule must include consistent, timely progress reporting to Caltrans.
    - a. Reporting must minimally be made at the end of each quarter.
    - b. Requests for additional information or clarifications may be made by Caltrans at any time.
  15. Seek out the advice of others with successful grant experience. A review of the overall proposal as well as the SOW and schedule by a person not involved with the current proposal will provide fresh insights.

## Sub-recipient and Sub-contractor

If the Grant Applicant specifically identifies a sub-recipient to perform sub-contractor duties in the scope of work and budget, the sub-recipient may be employed without further bidding. However, when choosing a sub-recipient, applicants are reminded to select them at the onset of their application in a fair and careful manner and be able to justify the value the sub-recipient/sub-contractor brings to the project. The sub-recipient must meet the qualifications of an eligible applicant and/or sub-applicant. See above for details.

If a sub-recipient/sub-contractor is **not** identified in the SOW and in the budget and the value *exceeds \$25,000*, the work must be competitively bid at the start of the project. The bidding process does not need to be elaborate, but must reflect an honest and reasonable effort to seek at least three written proposals for the same work or services. It must be a fair, objective, and documented process. Grantees are advised to retain their documentation. At this time the sub-contractor may be private, public, or a non-profit, etc.

If a sub-recipient/sub-contractor is **not** identified in the SOW and in the budget and the work contemplated costs *less than \$25,000*, the work is not subject to bid requirements. However, prior written approval of the sub-contractor by your Caltrans District Planning Office is required before work can begin.

## Other Required Documents

### Local Resolution

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

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

In addition, we recommend that Applicants plan ahead to ensure that there is adequate time to get the resolution on the agenda of the governing board in order to meet the application deadline. Applications with missing resolutions, or resolutions that are enacted after the application deadline, are at a competitive disadvantage when compared to otherwise equally strong proposals that have met the deadline. A sample Local Resolution can be found at Appendix F and in the online Toolbox by [clicking here](#).

### **RTPA's and MPO's:**

An RTPA's or an MPO's LR may be a copy of a blanket resolution approving the region's OWP. That resolution must contain language authorizing the execution of subsequent agreements or contracts to implement additional projects that will be identified in the OWP. That OWP must then be amended to include the grant project as a work element. If such a blanket resolution does not exist, a grant-specific LR amending the project into the OWP is acceptable. These LRs must clearly identify the project title, grant fund request, and the correct local match and its source. Completing the LR is a Project Manager responsibility, but Contract Managers are encouraged to work with their District Regional Planning peers to ensure accurate LRs and OWP amendments are completed to promote a 3-C (continuous, comprehensive, and cooperative) transportation planning process. Section V – *Local Coordination*, provides more information below.

### **Cities, Counties, Tribal Governments, or Transit Agencies:**

A LR is also required with a city, county, Tribal government or transit agency. These LRs must clearly identify the project title, grant fund request, and the correct local match and its source. A representative of the agency who is authorized to bind the Grantee contractually must sign or be cited in the LR. Two Local Resolution types or options are possible for these entities:

#### Option 1 – A grant-specific local resolution.

This type of LR must name the project and authorize a specific office or department of the city, county, Tribal government, or transit agency to:

1. Apply for a Planning Grant from Caltrans.
2. Accept a Planning Grant from Caltrans, if awarded.
3. Enter into an agreement or contract with Caltrans for purposes of implementing the Planning Grant project.
4. Identify local matching funds specific to the project.

#### Option 2 – A blanket Local Resolution listing many grants.

If a city, county, Tribal government or transit agency is awarded more than one grant in a fiscal year, they may adopt one LR that can satisfy the above specific requirements rather than passing multiple, individual local resolutions. However, all grants should be listed in that one LR.

*Note: For projects conducted by a city, county, Tribal government, or transit agency, the region's RTPA/MPO must be encouraged to amend their OWP to include the grant project as an information work element. Contract Managers are encouraged to work with their District Regional Planning peers to help agencies complete accurate information in their OWP to ensure a 3-C (continuous, comprehensive, and cooperative) transportation planning process.*

*Note: Local governing boards usually only meet once per month and sometimes every other month. Holidays can also cause local board meetings to be postponed. Regardless, any delay in obtaining the LR can cause contract execution to be delayed – sometimes for months. Delays in contract development only mean less time for the Grantee/Project Manager to conduct project activities. Again, fiscal year 11/12 program activities for both EJ and CBTP can only be performed until February 28, 2014.*

### **Map of Project Area**

The map should clearly identify the boundaries of the project area and provide a sense of the local context of the project.

### **Photographs**

Photographs and images, while not a requirement, present and communicate visually the current state of the proposed project area. Images can convey existing conditions and provide a more holistic message.

### **Letters of Support**

Letters of support, while not a required part of the application, demonstrate the depth of stakeholder interest in the proposed project. Letters of support for the project are strongly encouraged. They should be **addressed to the grant's Applicant** and be **submitted with the application**. Such letters can come from community-based organizations, local governments, Native American Tribal governments, service agencies, and elected officials. Letters of support received separately from the application package will not be considered. Letters of support should be addressed to the project's Applicant and included in the application package.

## Application Checklist

- One Application (PDF Format)
- Application Signature Page (Print, sign, and scan this page in PDF format)
- Scope of Work (Microsoft Word format) (see Appendix C for an example or [click here](#))
- Project Schedule (Microsoft Excel format) (see Appendix D for an example or [click here](#)).
- Local Resolution (see Appendix F for an example or [Click Here](#)).
- Map of Project Area
- Digital Photographs of Project Area (if applicable)
- Letters of Support (if applicable)

Note: Failure to include any of these (with the exception of the last two) required documents will result in a reduced application score.

## Steps to Contract Execution

### Project Award and Initiating a Contract

Each grant program will formally notify applicants selected to receive grants and appropriate Caltrans District staff of grant awards after the state budget is in place. The notification from the grant program will provide instructions on how to engage in contract development. This notification may also request conditions or requirements that the program asks the Grantee to fulfill in order for contract execution to move forward. It will be delivered either through postal mail and/or e-mail.

Grantees should begin taking steps toward contract development immediately upon award notification. However, reimbursable work, fund expenditure, and/or invoicing cannot occur until after a contract has been executed between the Grantee and Caltrans.

Upon grant award notification, the Grantee and District staff will communicate to clarify who will be the District Contract Manager (Caltrans), and who will be the Project Manager (Grantee). A project initiation meeting is needed so that Contract/Project Manager responsibilities can be clarified. Caltrans District Planning management, the Grantee, and the Project/Contract Managers should all be present.

The Project Manager will work to complete the requirements or conditions identified in the grant program award announcement. Project Managers are encouraged to coordinate with their peers – District Planning staff, RTPA/MPO staff, city/county staff, Tribal government staff and transit agency staff to quickly leverage the required contract initiation documents – Local Resolution, Scope of Work, and Budget/Timeline. The District Contract Manager will help facilitate this task. Completing these tasks should only take the Project Manager one to three months. The award letter will state a due date for conditional documents. If conditions are not met by the specified due date, the grantee will risk losing the award and the project may be replaced with another project from the alternate award list.

### Local Resolutions

If a Local Resolution (LR) was not already submitted in the awarded grant application, the award letter will request that a LR be submitted as part of the project conditions. The Contract Manager is encouraged to begin leveraging LR language from the Grantee/Project Manager immediately upon receiving award notification. A LR is required to execute all Fund Transfer Agreements (FTA's) for the contracting process. Information on LRs is found in the Application Tips section on page 20.

The Contract Manager is encouraged to begin leveraging LR language from the Grantee/Project Manager immediately upon receiving award notification. This activity should take place well before the Grantee requests action from their local supervisory board or council. Adhering to this process can help expedite the contract development process. Again, a sample LR can be found as Appendix F and in the online Toolbox by [clicking here](#).

## Fund Transfer Agreement

The Project Manager submits a ‘clean’ local resolution (LR), SOW - with clear tasks and deliverables- Project budget/timeline - with appropriate local match and utilizes all available time- to the Contract Manager.

The Contract Manager promptly reviews the LR, SOW, and project schedule. They scrutinize the documents for completeness, accuracy, adherence to the original grant proposal, and ensure required formats are utilized. All EJ and CBTP budgets must incorporate a minimum local match – non-state, non-federal source of at least 10% of the grant total. At least 7.5% of the grant funds requested must be cash match and the rest may be in-kind. The proposed timeline must have a project start date at least (60 days) after the date the Project Manager submits the local resolution, SOW, and budget/timeline to the Contract Manager. This 60-day timeframe is needed by the District Contract Manager, Program Manager and DPAC to allow sufficient time for review and for the contract analyst to process/write the contract. A typical project start date will be in February of the following year.

The Contract Manager completes and attaches an ADM Form 360 to the LR, SOW, and project schedule – the “360 Package”. A sample ADM Form 360 can be found as Appendix H and to those with access to the intranet by [clicking here](#). The Contract Manager can obtain this Form by visiting the Caltrans Electronic Forms Systems (CEFS) at: <http://cefs.dot.ca.gov/>, and by following the directions below.

Click on “Forms” and then type “360” into the “Search By Form Number” field. You may need to download “Forms Flow” in order view and use these forms. The Contract Manager should contact their Program Manager if the form cannot be obtained.

The Form 360 is completed and signed by the Contract Manager and signed by their approving District Manager (Planning Deputy or Senior Transportation Planner). This “360 Package” is then sent to the appropriate Grant Program Manager.

*Note: The ADM Form 360 and project schedule must have congruent project start dates that are at least 60 days after the date the Project Manager submits the LR, Scope of Work, and Project schedule to the Contract Manager. Again, this 60-day timeframe is needed to allow time for DPAC staff to process/write the contract.*

The Program Manager reviews the “360 package” to ensure that the project “spirit and intent” are congruent with the original grant proposal. If spirit and intent are achieved, the Program Manager documents the project’s status and forwards the 360 package to RMB for coding and format review and processing.

RMB enters information about the project into DOTP’s contract monitoring database. If the 360 package is not complete, RMB and the Program Manager work directly together to ensure proper paperwork is in order before moving forward. Once a proper 360 package is submitted to RMB, it is certified for availability of funds and then signed by the RMB Chief. The 360 package is then sent to DPAC for their review and contract writing.

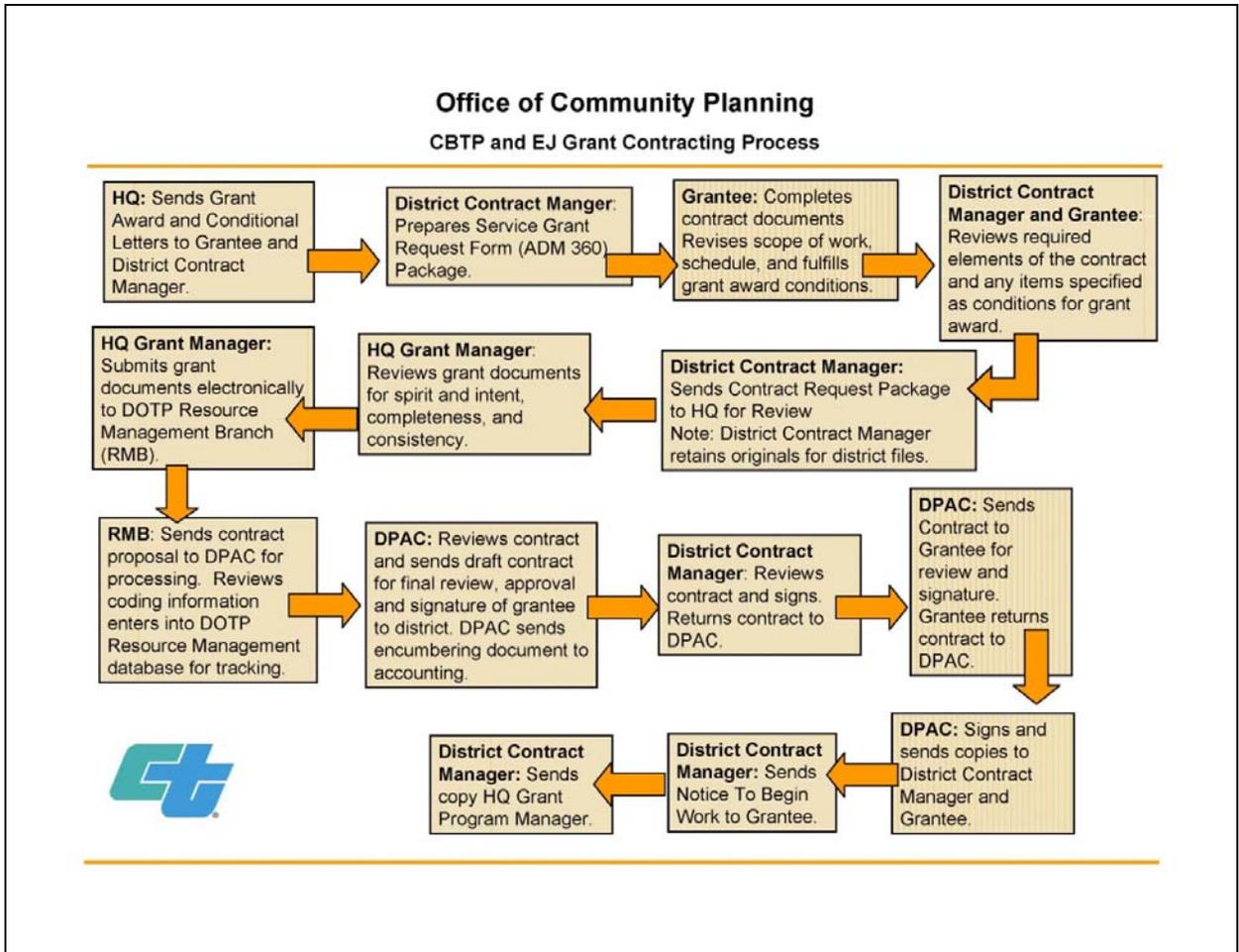
DPAC works with the Division of Accounting (DOA) to encumber the grant funds. If DOA has any issues with the 360 Package, they will work with DPAC, DPAC will work with RMB, and RMB will work with the Program Manager and the District Contract Manager. If all goes well, the Project Manager will receive a contract to sign within or shortly after the 60-day period noted above.

*Note: Sometime within or shortly after the 60-day timeframe noted above, the District Contract Manager should receive a memorandum or e-mail from DPAC indicating the contract number and the contract analyst assigned to the contract. Henceforth, any formal correspondence or question related to the grant project must include the project title and contract number.*

The Grantee and District Contract Manager receives the contract. The Grantee/Project Manager should review and sign the contract and follow DPAC’s instructions to complete contract execution.

Copies of the contract are distributed by DPAC to DOA, the Contract Manager, the Project Manager, and RMB contract administrator. The HQ Program Manager receives a copy from RMB.

The following chart provides a summary of the EJ and CBTP Contracting Process.



## Title VI and Disadvantaged Business Enterprises (DBE) Requirements

### Title VI Nondiscrimination Requirement

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

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

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

### Disadvantaged Business Enterprise Requirement (DBE)

Effective May 1, 2006, Caltrans and its sub-recipient local agencies receiving U.S. Department of Transportation federal financial assistance for transportation and transit-related projects, were obligated to change from a race-conscious to a race-neutral Disadvantaged Business Enterprises (DBE) Program. Current DBE provisions do not require specific DBE contract participation goals and evaluation of "good faith efforts." As a matter of statewide policy, Caltrans would like all local agencies to express their desire for prime contractors and prime consultants to voluntarily continue to use and list DBEs as sub-contractors. Please refer to the Caltrans Civil Rights' website where the DBE Program Plan is posted.

<http://www.dot.ca.gov/hq/bep/index.htm>

## Other Financial Requirements

### Reimbursements

Grant payments are made only as reimbursements and occur no more frequently than monthly or at a minimum, quarterly. The Grantee must pay its sub-recipients and named sub-contractors prior to submitting an invoice requesting reimbursement from Caltrans. The District Contract Manager needs to verify proper documentation is submitted by the Grantee. Sample invoice summary cover sheets are available online on the intranet Grant Toolbox. [Click Here](#) to access the Toolbox.

### Indirect Costs

An Indirect Cost Allocation Plan or Central Service Cost Allocation Plan and related documentation are to be provided to the Caltrans Office of Audits and Investigations annually for review and approval prior to the Grantee seeking reimbursement of indirect costs. The Grantee must prepare and submit its

Indirect Cost Allocation Plan or Central Service Cost Allocation Plan in accordance with Office of Management and Budget (OMB) A-87 and Caltrans Local Programs Procedures (LPP) 04-10.

<http://www.dot.ca.gov/hq/LocalPrograms/lam/lapm.htm>

## Local Match

Non-federal sources for local match can include local sales tax, special bond measures, private donations, private foundations, etc. At least 7.5% of the grant funds requested must be cash match and the rest may be in-kind. Examples of in-kind contributions include donated printing, facilities, food, interpreters, equipment, advertising, staff time, etc. All in-kind contributions must be itemized. Local match contributions must be expended on a proportional basis coinciding with the expenditure of the grant funds.

## Accounting System

Grantees are required to maintain an accounting system and records that properly accumulate and segregate incurred project costs and matching funds by line item. The accounting system of the Grantee, including its sub-recipients and subcontractors, shall conform to generally accepted accounting principles that enable the determination of incurred costs at interim points of completion, and provide support for reimbursement payment vouchers or invoices sent to or paid by Caltrans. Allowable project costs will be in compliance with 49 Code of Federal Regulations (CFR), Part 18 and Office of Management and Budget (OMB) A-87. It is the Grantee's responsibility, in conjunction with the Caltrans District Contact Manager, to monitor work and expenses to ensure the project is completed according to the contracted scope of work and project schedule-budget/timeline. Grantees must monitor work and costs to ensure their invoices are submitted on a regular and timely basis (after the completion of each milestone). Grantees must communicate with their local Caltrans District Contract Manager to ensure that any issues are addressed early during the project period.

## Contract Management

Contract and Project Managers are encouraged to research answers to contract-related questions that may arise within a contract period of performance. The Department encourages all Contract Managers and Project Managers to download and keep as reference several resources to help them manage their contracts/projects. They are also encouraged to ask their peers or management any contract management-related questions. If answers to questions cannot be found in the *Contract Managers Handbook*, DOTP's *Transportation Planning Grant Guide*, this *Handbook*, or from *staff peers*, Contract Managers are

encouraged to call the Caltrans HQ Grant Program Managers. The documents listed above can be found on the following Caltrans websites:

Contract Managers Handbook

<http://admin.dot.ca.gov/pc/doc/handbook.pdf>

DOTP's Transportation Planning Grant Guide

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

## Steps to Project Execution

This section is a summary of the responsibilities and duties of the parties involved in the execution of grant-funded projects.

The Grantee is not authorized to commence work or incur reimbursable costs until after the Grantee and Caltrans have executed the contract and a formal written 'notice to proceed' has been provided to the Project Manager from the Contract Manager.

The Contract Manager reminds the Project Manager that funding for these State-funded grants are limited to: one year to commit/encumber, and two years to spend for a total of three years of authorized use. For example the **funds lapse June 30, 2014 for State FY 2011/12**. In order to complete projects by this deadline and ensure funds available for reimbursement, all Grantees will be given a contractual obligation of **February 28, 2014** to complete work and spend all grant funds. Grantees must then submit final invoices for costs incurred by **April 28, 2014**, as written within the contract.

After the 'notice to proceed' has been executed, the Project Manager can begin work on the project. The Project Manager retains staff and subcontractors for project work. He/she keeps all parties and stakeholders informed and involved throughout the project. Both the Project and Contract Manager encourage stakeholders to take actions throughout the project schedule that support the project and the proposal's original intent. They communicate on a weekly basis – more if needed or desired. When there are questions that cannot be answered by the Contract or Project Manager, the Program Manager should be contacted. Unanswerable questions are carried forward to DOTP management or the DOTP Grant Team. An answer is then provided back to the Contract Manager from the Program Manager.

All project stakeholders are expected to establish relationships and maintain professional partnerships. They must attend project meetings, public participation events, and other project-related activities. They must participate, document activities, and try to add value to the project as it proceeds. *Everyone* should feel like they can offer suggestions or discuss ideas and issues.

The Contract Manager maintains oversight of the Fund Transfer Agreement (FTA) and maintains basic knowledge of any subcontract the Project Manager executes for the project. Subcontracts must be kept in both the Project Manager and Contract Manager project files. Both the Project Manager and Contract Manager must ensure the project stays on schedule, paying specific attention to the dates and funding applications identified in the contract timeline/schedule. The Contract Manager must also monitor, review, verify, and provide feedback to the Project Manager and contractors/subcontractors on deliverables, reports and other products.

The Project Manager ensures project staff and subcontractors are paid for work performed according to the project scope of work and FTA. All work must be paid for prior to requesting reimbursement from Caltrans.

The Project Manager prepares and submits invoices and deliverables to the Contract Manager. Invoices are prepared monthly or at a minimum quarterly, especially when milestones are completed (required).

The Contract Manager reviews invoices submitted by the Project Manager, checking them for completeness and proper use of funds. Deliverables associated with the invoice must be compared to the project's scope of work and invoice support documentation. The Contract Manager then processes the invoice.

Each individual grant program provides blank quarterly reports to their District Planning Office. The Contract Manager completes quarterly reports based on project activities, invoice summaries, and prior correspondence with the Project Manager. Quarterly reports are then sent back to each individual grant program within Caltrans headquarters. A copy of the quarterly reports should be kept in the Contract Manager's correspondence/project file. Quarterly reports are used by the Program Managers to help track project progress and determine necessary program improvements.

The Project Manager ensures the project is completed according to the project's scope of work, schedule, and FTA. The Project Manager distributes hard-copies and electronic-web copies of the final product to the Contract Manager and project's stakeholders.

The Contract Manager acknowledges receiving the final product. If the product meets contractual requirements, the Contract Manager requests a final invoice be submitted. Caltrans reserves the right to withhold final payment to any agency pending receipt of final deliverable(s).

After the Project Manager submits the final invoice and it has been paid, the Contract Manager initiates project closeout. The Contract Manager completes program closeout materials and forwards the final product and closeout materials to the Program Manager. The Contract Manager also requests the Program Manager close the project EA.

All final products funded by EJ or CBTP should credit the respective program for their financial participation on the cover or tile page of the product.

The Program Manager reviews the final product and closeout materials (surveys and close-out form). He/she uses these documents to close out the project, and

as tools to help improve program policies and develop protocol for upcoming grant cycles.

The Project Manager, Contract Manager, and Program Manager continue to advocate for the use, adoption, and/or programming and implementation of the project's recommendations. Efforts should be made to keep the project vision alive through the relationships that were built with each community or organization involved.

## Project Execution – Technical Information

### Audits

The Grantee must agree to maintain grant records as required under the contract. These records must be made available upon request during an interim or post audit. Any Grantee performing work under an FTA with Caltrans is subject to the following audit reviews:

For grant awards of \$250,000 or more, a pre-award evaluation is required. Pre-award audits occur if the pre-award evaluation determines an audit is needed. The Program Manager requests pre-award evaluations and audits prior to contract execution. The purpose of the pre-award evaluation/audit is to determine if the Grantee's accounting system is adequate. The system must be able to accumulate and segregate costs and determine if the proposed costs are reasonable. A pre-award audit alerts both the Grantee and Caltrans of possible problems relative to the Grantee's cost proposal and cost accounting system.

Interim audits are performed on an "if-needed" basis. For example, during a pre-award audit (described above), if it is found that the Grantee's accounting system is new or if minor deficiencies are noted, an interim audit would be scheduled. The purpose of the interim audit is:

1. To determine if the accounting system is functioning adequately.
2. To ensure that billed costs are supported.
3. To ensure that any deficiencies are corrected.

The Contract Manager may also request an interim audit if there are concerns to be addressed during the course of the contract.

Post-audits may be performed after project completion to determine whether the costs claimed were allowable, allocable, reasonable, and in compliance with federal and state laws and regulations. Post-audits are performed routinely for many Caltrans contracts.

### Local Coordination

Every CBTP or EJ grant project should be coordinated with the transportation planning efforts taking place under the region's RTPA or MPO. If the Grantee is an RTPA/MPO, or if the project's local match contribution was provided by an RTPA or MPO, the project must be included as a Work Element in the region's Overall Work Plan (OWP). An OWP amendment will be required to include a grant project as a Work Element in a region's OWP. Amendments to OWPs should be executed simultaneously when the Local Resolution is leveraged from the RTPA/MPO board. Contract Managers can help facilitate this process through their regional planning offices.

If the Grantee is a city, county, Tribal government, or transit agency, the project should be included as an informational item in the RTPA's or MPO's OWP. Contact Managers can help facilitate this process through their District's Regional Planning Office.

OWP work elements and informational items should be included within annual OWPs for the duration of the grant project FTA. Contract Managers must work with their regional planning peers to ensure all local planning efforts are incorporated in respective RTPA/MPO OWPs.

If a Tribal government is the Grantee, or if a project resides within or adjacent to Tribal land, the Contract Manager should encourage the Tribe, RTPA/MPO, and District management to consult with one another so that the transportation planning process conducted for the grant project is carried forward in coordinated manner.

## Subcontracting

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

[http://www.nhtsa.dot.gov/nhtsa/whatsup/TEA21/GrantMan/HTML/03\\_DOTComRul\\_49CFR18.html](http://www.nhtsa.dot.gov/nhtsa/whatsup/TEA21/GrantMan/HTML/03_DOTComRul_49CFR18.html)

There is no standard template for subcontracting for these grants. However, a Grantee's Project Manager is encouraged to use a subcontracting agreement that clearly specifies the work, deliverables, due dates, and costs that will permit the Grantee to have proper accountability and management. The request for proposal and consultant agreements must be consistent with the SOW and Project Schedule submitted and approved with Caltrans.

Projects are sometimes an extension of a larger, ongoing transportation project. For example, a city or regional agency is working on plans to improve a major corridor and a properly selected consultant is already employed, but additional planning is needed to address local issues and community outreach along that corridor. The consultant can be used for this additional work without further bidding, but the Grantee's Project Manager must submit a written explanation to the Contract Manager describing how the additional work is part of this larger, continuing project and why it merits a waiver from competitive bidding.

In general, a Grantee's Project Manager must conduct the procurement of goods and services in a fair, open competitive manner. Grantees are prohibited from

restricting competition in any government-funded procurement transaction except under the following circumstances:

1. If the Grant Applicant specifically identifies a sub-recipient/subcontractor in the scope of work, the sub-recipient/subcontractor may be employed without further bidding. When choosing a sub-recipient/subcontractor, Applicants are reminded to select them at the onset of their application in a fair and careful manner and be able to justify the value the sub-recipient/subcontractor brings to the project.
2. If a sub-recipient/subcontractor is **not** identified in the scope of work and the value *exceeds \$25,000*, the work must be competitively bid. The bidding process does not need to be elaborate, but must reflect an honest and reasonable effort to seek at least three written proposals for the same work or services. It must be a fair, objective, and documented process. Grantees are advised to retain their documentation. This process must be identified in the Project Time and Budget at the time of applying.
3. If a sub-recipient/subcontractor is **not** identified in the scope of work and the work contemplated is *less than \$25,000* in cost, the work is not subject to bid requirements but still requires prior approval by your Caltrans District Planning Office.

*Note: Regardless of how the third-party contractor is retained for services, a Grantee's Project Manager must pay subcontractors prior to requesting any reimbursement from Caltrans and must do so in a timely manner.*

*Note: A Grantee's Project Manager must provide copies of all subcontracts to the Contract Manager so that he/she can properly monitor invoices and project activities. All third party contracts must include a scope of work that has tasks, a task budget, and timeline that identify work congruent to that identified under the FTA.*

## Eligible Expenses

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

Note: It is acceptable to use grant funds to purchase more substantive meals for participants in public engagement events that are of long duration (4 hours).

Indirect costs are an eligible expense. These are generally defined as rent, utilities, and other overhead costs. These costs must not exceed 15% of the total project budget. If an agency will be seeking reimbursement for indirect costs, the agency must prepare and submit annually to Caltrans an indirect cost rate proposal and a central service cost allocation plan (if any) in accordance with the Office of Management and Budget A-87 and the Department's Local Programs Procedures (LPP) Chapter 5, 04-10. Reference to these materials can be found at:

<http://www.dot.ca.gov/hq/LocalPrograms/lam/lapm.htm>

Many case histories in environmental justice have shown that traditional methods of contacting underrepresented communities are not always successful and more culturally sensitive and innovative methods are needed. In these cases, the grantee may provide payment of an incentive in the form of cash and/or a meal or other amenities that, in the judgment of the grantee (and only after District Contract Manager approval), is the only reasonable means to obtain the necessary public participation at these meetings. In addition to refreshments, amenities may include assistance with childcare, transportation, and advertising and promotional products that identify the Department by name. The grantee will be reimbursed for incentives from State funds only after receipt of full explanation as to reasons why a stipend is the only reasonable means of obtaining the necessary public participation, such as the grantee's experience in similar case studies or unsuccessful attempts to obtain public participation using other methods.

## Ineligible Expenses

These grants **cannot** be used for the following:

These grants cannot be used for personal expenses (such as meals), use of personal vehicles, organizational membership fees, or other items unrelated to the project. Purchases of computers, software, or office furniture are also excluded.

Environmental studies, plans, or documents normally required for project development under the National Environmental Policy Act (NEPA) or the California Environmental Quality Act (CEQA), or any Project Initiation Document (PID) are not eligible expenses under these grants. In addition, engineering and design specifications are not eligible for funding.

Construction and procurement of equipment or materials, such as building a facility are not eligible expenses, even if such purchases are funded with other funds or provided as a match. Construction permits, construction projects, construction materials, maintenance, decoration, traffic studies, detailed design, or acquisition (purchase or rental) of any vehicles for bus or shuttle programs, and operating subsidies of vans or shuttles.

## Invoicing

All Contract Managers must comply with the State's "*Prompt Payment Act*". This law requires state agencies to pay properly submitted, undisputed invoices within 45 calendar days of initial receipt. If this requirement is not met, Caltrans must automatically calculate and pay the appropriate late payment penalties as specified in Government Code section 927, et seq. Contract Managers review, process and forward the invoice to RMB within 14 calendar days, or dispute the invoice within 15 working days of the District mailroom stamp. If approved within 14 calendar days, the remaining 31 days are for processing the invoice through RMB, the Division of Accounting (DOA), and the State Controller's Office, where checks are issued to the Grantee. More information about the "*Prompt Payment Act*" can be found online at:

<http://www.pd.dgs.ca.gov/promptpay/default.htm>

Payments by Caltrans to a Grantee are made only after the FTA has been executed, and after a specified work or service is performed, paid for, and verified. These grants are only eligible for reimbursable expenses invoiced in arrears. Invoicing can be monthly, but must occur at least quarterly. The Programs strongly suggest quarterly. Grantees are expected to submit a request for reimbursement as milestones are completed. A single, one-time, **lump-sum invoice for the entire grant is not allowed**. Local match contributions must be expended on a proportional basis coinciding with the expenditure of the grant funds. Project Managers are to be reminded by the Contract Managers to submit invoices and supporting documentation on a regular and timely basis – at least quarterly, to enable monitoring of progress and deliverables.

### Invoices

In general, the level of reimbursement to a grantee should be commensurate with the percentage of the project completed as specified within the scope of work. Credits for local matching funds will be made or allowed only for work performed **after the start date** and up to the **termination date of the contract**. Expenditure or proof of local match contributions must be provided on a basis proportional to each task, coinciding with invoice frequency.

*Note: A Project Manager must submit with each invoice a clear and concise summary of tasks completed and funds – grant and local match funds, expended to date. The summary is one of the tools Contract Managers utilize when completing quarterly reports. These reports are retained in the Contract Manager’s project file.*

A complete invoice submitted by a Grantee’s Project Manager must include the summary noted above and the following information:

1. The Grantee’s name
2. Remittance address
3. Description/itemization of goods or services completed
4. Dollar amount for the goods or services completed
5. Date the invoice was written and mailed
6. Invoice number (e.g., Invoice # 1)
7. FTA number
8. EA and any associated special designation
9. Support documentation that proves funds were expended and a product or activity delivered

For a Project Manager’s convenience, a sample invoice is provided in Appendix K and in the online [Toolbox](#). The sample invoice includes a space for each of the information items listed above. The invoice must be provided on their agency’s letterhead.

### Invoice Reviews

It is the District Contract Manager’s responsibility to ensure proper invoice content and formatting. When reviewing an invoice, the Contract Manager must do the following:

1. Log in and date stamp the invoice(s) immediately upon receipt.
2. Review the invoice for accuracy, timeliness, and compliance with the cost and payment terms of the contract.
3. Ensure the costs shown on the invoice are within appropriate parameters for costs listed in the scope of work and budget/timeline.
4. Review invoice(s) and deliverable(s) to verify what was paid for has been obtained.
5. Document and file the invoice and the summary of tasks completed and funds expended to date.
6. Monitor and track expenditures.

## Preparing Invoices for Payment

Once the invoice is received from the Grantee and reviewed and approved by the Contract Manager, the Contract Manager prepares the invoice package and forwards electronically to:

Resource Management Branch  
Jodi Lehmkuhl  
(916-653-3896)

HQ Program Manager and

Accounting Contact for the respective vendor.

To find the appropriate accounting personal, [Click Here](#).

Go to the contact list. Once you open the contact list you will find the name of the person to whom you will send the completed Receiver Form by the Name of the Vendor. For example if you need to pay the City of Los Angeles, you will look for the Contact person for "L." For the Sacramento Area Association of Governments (SACOG) you will look for the Contact person for "S"

Each invoice must be submitted with a completed "Receiving Record" (or also known as a Receiver) using the EFIS system. If the Grant is not entered into the system, a hard copy of the Receiving Record Form 1226A must be completed. This form can be obtained by visiting the Caltrans Electronic Forms Systems (CEFS) at: <http://cefs.dot.ca.gov>.

Click on "Forms" and type "1226A" into the "Search by Form Number" field. Contract Managers should contact your Program Manager if the form cannot be obtained. Refer to Appendix J for a step by step guide on filling out Form 1226A.

In addition, a sample Receiving Record can be found on the Intranet Toolbox by [clicking here](#).

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

## Processing Invoice Packages

Once an invoice package is received from the Grantee and is reviewed and approved by the Contract Manager, the receiving record and invoice (without the backup information) must be assembled and transmitted electronically to Jodi Lehmkuhl in RMB – one original and one duplicate. The Contract Manager will retain one copy of the following for the District's project file:

1. A copy of the invoice.
2. A copy of the receiving record.
3. All support documentation/proof of expenditure.

To expedite invoice delivery and payment, Contract Managers can fax or submit invoice packages electronically in PDF format. All invoice packages should be sent via e-mail to RMB contact and your HQ Program Manager. The invoice packages may also be sent via Caltrans' inter-departmental mail, or overnight courier service to:

California Department of Transportation  
Division of Transportation Planning, MS 32  
Attention: Resource Management Branch  
P.O. Box 942874  
1120 N Street, Room 5300  
Sacramento, CA 94274-0001

Upon receiving the invoice, RMB will verify the information and keep it for their records.

Note: All Invoices must be reviewed and processed by the Contract Manager prior to sending the invoice to RMB. Invoice packages submitted directly to RMB from Project Managers will be sent back.

## Invoice Disputes

A Contract Manager may use their discretion and dispute an invoice for "reasonable cause" within 15 working days from the receipt of the invoice. Reasonable cause is defined as a determination that any of the following conditions are present:

1. There is a discrepancy between the invoice and the provision of the contract.
2. There is a discrepancy between the invoice and either the contractor's actual delivery of property or services to the State.
3. Additional evidence supporting the validity of the invoice is required to be provided to the Department by the Grantee/Project Manager.
4. The invoice needs to be corrected by the Grantee/Project Manager.

A Contract Manager cannot dispute an invoice on the basis of minor or technical defects in order to avoid having the invoice processed and paid within specified "Prompt Payment Act" time limits.

If an invoice is disputable, the Contract Manager must supply written notification of the invoice dispute to the Grantee. A copy of the notification must be provided to RMB, and the Grant Program Manager. Written notification must be accomplished by completing an “*Invoice Dispute Notification form (STD 209)*”. A cover letter should also accompany the STD 209. The cover letter and STD 209 should describe why the invoice has been disputed, and what actions are necessary to bring the invoice into a “payable” status.

Failure to notify the parties listed above in writing will cause the invoice to be considered an “undisputed invoice” requiring interest paid each and every day after the required “*Prompt Payment*” period. These interest charges are assessed to Caltrans, and must be paid. A Contract Manager can obtain the Invoice Dispute Notification form (STD 209) at the following web site:

<http://cefs.dot.ca.gov/forms/index.html>

Type “209” into the “Search by Form” prompt.

You may need to download “Forms Flow” in order view and use this form. Contract Managers should contact your Program Manager if the form cannot be obtained.

## Contract Expenditures and Invoice Monitoring

Approximately 45 days after a Project Manager submits an invoice to Caltrans, expenditure balances or a grant’s draw-down should be able to be tracked. Contract Managers monitor contract expenditures for most contracts through SCATS – the Service Contract Automated Tracking System, on the Intranet at:

<http://onramp.dot.ca.gov/hq/accounting/scats/main.htm>

Follow the instructions below to use SCATS:

1. Select appropriate district.
2. Click on “Summary Report for District”.
3. Scroll to, or search for the Contract Number in the “Contract/Lease” field at the bottom of the page.
4. Click on the Contract Number.
5. Or, just enter the contract number in the box at the bottom of the page and click view.

Contract Managers and Project Managers should communicate when payments are received. Contract Managers should call their Project Managers approximately 30 days after they mail invoices to RMB for processing. This is done to track when or if invoices have been paid. Contract Managers should also be checking SCATS approximately 30 days after they mail invoices to RMB. This

is done to see if invoices have been logged. Conducting these activities can help any Contract Manager track payment and grant fund draw-down.

## Reporting Requirements

Quarterly reporting is required for all grants. Each individual grant program facilitates quarterly reports. They are requested four times each State Fiscal Year, July 1 – June 30. Information is gathered through the quarterly report that helps the Program Manager monitor each project and determine needed improvements.

Grantees must provide interim or draft reports to their Contract Managers as they are developed in accordance with the scope of work and FTA. All grant deliverables (including project summaries, invoices, draft or final reports, and other documents) will be submitted to Caltrans directly from the Grantee to their designated Contract Manager

Contract Managers should be able to complete quarterly reports based on invoice summaries, discussions, e-mails and other written correspondence conducted through the prior quarter. If needed, the Contract Manager can solicit the Project Manager for a project status. **Project Managers shall not fill out Caltrans quarterly reports.**

Program Managers or Headquarters staff will solicit District staff for quarterly reports following this schedule:

1<sup>st</sup> Quarter: July-September: **(Report Due October 15)**

2<sup>nd</sup> Quarter: October-December: **(Due January 15)**

3<sup>rd</sup> Quarter: January-March: **(Due April 15)**

4<sup>th</sup> Quarter: April-June: **(Due July 15)**

Information required on a quarterly basis.

1. Project information and status/general update. Including progress, percentages and dates of task completions.
2. General Comments and problems encountered.
3. Dollars expended.

A sample of quarterly report can be found in the Toolbox by [clicking here](#) and Appendix L at the end of this document.

## Ownership

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

All final products funded shall credit either the EJ or CBTP program for their financial participation on the cover of title page of the product.

## Project Close-Out

There are a number of steps that must to be followed in order to properly closeout projects. These steps are:

### Final Invoice/ Project Close-Out

The contract expiration date is the last date that a Grantee can incur project costs.

FY 2007-2008 Projects is February 28, 2010  
FY 2008-2009 Projects is February 28, 2011  
FY 2009-2010 Projects is February 28, 2012  
FY 2010-2011 Projects is February 28, 2013  
FY 2011-2012 Projects is February 28, 2014

A Project Manager has up to 60 calendar days after the contract expiration date to make final payments to Project Contractors, produce the final report and electronic web file, and submit the final invoice to the Contract Manager for reimbursement (April 28). District Contract Managers will need to indicate on the Receiving Record (Form 1226A) that the invoice is the final invoice, and then follow the invoicing procedures noted above. The Contract Manager must also notify the Program Manager and RMB in writing to close out the project EA. Any un-spent money will be returned to the State of California.

### Final Report Distribution

The Project Manager will mail four reproducible hard-copies of the final report or plan, and four electronic versions, on compact discs to the Contract Manager. The Contract Manager will keep **one set** for Caltrans District files, mail **one set** to the Caltrans headquarters Program Manager, and mail one set to **each** of the following addresses:

California State Library

Government Publications Section,  
P.O. Box 942837,  
Sacramento, CA 94237-0001  
(IMS: 914 Capitol Mall, E-29)

California Department of Transportation,  
Transportation Library (MS45),  
P.O. Box 942874,  
Sacramento, CA 94274-0001

Note: Some types of Final Products may only require submission to Contract Manager and Program Manager.

## Evaluation Materials

Grantee will need to complete and submit a Project Close-out survey. The Survey is to better understand the project grantee's experience and overall success of the project. See Appendix L or [Click here](#) for Project Close-Out Survey. Once the grantee completes the survey it should be mailed to:

Caltrans Headquarters  
Office of Community Planning  
Re: EJ and CBTP Grants  
1120 N Street MS-32  
Sacramento, CA 95814

Or via e-mail to:

[OfficeofCommunityPlanning@dot.ca.gov](mailto:OfficeofCommunityPlanning@dot.ca.gov)

Contract Managers will need to complete and submit to the Caltrans headquarters Program Manager the following evaluation materials upon project completion:

- 1) An *STD.4 – "Contractor Evaluation Form"* A copy of the STD. 4 can be obtained by [clicking here](#) and following the directions below –

In the first box type "4".

Click "GO"

Click the button that is the first one at the top called "std004.pdf".

- 2) A Program Survey should be completed and submitted to Headquarters Program Manager. See Appendix K or [Click Here](#) to access Program Survey on the Intranet Toolbox.

## Closing

We hope this handbook serves as a tool to Caltrans staff, interested Applicants, and Awardees when working with the EJ and CBTP Grant Programs. This handbook is intended to supplement the already existing materials provided by the EJ and CBTP Grant Programs. This document is not legal in nature, but is recommended for use when completing grant contracting forms with Caltrans.

If you feel there are revisions to be made or information to be included to this document please contact Headquarters EJ and CBTP Program staff.

## Appendices

### General Information

- A. Caltrans District Boundaries
- B. Caltrans District Contacts

### Application Process

- C. Sample Scope of Work
- D. Sample Project Timeline
- E. Match Calculator
- F. Sample Resolution

### Contract Execution

- G. Contracting Flow Chart
- H. Sample Form 360

### Project Execution and Closeout

- I. Sample Invoice
- J. Sample Quarterly Report
- K. District Contract Manager Close-Out Survey
- L. Grantee Process and Close-Out Survey

# Appendix A: Caltrans District Boundaries



## Appendix B: CBTP and EJ District Contacts

### Caltrans Transportation Planning Grant District Contact List

DISTRICT	CONTACT	MPO/RTPA
<b>DISTRICT 1</b> 1656 Union Street P.O. Box 3700 Eureka, CA 95502	<b>All Planning Grant Programs -</b> Rex Jackman (707) 445-6412 Email: rex_jackman@dot.ca.gov	<ul style="list-style-type: none"> <li>• Del Norte LTC</li> <li>• Humboldt CAOG</li> <li>• Lake APC</li> <li>• Mendocino COG</li> </ul>
<b>DISTRICT 2</b> 1657 Riverside Drive P.O. Box 496073 Redding, CA 96049-6073	<b>All Planning Grant Programs -</b> Michelle Millette (530) 229-0517 Email: michelle_millette@dot.ca.gov	<ul style="list-style-type: none"> <li>• Lassen CTC</li> <li>• Tehama CTC</li> <li>• Modoc LTC</li> <li>• Trinity CTC</li> <li>• Plumas CTC</li> <li>• Siskiyou CTC</li> <li>• Shasta SCRTPA</li> </ul>
<b>DISTRICT 3</b> 703 B Street Marysville, CA 95901	<b>All Planning Grant Programs –</b> Beatriz Gonzalez (530) 741-5173 Email: beatriz_gonzalez@dot.ca.gov	<ul style="list-style-type: none"> <li>• Butte CAG</li> <li>• Sierra LTC</li> <li>• Colusa CTC</li> <li>• Glenn CTC</li> <li>• El Dorado CTC</li> <li>• Nevada CTC</li> <li>• Placer CTPA</li> <li>• Sacramento Area COG</li> <li>• TRPA – Tahoe Basin</li> <li>• Tahoe Metropolitan Planning Organization</li> </ul>
<b>DISTRICT 4</b> 111 Grand Avenue P.O. Box 23660 Oakland, CA 94623-0660	<b>CBTP-</b> Beth Thomas (510) 286-7227 Email: beth_thomas@dot.ca.gov <b>EJ-</b> Blesilda Gebreyesus (510) 286-5575 Email: blesilda_gebreyesus@dot.ca.gov <b>Partnership –</b> Erik Alm (510) 286-6053 Email: erik_alm@dot.ca.gov <b>Transit -</b> Becky Frank (510) 286-5536 Email: becky_frank@dot.ca.gov	<ul style="list-style-type: none"> <li>• Metropolitan Transportation Commission</li> </ul>

DISTRICT	CONTACT	MPO/RTPA
<p><b>DISTRICT 5</b> 50 Higuera Street San Luis Obispo, CA 93401-5415</p>	<p><b>All Planning Grant Programs -</b> Dan Herron (805) 549-3510 Email: dan_herron@dot.ca.gov</p>	<ul style="list-style-type: none"> <li>• Monterey TAMC</li> <li>• Santa Cruz SCCRTC</li> <li>• San Benito COG</li> <li>• Association of Monterey County Bay Area Governments</li> <li>• Santa Barbara CAG</li> <li>• San Luis Obispo COG</li> </ul>
<p><b>DISTRICT 6</b> 1352 W. Olive Avenue P. O. Box 12616 Fresno, CA 93778-2616</p>	<p><b>All Planning Grant Programs –</b> Randy Treece (559) 488-4153 Email: randy_treece@dot.ca.gov</p>	<ul style="list-style-type: none"> <li>• Fresno COG</li> <li>• Tulare COG</li> <li>• Kern COG</li> <li>• Kings CAG</li> <li>• Madera CTC</li> </ul>
<p><b>DISTRICT 7</b> 100 S. Main Street Los Angeles, CA 90012</p>	<p><b>CBTP and EJ -</b> Wilford Melton (213) 897-1344 Email: wilford_melton@dot.ca.gov</p> <p><b>Partnership and Transit-</b> Melissa Joshi (213) 897-1347 Email: melissa_joshi@dot.ca.gov</p>	<ul style="list-style-type: none"> <li>• Southern California Association of Governments</li> </ul>
<p><b>DISTRICT 8</b> 464 W. 4th Street Sixth Floor San Bernardino, CA 92401</p>	<p><b>CBTP and EJ -</b> John Chiu (909) 388-7139 Email: john_chiu@dot.ca.gov</p> <p><b>Partnership and Transit-</b> Lorna Foster (909) 383-4936 Email: lorna_foster@dot.ca.gov</p>	<ul style="list-style-type: none"> <li>• Southern California Association of Governments</li> </ul>
<p><b>DISTRICT 9</b> 500 S. Main Street Bishop, CA 93514</p>	<p><b>CBTP and EJ -</b> Miya Edmonson (760) 872-0735 Email: miya_edmonson@dot.ca.gov</p> <p><b>Partnership and Transit-</b> Forest Becket (760) 872- 0659 Email: forest_becket@dot.ca.gov</p>	<ul style="list-style-type: none"> <li>• Inyo LTC</li> <li>• Mono LTC</li> </ul>

<b>DISTRICT</b>	<b>CONTACT</b>	<b>MPO/RTPA</b>
<p><b>DISTRICT 10</b>  1976 E. Charter Way  P. O. Box 2048  Stockton, CA 95201</p>	<p><b>All Planning Grant Programs –</b>  John Gedney – Mountain Counties  (209) 948-7112  Email: john_gedney@dot.ca.gov  Tom Dumas – Merced, San Joaquin,  Stanislaus Counties  (209) 941-1921  Email: tom_dumas@dot.ca.gov</p>	<ul style="list-style-type: none"> <li>• Alpine CTC</li> <li>• Amador CTC</li> <li>• Calaveras COG</li> <li>• Mariposa LTC</li> <li>• Merced CAG</li> <li>• Tuolumne CCAPC</li> <li>• San Joaquin COG</li> <li>• Stanislaus COG</li> </ul>
<p><b>DISTRICT 11</b>  4050 Taylor Street  Mail Station 240  San Diego, CA 92110</p>	<p><b>All Planning Grant Programs -</b>  Mike Kent (619) 688-6822  Email: mike_kent@dot.ca.gov</p>	<ul style="list-style-type: none"> <li>• San Diego Association of Governments</li> </ul>
<p><b>DISTRICT 12</b>  3347 Michelson Drive  Suite 100  Irvine, CA 92612-0661</p>	<p><b>All Planning Grant Programs -</b>  Damon Davis (949) 440-3487  Email: damon_davis@dot.ca.gov  Chris Herre (949) 724-2731  Email: chris_herre@dot.ca.gov</p>	<ul style="list-style-type: none"> <li>• Southern California Association of Governments</li> </ul>

## Appendix C: Sample Scope of Work

### SCOPE OF WORK: City of Can Do Planning Project

The below scope of work reflects anticipated deliverables for the City of Can Do Planning project. The City of Can Do has not yet selected a consulting firm. Minor changes to the scope of work may be necessary to integrate innovative outreach approaches suggested by the consulting firm. City staff anticipates these figures will not differ substantially and will not exceed the grant request amount.

#### OVERALL SCOPE PRODUCTS/OBJECTIVES

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

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

#### 1. Project Contracting

##### Task 1.1

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

##### Task 1.2

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

##### Task 1.3

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

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

## 2. Public Outreach

All meetings will be publically noticed to ensure maximum attendance.

### Task 2.1

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

### Task 2.2

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

### Task 2.3

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

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

## 3. Streetscape Design

### Task 3.1

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

### Task 3.2

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

### Task 3.3

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

### Task 3.4

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

**Task 3.5**

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

**Task 3.6**

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

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

**4. Project Management & Administration**

**Task 4.1**

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

**Task 4.2**

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

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

# Appendix D: Sample Project Timeline

California Department of Transportation  
Transportation Planning Grants  
Fiscal Year 2011-2012

**SAMPLE PROJECT TIMELINE**

Task Number	Project Title	City of Can Do Planning Project			The Council of Governments																			
		Responsible Party	Total Cost	Grant Local	Fiscal Year 2011/12			FY 2012/13			FY 2013/14			Deliverable										
					J	A	S	O	N	D	J	F	M		A	M	J	J	A	S	O	N	D	J
<b>1.0</b>	<b>Project Contracting</b>																							
1.1	Project Initiation / Kick-off Meeting	The COG	\$500	\$450																				
1.2	Staff coordination	The COG	\$3,000	\$2,700																				
1.3	RFP for consultant selection	The COG	\$1,500	\$1,350																				
<b>2.0</b>	<b>Public Outreach</b>																							
2.1	Community Workshop #1	Consultant	\$5,000	\$4,500																				
2.2	Community Workshop #2	Consultant	\$7,000	\$6,300																				
2.3	Safety/Bicycle Advisory Commission Meeting	Consultant	\$600	\$540																				
<b>3.0</b>	<b>Streetscape Design</b>																							
3.1	Develop Streetscape Concept	Consultant	\$10,000	\$9,000																				
3.2	Develop Design Concept Alternatives	Consultant	\$15,000	\$13,500																				
3.3	Draft Final Design Concept & Report	Consultant	\$10,000	\$9,000																				
3.4	Final Design Concepts & Report	Consultant	\$5,000	\$4,500																				
3.5	Community Workshop #3	Consultant	\$6,000	\$5,400																				
3.6	City Council Adoption	The COG	\$200	\$180																				
<b>4.0</b>	<b>Project Management &amp; Administration</b>																							
4.1	Project Administration	The COG	\$3,000	\$2,700																				
4.2	Submit info for Quarterly reports	The COG	\$0	\$0																				
<b>TOTALS</b>			<b>\$69,000</b>	<b>\$62,100</b>																				

This sample timeline is for illustrative purposes only. Your scope of work and timeline may include different tasks under different headings. Local match must be proportionally distributed throughout each task.

## Appendix E: Match Calculator

### Fiscal Year 2010-11 TRANSPORTATION PLANNING GRANT APPLICATION

Community-Based Transportation Planning and Environmental Justice Planning Grants		
Local Match Calculator		
Grant Funds Requested	\$100,000.00	
Local Match - Cash	\$7,500.00	7.50%
Local Match - In-Kind	\$2,500.00	2.50%
Total Project Cost	\$112,500.00	
<i>Local Match total must be a minimum of 10%</i>		
Total Local Match %		10.00%
<i>Cash Match must be at least 7.5% of Grant Amount Requested</i>		
Total Local-Cash Match		7.50%

**Instructions:**

- 1) Enter amount requested from Grant Program in Cell B3.
- 2) Enter Local Match-Cash amount willing to provide into Cell B4.
- 3) Enter Local Match-In-Kind amount willing to provide into Cell B5.
- 4) Total Local Match % in Cell C9 should be above 10%. If not, the figure will turn RED and a higher Local Match must be entered.
- 5) Total Local-Cash Match must be at least 7.5% of Grant Amount Requested or at least 75% of Total Local Match. If the amount is less, Cell C12 will turn RED. And if so, the Local Match-Cash in Cell b4 must be revised.

California Department of Transportation  
Division of Transportation Planning

The Match Calculator can be found in the Toolbox by [Clicking Here](#).

## Appendix F: Sample Resolution

(R-2006-320)

RESOLUTION NUMBER R- 300957

ADOPTED ON OCT 24 2005

WHEREAS, the City and the San Diego Association of Governments [SANDAG] both applied for and were awarded grants from the California Department of Transportation to complete mobility planning studies for the 4<sup>th</sup>, 5<sup>th</sup>, and 6<sup>th</sup> Avenue corridors; and

WHEREAS, SANDAG and the City seek to combine their resources and respective grant funding in order to conduct the technical analyses, public outreach, prepare the refined concept plan, transit operating plan design documents, and conceptual design plans for BRT stations [Project]; and

WHEREAS, Staff has prepared a Memorandum of Understanding [MOU] between SANDAG and the CITY in order fund and administer the Project; NOW, THEREFORE,

BE IT RESOLVED, by the Council of the City of San Diego, that the City Manager or his representative is authorized or empowered to enter into a Memorandum of Understanding with SANDAG establishing the division of labor and cost sharing to complete mobility planning studies, including traffic calming, transit lanes, and pedestrian and parking improvements for the 4th, 5th, and 6th Avenue Corridors [Hillcrest Corridor Mobility Plan], which are required by the respective grants; and

BE IT FURTHER RESOLVED, that the City Manager is authorized or empowered to execute all documents, including contracts, subcontracts, agreements, extensions, renewals, and/or amendments required by SANDAG, which may be necessary to carry out and administer all obligations, responsibilities and duties under these grants upon receipt of a fully executed Memorandum of Understanding.

-PAGE 1 OF 2-

BE IT FURTHER RESOLVED, that the City Auditor and Comptroller is authorized to establish a separate interest bearing grant fund account as needed for the MOU, if secured.

BE IT FURTHER RESOLVED, that the City Auditor and comptroller is authorized to increase the Fiscal Year Capital Improvements Program CIP No. 527570, Hillcrest Corridor Mobility Study, by \$120,000 in new SANDAG funding, upon receipt of a fully executed program supplements.

BE IT FURTHER RESOLVED, that the City Auditor and comptroller is authorized to appropriate and to expend an amount not to exceed \$120,000 from CIP No. 527570, Hillcrest Corridor Mobility Study, which is from the MOU with SANDAG for the purpose of preparing a study and related expenses, upon receipt of a fully executed MOU.

APPROVED: MICHAEL J. AGUIRRE, City Attorney



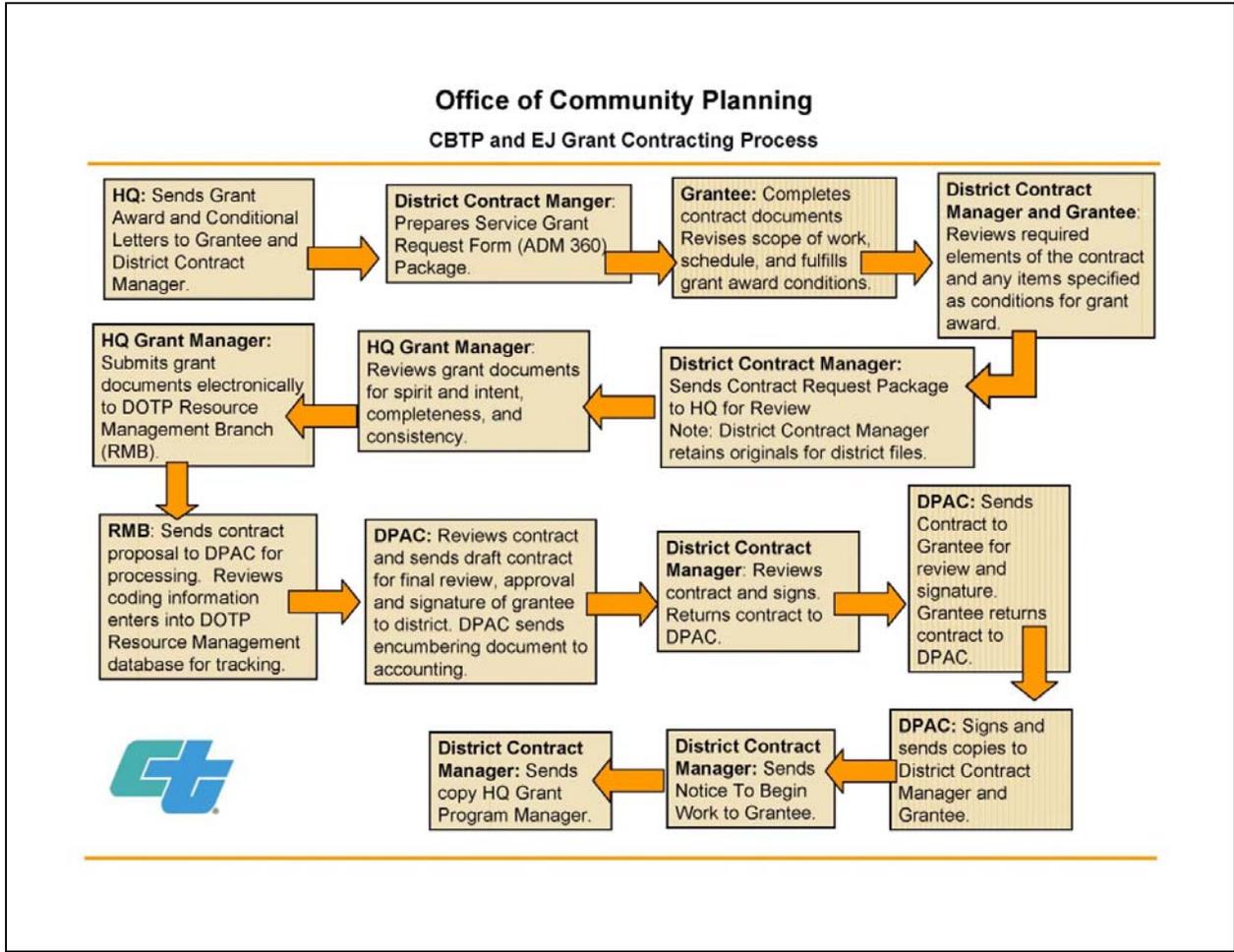
David E. Miller

By

Ddputy City Attorney

DEM:aml  
09/30/05  
Or.DeptPlanning  
Aud.Cert:N/A  
R-2006-320  
MMS#2516

## Appendix G: Contracting Flow Chart



# Appendix H: Sample Form 360

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION  
**SERVICE CONTRACT REQUEST**  
 ADM-0360 (REV. 8/2010)

**DIVISION OF PROCUREMENT AND CONTRACTS  
 USE ONLY**

Electronic Submittal: Submit via EFIS

<b>REQUESTER</b>			
Contract Request #	District/Division		
HQ Will Assign Mail Station Office/Branch Your MS Your Office / Branch	Your District # / Division		
Contract Manager (Print)	Phone	Logged In By	Logged In Date
District Contract Manager	###-###-####	Team	Accepted By
Contract Manager (Signature)	Fax	Reason Not Accepted	
	###-###-####		
Business Address (Address, City, State, Zip Code)		Assigned To	DPAC Contract #
			Category Code

**CONTRACT SUMMARY**

<p style="text-align: center;"><b>AGREEMENT OUTLINE</b></p> <p>Identify specific problem, administrative requirement, program need, or other circumstances making contract necessary. In addition, cite specific statutory authority justifying contracting out. (See instructions for assistance)</p> <p>GC 19130(b)3: The services are not available within civil service; cannot be performed satisfactorily by civil service employees; or are of such a highly specialized and technical nature that the expert knowledge, experience and abilities required are not available through the civil service system.</p> <p>Type of Contract - FTA</p> <p>Project Title: Exactly as it appears on the approved application</p> <p>Short Description of the work to be performed</p> <p>Grantee Name _____</p> <p>Grantee Project Manager _____</p> <p>Mailing Address _____</p> <p>Phone Number _____</p> <p>Fax Number _____</p> <p>Federal Tax ID # _____</p>	<p style="text-align: center;"><b>DESIRED TERM OF CONTRACT</b></p> <p>Start Date _____ End Date _____</p> <p>Date + 60 Days 02/28/2013 Number of Working Days (Minor 3 Only) _____</p> <p style="text-align: center;"><b>NEW, RENEWAL, OR AMENDMENT (CHECK ONE ONLY)</b></p> <p><input checked="" type="checkbox"/> New Service</p> <p><input type="checkbox"/> Renewal - Prior Contract # _____</p> <p><input type="checkbox"/> Amendment - Original Contract # _____</p> <p style="text-align: center;"><b>DESIRED SOCIOECONOMIC PARTICIPATION</b></p> <p><input checked="" type="checkbox"/> No Goals</p> <p><input type="checkbox"/> State or State/Local Funds DVBE Goals _____ %</p> <p><input type="checkbox"/> Fed or Fed/State Funds DBE Goals _____ %</p> <p><input type="checkbox"/> Small Business/DVBE Solicitation Invitation For Price Quote Process</p> <p style="text-align: center;"><b>COMPLETE YOUR ADM 0360 PACKAGE BY ATTACHING:</b>  <small>(See instructions for assistance)</small></p> <p><input checked="" type="checkbox"/> Scope of Work <input type="checkbox"/> Conflict of Interest FM DGS-GC 15990</p> <p><input type="checkbox"/> Bidders/Proposers List ADM 1412 <input type="checkbox"/> Confidentiality of Information FM 85</p> <p><input type="checkbox"/> Bid Sheet <input type="checkbox"/> Selection Committee Members</p> <p><input type="checkbox"/> Prior Contract <input type="checkbox"/> Selection Committee Nomination Memo</p> <p><input type="checkbox"/> Original Contract <input type="checkbox"/> Work Plan Justification</p> <p><input type="checkbox"/> Minor B Contract Documents <input type="checkbox"/> IT Required Documents</p> <p><input type="checkbox"/> Noncompetitively Bid ADM 3807 <input type="checkbox"/> Approved No Goals Justification</p> <p><input type="checkbox"/> Prevailing Wages Determination <input type="checkbox"/> Emergency Contract Documents</p> <p><input checked="" type="checkbox"/> Timelie <input type="checkbox"/> Evaluation Criteria</p> <p><input checked="" type="checkbox"/> Board Resolution</p>
--	---

*Billing Code*

1	60152	10	60142
2	60153	11	60141
3	60190	12	60600
4	60145		
5	60151		
6	60146		
7	60147		
8	60143		
9	60155		

ES 000000475  
 CBTP 000000474

FUNDING (Post Funding For This Contract Request Only)									
Unit	Project ID	Phase	Reporting Code	Object	Sub Object	Activity	Sub Activity	Amount	Fiscal Year
3794		N		132	049		132		10/11
									TOTAL

Agency Billing Code	Fund Title	Budget Item	Fund Chapter	State	Cap. Outlay Funds	Fund Source Percentages				
SHA	2660-102--0042T			2010	YES <input type="checkbox"/> NO <input checked="" type="checkbox"/>	Fed	% State 100	% Local	% Other	%

**APPROVALS**

SUBMIT REPRESENTATIVE CERTIFIES ACCURACY & AVAILABILITY FUNDING	Print	Signature	PHONE	Date
APPROVING MANAGER CERTIFIES CONTRACT JUSTIFICATION & COMPLETE ADM0360 PACKAGE	Print	Signature	PHONE	Date
DISTRICT DIRECTOR / DIVISION CHIEF CERTIFIES EMERGENCY CONTRACT JUSTIFICATION	Print	Signature		Date



# Appendix J: Sample Quarterly Report

## Community-Based Transportation Planning & Environmental Justice District Quarterly Performance Report

PLEASE NOTE: Forms should be completed by District staff only and not by the grantee(s)

### Grant Summary Information

District:  Reporting Period Year:  Qtr:

Contract #:  Grant Cycle FY:

Contract End Date:  Grant Type (CBTP/EJ):

District Planner/Contract Manager: (name/phone)

Grant Title:

Grant Recipient:

### Performance Information

Task # and Description	Percent Complete	Planned Completion Date (Month/Year)	Actual Completion Date (Month/Year)
Task			

### Narrative Information

1. Explain any problems or delays encountered during the current reporting period, and/or any anticipated problems or delays during the next reporting period.

2. General Comments



## Appendix K: District Contract Manager Close-Out Survey



California Department of Transportation  
Office of Community Planning  
Environmental Justice and  
Community-Based Transportation Planning Grant Programs

### District Contract Manager Survey

To ensure quality and continuity of the Environmental Justice (EJ) and Community-Based Transportation Planning (CBTP) Grant Programs, please complete the following survey. The survey shall be completed at the time of final project close out and submitted to the Headquarters (HQ) Program Manager. One survey should be submitted for each project. District comments are valuable for program improvements.

Contract Manager: \_\_\_\_\_

Project Title: \_\_\_\_\_ FY: \_\_\_\_\_

- 1) The application process is evaluated by the HQ grant team every grant cycle. Please provide any recommendations to improve the application submission process.
  
- 2) Projects are selected on, among many other things, well thought-out goals. Were the project goals successfully completed? Were there any tasks that were difficult to complete? Please explain.
  
- 3) Is this project a showcase example of the respective grant program? Please explain.
  
- 4) Project Management is essential to successful contract execution. Reporting and invoicing are important to the success of each grant program. How would you improve the reporting and invoicing process to Caltrans staff?

5) Building strong relationships with grantees and local communities is important to the success of the grant programs. How would you improve Caltrans' customer service and participation in these local grant projects? What can HQ do to improve technical assistance?

6) Have any other funding sources been identified for developing and implementing the suggested improvements recommended in the final product for this project? Please explain.

7) How can Caltrans assist with project implementation? Please explain.

8) Specify the project strengths? Please explain.

9) Specify the project challenges. Please explain.

10) Additional Comments:

## Appendix L: Grantee Process and Close-Out Survey



California Department of Transportation  
Office of Community Planning  
Environmental Justice and  
Community-Based Transportation Planning Grant Programs

### Grantee Survey and Process Feedback

To ensure quality and continuity of the Environmental Justice (EJ) and Community-Based Transportation Planning (CBTP) Grant Programs, please complete the following survey. This survey should be completed by the grantee and submitted at the same time the final product is submitted to the district office. The comments will be used to make improvements to the Programs and better serve communities across the State of California.

Grantee Name: \_\_\_\_\_

Project Title: \_\_\_\_\_ FY: \_\_\_\_\_

1) The application process is evaluated by our grant team every grant cycle. Please provide any recommendations to improve the application submission process.

2) Each grant program has particular objectives. Do you believe the project successfully fulfilled the program's objectives? Please explain.

3) Projects are selected on, among many other things, well thought-out goals. Did the project successfully complete its goals? Were any tasks difficult to complete? Please explain.

4) Project management is essential to successful contract execution. Reporting and invoicing are important to both programs. How would you improve the reporting and invoicing process to Caltrans staff?

5) Building strong relationships with grantees and local communities is important to the EJ/CBTP grant programs. Please provide any recommendations you have to improve Caltrans' District customer service and participation in local grant projects.

6) Have any other funding sources been identified for developing and implementing the suggested improvements recommended in the final product for this project? Please explain.

7) What are the next steps for project implementation?

8) What were the project strengths? Please explain.

9) Provide a summary of the project challenges. Please explain.

10) Additional Comments: