Fiscal Year (FY) 2023-24
Sustainable Transportation Planning Grant Program

GRANT APPLICATION WORKSHOP

February 6, 2023
# WELCOME & INTRODUCTIONS

<table>
<thead>
<tr>
<th>Office of Regional &amp; Community Planning</th>
<th>Office of Air Quality &amp; Climate Change</th>
<th>Department of Housing and Community Development (HCD)</th>
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</thead>
<tbody>
<tr>
<td>Erin Thompson, Office Chief</td>
<td>Leah Fischer, Office Chief</td>
<td>Weston Starbird, Housing Policy Manager</td>
</tr>
<tr>
<td>Priscilla Martinez-Velez, Grant Management Branch Chief - <strong>Main Presenter</strong></td>
<td>Julia Biggar, Climate Change Branch Chief - <em>Q&amp;As/WebEx Support</em></td>
<td></td>
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<tr>
<td></td>
<td>Cinthia Spitaleri, Climate Adaptation Planning Grant Lead</td>
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<tr>
<td></td>
<td>Odemi Ibrahim, Climate Adaptation Planning Grant Lead - <strong>Climate Adaptation Planning Grant Presenter/Timekeeper</strong></td>
<td></td>
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</table>
QUESTIONS?

Use the Q&A tool to ask questions. Click on the ellipsis “Panel Options” button in the lower-right corner of the WebEx window and select “Q & A”.
Program Overview

WHAT'S THE PLANNING GRANT PROGRAM ALL ABOUT?
Sustainable Transportation Planning Grant Program

Program Overview

- Eligible planning projects must have a transportation nexus per Article XIX Sections 2 and 3 of the California Constitution.

- Planning projects are expected to directly benefit the multimodal transportation system.

- Intended to strengthen the economy, promote equity, and protect the environment.

- Results of these grants should lead to the programming and implementation of transportation improvement projects.
Sustainable Transportation Planning Grant Program

Program Objectives

- Sustainability
- Preservation
- Mobility
- Safety
- Innovation
- Economy
- Health
- Social Equity
Sustainable Transportation Planning Grant Program

Program Considerations

- Caltrans Strategic Plan 2020-2024
- California Transportation Plan (CTP) 2050
- Modal Plans Supporting the CTP
- Title VI and Environmental Justice
- Climate Action Plan for Transportation Infrastructure
- California Climate Adaptation Strategy
- Master Plan for Aging
Sustainable Transportation Planning Grant Program

Program Considerations

Title VI and Environmental Justice

Caltrans assures that no person shall, on the basis of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity receiving Federal financial assistance, as required by Title VI of the Civil Rights Act of 1964, as amended, the Civil Rights Restoration Act of 1987, and Federal Executive Order 12898 (Federal Actions to Address Environmental Justice in Minority Populations and Low-Income Populations).

Caltrans will make every effort to ensure nondiscrimination in all of its programs and activities, whether they are federally funded or not, and that services and benefits are fairly distributed to all people, regardless of race, color, or national origin. In addition, Caltrans will facilitate meaningful participation in the transportation planning process in a nondiscriminatory manner.

For more information, visit:

Title VI Branch | Caltrans  Title VI Complaint Process | Caltrans  Caltrans Nondiscrimination Policy Statement  Caltrans & You
Sustainable Transportation Planning Grant Program

Funding Overview

- **Sustainable Communities Competitive and Formula Grants** ($29.5M) are State-funded, primarily through Senate Bill 1

- **Climate Adaptation Planning Grants** ($50M) are a State-funded one-time augmentation, through Senate Bill 198

- **Strategic Partnerships Grants** ($4.5M) are federally funded through Federal Highway Administration and Federal Transit Administration
Sustainable Communities

PURPOSE

Funds local and regional **multimodal transportation and land use planning** projects that further the region’s Regional Transportation Plan and Sustainable Communities Strategy/Alternative Planning Strategy (SCS/APS) (where applicable), **contribute to the State’s GHG reduction targets, address the needs of underserved communities, and also assist in achieving the Caltrans Mission and Grant Program Objectives.**

*Program goal: 50% of Competitive grants to benefit Underserved Communities, as defined in Grant Application Guide, Appendix A*
Sustainable Communities

COMPETITIVE ELIGIBLE PRIMARY APPLICANTS
- Metropolitan Planning Organizations (MPOs) with sub-applicants
- Regional Transportation Planning Agencies (RTPAs)
- Transit Agencies
- Cities and Counties
- Native American Tribal Governments
- Other Public Transportation Planning Entities

COMPETITIVE ELIGIBLE SUB-APPLICANTS
- Primary applicants
- Universities and Community Colleges
- Community-Based Organizations
- Non-Profit Organizations (501.C.3)
- Other Public Entities

STATE FUNDS
- Competitive Budget: $17M
  - $3M Technical Projects
  - $500k Tribal Governments
  - Grant Min.- Max.: $50k - $700k

- Formula Budget: $12.5M (MPOs only)
  - Allocation Range: $160,000-$5M

- Match Requirement: 11.47%
Climate Adaptation Planning

PURPOSE

Funds local and regional **identification of transportation-related climate vulnerabilities** through the **development of climate adaptation plans**, as well as **project-level climate adaptation planning** to **identify adaptation projects and strategies for transportation infrastructure**.

*Program goal: 50% of grants to benefit Underserved Communities, as defined in Grant Application Guide, Appendix A*
## Climate Adaptation Planning

### Eligible Primary Applicants
- MPOs
- RTPAs
- Transit Agencies
- Cities and Counties
- Native American Tribal Governments
- Joint Exercise of Powers Authority
- Local Transportation Authority

### Eligible Sub-Applicants
- Primary applicants
- Universities and Community Colleges
- Community-Based Organizations
- Non-Profit Organizations (501.C.3)
- Other Public Entities

### State Funds
- **Budget:** $50M
  - $5M Tribal Governments
- **Grant Min.** $100k
- **Grant Max.** $1.5M (single organization) / $1.5-$3M to be considered for partnership applications
- **Match Requirement:** 11.47% minimum (not required for Tribal Governments)
Funds transportation planning studies in partnership with Caltrans that address the regional, interregional and statewide needs of the State highway system, and also assist in achieving the Caltrans Mission and Grant Program Objectives. A sub-category funds transit-focused planning projects that address multimodal transportation deficiencies.
ELIGIBLE PRIMARY APPLICANTS

- MPOs
- Rural RTPAs

ELIGIBLE SUB-APPLICANTS

- Primary applicants
- Transit Agencies
- Cities and Counties
- Universities and Community Colleges
- Native American Tribal Governments
- Community-Based Organizations
- Non-Profit Organizations (501.C.3)
- Other Public Entities

FEDERAL FUNDING

Source: FHWA SPR Part I

- Total Budget: $1.5M
- Grant Min. $100k/Max. $500k
- Match Requirement: 20%

Transit Sub-Category Source: FTA Section 5304

- Total Budget: $3M
- Grant Min.
  - $75,000 for Rural RTPAs
  - $100,000 for MPOs
- Grant Max. $500k
- Match Requirement: 11.47%
Application Guide Updates

WHAT'S NEW FOR FISCAL YEAR 2023-24?
What’s New?

- **Climate Adaptation Planning Grants**
  - $50M Total One-time Grant
  - $5M Tribal Government Set-aside
  - Integrated Climate Adaptation and Resiliency Program (ICARP) Case Studies

- **Sustainable Communities Grants**
  - $500,000 Tribal Government Set-aside
  - Aligned with CA Department of Housing and Community Development (HCD) Prohousing Designation Program
  - Inserted APS where the SCS is mentioned, per SB 375

- **Grant Program Considerations**
  - Caltrans Strategic Plan
  - CTP 2050 and supporting Modal Plans
  - Title VI and Environmental Justice
  - Climate Action Plan for Transportation Infrastructure
  - California Climate Adaptation Strategy
  - California’s Master Plan for Aging

- **Grant Application Submittal via Smartsheets**

- **Appendix A Resources**
HCD Prohousing
Designation Program
Overview
Overview

- Compliant housing element and annual progress reports
- All required rezones complete
- Jurisdiction compliant with all housing laws
- Can revoke for failure to stay in compliance with threshold requirements
Prohousing at a Glance
Prohousing Incentivization

AWARD POINTS IN OTHER PROGRAMS

1. Solutions for Congested Corridors
2. Local Partnership Program
3. Active Transportation Program*
4. Transformative Climate Communities
5. Transit and Intercity Rail Capital Program
6. Infill Infrastructure Grant Program
7. Affordable Housing and Sustainable Communities Program
Technical Assistance

WORKSHOPS

• Technical Assistance is currently being provided through email: prohousingpolicies@hcd.ca.gov

• FAQ available at: https://www.hcd.ca.gov/community-development/prohousing/docs/ProhousingFAQ.pdf

• Program Website: https://www.hcd.ca.gov/planning-and-community-development/prohousing-designation-program

• Questions?
Application Resources

WHAT RESOURCES ARE AVAILABLE TO PREPARE A COMPETITIVE APPLICATION?
Application Resources

FY 2023-24 Sustainable Transportation Planning Grant Application Guide

- Grant Program Overview, Chapter 1
- Purpose and Objectives, Chapters 2.1, 3.1, 4.1 and 5.1
- Example Project Types, Chapters 2.2, 3.3, 4.2, and 5.3
- Eligible and Ineligible Activities and Expenses, Chapters 2.3, 3.4, 4.3, and 5.4
- Tips for Successful Applications, Chapters 2.4, 4.4, and 5.5
- Grant Project Administrative Requirements, Chapter 6
- Application Submittal Process, Chapter 7
- Application Review Process, Chapter 8
- Application Award Process, Chapter 9
Administrative Requirements
Ch. 6

Application Resources

- Coordination with Caltrans
- Third Party Contracts
- Quarterly Reporting
- ICARP Case Studies (Adaptation only)
- Pre-Award Audits
- Accounting System
- Local Match
- Indirect Costs
- Travel Expenses
- Requests for Reimbursements
- Non-Discrimination Requirements
- Final Product
- Close-Out Survey
- California Public Records Act
Application Resources

Appendix A. Guidance, Tools, and Resources for Preparing a Grant Application

- Grant Program Considerations
- Resources to Advance Grant Specific Objectives
  - Multimodal System Planning
  - Advance Transportation Related GHG Reduction Project Types/Strategies
  - Addressing the Needs of Underserved Communities
  - Public Health Resources
  - Active Community Engagement
  - Integrated Housing, Land Use, and Transportation Planning
  - Promote the Region’s RTP SCS/APS, State Planning Priorities, and Climate Adaptation Goals
  - Climate Ready Transportation and Climate Adaptation Planning
Application Resources

Appendix B. Sample Application Package

- Application Cover Sheet, Signature Page, and Checklist
- Application Narrative
  - Sustainable Communities
  - Climate Adaptation
  - Strategic Partnerships
- Scope of Work Checklist and Template
- Cost and Schedule Checklist and Template
- Third Party In-Kind Valuation Plan Checklist and Template (only required if awarded)
- Board Resolution Checklist and Sample (only required if awarded)
Application Resources

Appendix B. Sample Application Package

Application Checklist

The following documents are required and must be submitted via Smartsheets in one single PDF document. Keep the file name brief, as files are corrupted when file names are too long. Failure to include any of the required documents will result in a reduced application score.

Use the Application Checklist as a tool to ensure your Application package is complete.

- Application Cover Sheet (Complete in MS Word and then transfer to Smartsheets form)
- Signature Page (Electronic signatures accepted)
- Application Narrative
- Scope of Work
- Cost and Schedule (formerly Project Timeline)
- Third Party In-Kind Valuation Plan, if applicable and only required if awarded
- Map of Project Area

Supplemental Information:

- Graphics of Project Area (when applicable)
- Letter(s) of Support
- Data
Chapter 7.4 Application Supplemental Documentation

Supplemental Information:

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

- **Letter(s) of Support**
  - If submitted, letters of support must be included with the application package. Letters received separate from the application package may not be considered. The letters should be addressed to the applicant. Such letters are from community-based organizations, local governments, Native American Tribal Governments, service agencies, and elected officials.
Application Resources

Chapter 7.4  Application Supplemental Documentation

Supplemental Information:

- Data
  - **Safety Data** - Statistical data such as pedestrian-vehicle injuries/crashes or fatalities resulting from lack of safe infrastructure, or other road conditions that contribute to possible injuries. This information may be obtained from police reports, transit agencies, National Highway Traffic Administration or the Governor’s Highway Safety Association.
  - **Travel Mode Data** - Data on mode share, commute patterns, accessibility for low-income and disadvantaged populations, access to job centers, or other data to show the need and potential for mode shift to non-auto transportation modes.
  - **Other Data** - As applicable, to indicate the need and potential for reducing VMT and GHG, where available.
Chapter 7.3 Application Submittal Instructions

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

- All grant application packages are required to be submitted via Smartsheets.
- Smartsheets works better with Google Chrome browser.
- Smartsheet progress cannot be saved. To avoid issues, follow these instructions:
  1. Complete the Application Cover Sheet in MS Word
  2. Copy and paste the Application Cover Sheet fields into the Smartsheet form
  3. Have the PDF attachment ready to upload into the Smartsheet form
- An agency may only submit one application package per Smartsheets submittal.
Chapter 7.3 Application Submittal Instructions

- An application cannot be submitted to more than one grant category.
- The required items outlined on the Grant Application Checklist in Appendix B must be submitted as a single PDF document (not to exceed 25MB); if awarded, original formats will be requested.
- All application documents must list the applicant’s legal name.
- A confirmation of receipt can be sent via Smartsheets if the applicant checks the box to receive a copy of the submittal.
Chapter 7.3 Application Submittal Instructions

- Submit applications via Smartsheets form ([https://app.smartsheet.com/b/form/1bc8cda5dc6b2426ba4f5800da57128c8](https://app.smartsheet.com/b/form/1bc8cda5dc6b2426ba4f5800da57128c8)) no later than **THURSDAY, MARCH 9, 2023, BY 5:00 P.M.**
- Hard copies will not be accepted, and late applications will not be reviewed
- Grant applicants will receive an award or non-award email notification in **SUMMER 2023**
- A list of award and non-awarded grants will be posted to the Caltrans Sustainable Transportation Planning Grant Program website
Application Resources

- Appendix C. Caltrans and Regional Agency Boundaries Map
- Appendix D. Caltrans District Staff Contact List
# Application Guide Resources

## Caltrans HQ Contacts for Application Guide Technical Assistance

<table>
<thead>
<tr>
<th>Sustainable Communities &amp; Strategic Partnerships</th>
<th>Office of Regional &amp; Community Planning</th>
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</thead>
<tbody>
<tr>
<td></td>
<td>Erin Thompson</td>
</tr>
<tr>
<td></td>
<td>Email: <a href="mailto:Erin.Thompson@dot.ca.gov">Erin.Thompson@dot.ca.gov</a></td>
</tr>
<tr>
<td></td>
<td>Priscilla Martinez-Velez</td>
</tr>
<tr>
<td></td>
<td>Email: <a href="mailto:Priscilla.Martinez-Velez@dot.ca.gov">Priscilla.Martinez-Velez@dot.ca.gov</a></td>
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<tr>
<th>Climate Adaptation Planning</th>
<th>Office of Air Quality &amp; Climate Change</th>
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<tr>
<td></td>
<td>Leah Fisher</td>
</tr>
<tr>
<td></td>
<td>Email: <a href="mailto:Leah.Fischer@dot.ca.gov">Leah.Fischer@dot.ca.gov</a></td>
</tr>
<tr>
<td></td>
<td>Julia Biggar</td>
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<tr>
<td></td>
<td>Email: <a href="mailto:Julia.Biggar@dot.ca.gov">Julia.Biggar@dot.ca.gov</a></td>
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# Caltrans District Contacts for Specific Project Technical Assistance

<table>
<thead>
<tr>
<th>District 1</th>
<th>District 2</th>
<th>District 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tatiana Ahlstrand</td>
<td>Kathy Grah</td>
<td>El Dorado, Placer, Sacramento, Sutter, Yolo, and Yuba Counties</td>
</tr>
<tr>
<td>Email: <a href="mailto:Tatiana.Ahlstrand@dot.ca.gov">Tatiana.Ahlstrand@dot.ca.gov</a></td>
<td>Email: <a href="mailto:Kathy.Grah@dot.ca.gov">Kathy.Grah@dot.ca.gov</a></td>
<td>Alex Padilla</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Email: <a href="mailto:Alex.Padilla@dot.ca.gov">Alex.Padilla@dot.ca.gov</a></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Butte, Colusa, Lake Tahoe Basin, Glenn, Nevada, and Sierra Counties</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Kevin Yount</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Email: <a href="mailto:Kevin.Yount@dot.ca.gov">Kevin.Yount@dot.ca.gov</a></td>
</tr>
<tr>
<td>District 4</td>
<td>District 5</td>
<td>District 6</td>
</tr>
<tr>
<td>Becky Frank</td>
<td>Jenna Schudson</td>
<td>Lorena Mendibles</td>
</tr>
<tr>
<td>Email: <a href="mailto:Becky.Frank@dot.ca.gov">Becky.Frank@dot.ca.gov</a></td>
<td>Email: <a href="mailto:Jenna.Schudson@dot.ca.gov">Jenna.Schudson@dot.ca.gov</a></td>
<td>Email: <a href="mailto:Lorena.Mendibles@dot.ca.gov">Lorena.Mendibles@dot.ca.gov</a></td>
</tr>
<tr>
<td>Stephen Conteh</td>
<td></td>
<td>Edgar Hernandez</td>
</tr>
<tr>
<td>Email: <a href="mailto:Stephen.Conteh@dot.ca.gov">Stephen.Conteh@dot.ca.gov</a></td>
<td></td>
<td>Email: <a href="mailto:Edgar.Hernandez@dot.ca.gov">Edgar.Hernandez@dot.ca.gov</a></td>
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## Application Resources

### Caltrans District Contacts for Specific Project Technical Assistance

<table>
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<tr>
<th>District 7</th>
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<th>District 9</th>
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<tbody>
<tr>
<td>Caleb Brock</td>
<td>Ricky Rivers</td>
<td>Neil Peacock</td>
</tr>
<tr>
<td>Email: <a href="mailto:Caleb.Brock@dot.ca.gov">Caleb.Brock@dot.ca.gov</a></td>
<td>Email: <a href="mailto:Ricky.Rivers@dot.ca.gov">Ricky.Rivers@dot.ca.gov</a></td>
<td>Email: <a href="mailto:Neil.Peacock@dot.ca.gov">Neil.Peacock@dot.ca.gov</a></td>
</tr>
<tr>
<td></td>
<td>Stephanie Gallegos</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Email: <a href="mailto:Stephanie.Gallegos@dot.ca.gov">Stephanie.Gallegos@dot.ca.gov</a></td>
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<tr>
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<tbody>
<tr>
<td>Mountain Counties</td>
<td>Omar Flores</td>
<td>Eric Chau</td>
</tr>
<tr>
<td>Gregoria Ponce</td>
<td>Email: <a href="mailto:Omar.Flores@dot.ca.gov">Omar.Flores@dot.ca.gov</a></td>
<td>Email: <a href="mailto:Eric.E.Chau@dot.ca.gov">Eric.E.Chau@dot.ca.gov</a></td>
</tr>
<tr>
<td>Email: <a href="mailto:Gregoria.Ponce@dot.ca.gov">Gregoria.Ponce@dot.ca.gov</a></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Merced, San Joaquin, Stanislaus Counties</td>
<td></td>
<td>Alyssa Murakami</td>
</tr>
<tr>
<td>Tom Dumas</td>
<td></td>
<td>Email: <a href="mailto:Alyssa.Murakami@dot.ca.gov">Alyssa.Murakami@dot.ca.gov</a></td>
</tr>
<tr>
<td>Email: <a href="mailto:Tom.Dumas@dot.ca.gov">Tom.Dumas@dot.ca.gov</a></td>
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Application Resources

Caltrans Districts Provide Technical Assistance

**NON-AWARD DEBRIEF**
Request a debriefing for past non-awarded applications to discuss specific feedback on how to improve the application

**PROJECT IDEA CONSULTATION**
Request initial input on project ideas to determine eligibility and competitiveness

**DRAFT APPLICATION REVIEW**
Request feedback on draft grant applications at least 2-weeks prior to the application deadline
Sustainable Transportation Planning
Grants Website
## FY 2023-24 Grants Schedule

<table>
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<th>Event</th>
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<tr>
<td><strong>January 12, 2023</strong></td>
<td>Release Call-for-applications for eight-weeks and conduct application workshops</td>
</tr>
<tr>
<td><strong>February 23, 2023</strong></td>
<td>Last day to submit draft applications to the District for feedback via email</td>
</tr>
<tr>
<td><strong>March 9, 2023</strong></td>
<td>Application deadline. Applications must be submitted via <a href="https://www.smartsheets.com">Smartsheets</a></td>
</tr>
<tr>
<td><strong>Spring-Summer 2023</strong></td>
<td>Application Evaluation, Management Approval, and Award Announcement</td>
</tr>
<tr>
<td><strong>Fall 2023</strong></td>
<td>Grant recipients begin project activities</td>
</tr>
<tr>
<td><strong>Winter-Summer 2026</strong></td>
<td>Grant projects are completed, and grant funds expire (expiration dates depend on grant recipient and fund-type)</td>
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Q&A

This is your opportunity to ask questions.

Use the Q&A tool to ask questions. Click on the ellipsis “Panel Options” button in the lower-right corner of the WebEx window and select “Q & A”.