

California Department of Transportation

DIVISION OF TRANSPORTATION PLANNING
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August 31, 2023

SENT VIA E-MAIL

On behalf of the California Department of Transportation (Caltrans), Division of Transportation Planning, we are pleased to congratulate you on your Sustainable Transportation Planning Grant award.

| Sustainable Transportation Planning Grant Program | | | | | |
|--|--|------------------------------|-------------------------------------|--------------------------|---------------------------|
| Grant Award Fiscal Year | 2023-24 | Grant Category | Sustainable Communities Competitive | Grant Fund Source | RMRA |
| Project Title | Sebastopol Main Street State Highways Subregional Planning and Core Redesign | | | | |
| Grantee/Agency | City of Sebastopol | | | | |
| Executive Director | Larry McLaughlin | | | | |
| Grantee/Agency Contact | Mario Landeros | | | | |
| Sub-Recipient(s) | | | | | |
| Caltrans District Contact(s) | Stephen Conteh, Becky Frank | | | | |
| Caltrans District Contact(s) E-mail | stephen.conteh@dot.ca.gov, becky.frank@dot.ca.gov | | | | |
| Grant Award | Local Match (Cash) | Local Match (In-Kind) | Total Local Match | % Local Match | Total Project Cost |
| \$230,178 | \$29,822 | NA | \$29,822 | 11.47% | \$260,000 |
| Conditions of Award Due to Caltrans | | Grant Expiration Date | | Final Invoice Due | |
| 9/28/23 | | 4/30/26 | | 6/29/26 | |
| * The final contractually agreed upon Local Match and Fund Source are located on the Grant Application Cover Sheet and Project Cost and Schedule. Any change in Local Match that increases/decreases the Total Project Cost must be approved by Caltrans and may require a Formal Amendment. Each invoice must include the contractual/agreed upon local match % - any deviation to this amount requires an approved Tapered Local Match Amendment prior to invoice submittal. Any change to the Local Match Fund Source requires prior Caltrans approval and an Administrative Amendment. | | | | | |

Next Steps

1. The Caltrans District Grant Manager will schedule a Conditional Award Meeting with your agency soon.
 - The attached specific and general conditions and project revisions necessary to accept grant funding will be discussed at this meeting.
2. The required conditions must be submitted to the Caltrans District Grant Manager no later than the date listed in the table above.
 - Failure to satisfy these conditions will result in the forfeiture of grant funds.
3. The Caltrans District Grant Manager will review and approve all items required to fulfill the attached specific and general conditions.
4. Once the required conditions are met and the agreement is executed, the Caltrans District Grant Manager will:
 - Send a Notice to Proceed letter (for MPO/RTPAs, this will happen after the OWP/OWPA formal amendment is processed). *Grant work cannot begin until the Notice to Proceed letter is received by your agency.*
 - Coordinate and schedule a grant kick-off meeting with your agency.

If you have questions concerning your Conditional Grant Award, please reach out to your Caltrans District contact listed in the table above.

Sincerely,



ERIN THOMPSON
Chief, Office of Regional and Community Planning

Attachments:
Specific and General Conditions

Sustainable Transportation Planning Grant Program
Grant Award Specific and General Conditions

Specific Conditions

If Specific Conditions have been identified for this grant, they will be listed below. Please make all necessary revisions to the Grant Application Cover Sheet, Scope of Work (SOW), and/or the Cost and Schedule, and complete the right column to indicate where the specific conditions were addressed.

| Specific Conditions | Conditions Addressed List Document, Section & Page(s) |
|--|---|
| 1. Identify the authorized signer(s) and email address(s) for the grant agreement that will be routed via Adobe Acrobat Sign. | |
| 2. Separate TAC and City Council Meetings into a separate task from Task 04 community engagement. | |
| 3. Remove "Coordination" from the title and remove this deliverable from Task 04: "Bi-weekly City Project Manager and Consultant check-in meetings." Spread the cost of project coordination across the tasks where it occurs. | |
| 4. Consider increasing the funding for the Community Engagement Task 04 budget without increasing the grant award. | |
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| Specific Conditions | Conditions Addressed List Document, Section & Page(s) |
|---------------------|---|
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General Conditions

Please review the General Conditions below and complete them, as necessary. Most of these items are outlined in the Grant Application Guide, Ch. 6 and Appendix B.

- **Board Resolution** – A current (less than one year old) Local Board Resolution, signed by the governing board that includes the grant project title and job title of the person authorized to enter into a contract with Caltrans, is required to be submitted to Caltrans by October 15, 2023.
- **Payee Data Record (STD. 204)** states government entities are not required to submit the form; however, it is required by Caltrans Accounting to ensure payments are sent to the correct recipient and address.
- **Scope of Work (SOW) and Project Cost and Schedule** (Refer to Grant Application Guide, Appendix B Checklists) These are frequently missed requirements:
 - Project Management stand-alone tasks, staff and/or consultant coordination are not allowed. Project Management activities must be charged to the tasks in which they accrued.
 - Include tasks for a kick-off meeting with Caltrans, invoicing, quarterly reporting, and Board adoption or acceptance.
 - Ensure the deliverable for the consultant procurement task includes: Request for Proposal (RFP), executed consultant contract, and a copy of your agency's procurement procedures.
 - The earliest project start date is January 2, 2024, with an end date of April 30, 2026. The Project Cost and Schedule will need be updated to reflect your proposed start date. At least one Task must extend to the grant expiration date on April 30, 2026.
 - Indirect Costs - For Local Government Agencies requesting to bill for indirect costs: Indirect costs must be identified in the SOW and Project Cost and Schedule, and the indirect cost rate included at the bottom of the Project Cost and Schedule.
- **Grant Application Cover Sheet and Project Cost and Schedule**
 - Ensure the grant award, local match, and total project costs are consistent with the award letter amounts.
- **Grant Application Cover Sheet** - Must identify the specific source of cash and in-kind local match funds; and must identify the agency providing the local match.
 - If your agency is using staff time as a cash match, the application cover sheet must identify the source of local match funds for staff time (e.g., General Fund).
 - Direct grantee staff time is not an allowable in-kind match and must be identified as cash match.
- **Third Party In-Kind Valuation Plan, if applicable** - Third-party in-kind contributions consist of goods and services donated from outside the grantee's agency (e.g., printing, facilities, interpreters, equipment, advertising, staff time, and other goods or services). If utilizing third-party in-kind contributions to satisfy the local match requirement:
 - Ensure in-kind contribution information is identified on the Grant Application Cover Sheet and Project Cost and Schedule.

- To clarify, sub-recipient staff time, if reimbursed, is considered cash match. If donating their time, it is considered in-kind.
- Submit a Third-Party In-kind Valuation Plan. The District can provide a copy of the valuation plan checklist and template.
- **Ensure Consistency** - All changes made to the Grant Application Cover Sheet, SOW, and Project Cost and Schedule are made consistently in all documents.

Grant Administrative Requirements

Refer to the Grant Application Guide, Ch. 6, and the Restricted Grant Agreement boilerplate for a detailed overview of the Grant Administrative Requirements that must be adhered to over the life of the project. In summary:

- **Third Party Contracts** - Competitive consultant procurement, i.e., Request for Proposals (RFP) is required for all grant projects
 - If there is a consultant on-board, ensure the process to procure the consultant was a competitive process (documentation must be provided to Caltrans); the grant work must have been part of the original RFP
 - If using an on-call consultant list, the process for establishing the list must be competitive and less than five years old (documentation must be provided to Caltrans)
 - If the consultant helped to prepare the Project Scope of Work or grant application, they shall not be considered in the consultant procurement
- **Quarterly Reporting** – Quarterly Progress Reports (a narrative of completed project activities) are submitted on a quarterly basis
- **Invoicing and Financial Requirements** –
 - Maintain a proper accounting system (MS Excel is unacceptable)
 - Request for Reimbursements/invoices (RFRs) at least quarterly, but no more than monthly
 - One-time, lump sum invoices are not allowed
 - If requesting reimbursement of indirect costs, a copy of the ICAP/ICRP acceptance letter must be submitted with the first invoice
 - Local match commitments must be satisfied with every RFR/invoice, including any local match amount above the minimum amount. If you are unable to meet this commitment, coordinate with your district Contract Manager.
 - All work must be completed by April 30, 2026.
 - Final RFR/invoice and the final product are due no later than June 29, 2026.
 - The final RFR/invoice will not be processed without the final product
 - An Indirect Cost Allocation Plan/Indirect Cost Rate Proposal (ICAP/ICRP) must be submitted each year to the Inspector General Independent Office of Audits and Investigations for approval. Instructions for submitting an ICAP/ICRP are available at the following webpage: <https://ig.dot.ca.gov/resources>
- **Grant Amendments** - Proposed changes to the Grant Application Cover Sheet, SOW, and Project Cost and Schedule (e.g., local match amount, fund source, movement of funds) will require an Amendment and Caltrans approval. Please contact Caltrans for guidance on this process.