

## 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	Strategic Partnerships (FTA 5304)		Grant Fund Source FTA 5304
Project Title	Del Paso Multimodal Transportation Network and Land Use Compatibility Action Plan				
Grantee/Agency	Sacramento Area Council of Governments				
Executive Director	James Corless				
Grantee/Agency Contact	Chris Dougherty				
Sub-Recipient(s)	San Joaquin Regional Rail Commission				
Caltrans District Contact(s)	Ilouna Davis				
Caltrans District Contact(s) E-mail	ilouna.davis@dot.ca.gov				
Grant Award	Local Match (Cash)	Local Match (In-Kind)	Total Local Match	% Local Match	Total Project Cost
\$450,000	\$30,000	\$35,100	\$65,100	12.64%	\$515,100
Conditions of Award Due to Caltrans		Grant Expiration Date		Final Invoice Due	
9/28/23		6/30/26		8/31/26	
* 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. Scope of Work: Refine what the final deliverable would be – Final Report? Shouldn't it be a Final Plan? Adopted by who - SACOG? City of Sac? SacRT? SJRRC?	
2. Scope of Work: The discussion of how the project would improve government-to-government relations and partnerships could be improved by providing details about how the agencies will form a meaningful partnership -- the collaborative platform is not described in the application and the scope of work is vague about how stakeholders will be convened and what the differences are between stakeholder and public engagement.	
3. Scope of Work: The term 'seamless connection' is used to describe a 1,000 foot walk between the SacRT Globe Station and to the new SJRRC station, which is inappropriate --the the walking distance will likely be the most appropriate connection when compared to the costs of other layouts, but it is not a 'seamless' connection.	
4. Scope of Work: The equity/displacement analysis is vague -- mitigations proposed may not be sufficient, yet this project SOW considers any proposed mitigation to meet the project goals. The project location is across Arden Way from Camp Resolution, which is a City-supported organized homeless encampment. More detail should be added to ensure the multi-use development components of the project do not worsen the housing crisis.	

Specific Conditions	Conditions Addressed List Document, Section & Page(s)

## 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.

- **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 consultant procurement task includes the following deliverables: Request for Proposal (RFP), executed consultant contract, and a copy of your agency's procurement procedures.
  - Unless prior arrangements are made, the earliest project start date is November 1, 2024, with an end date of June 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 June 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.
- **Overall Work Program (OWP)** – In accordance with the *OWP and Grant Amendment Guidelines*, submit a current Draft Fiscal Year OWP and OWP Agreement (OWPA) Amendment, which includes the following:
  - The Draft OWP/OWPA Amendment must include the Amendment Transmittal Memo, OWPA, OWP Budget Summary, and a standalone Work Element. These items must show

consistent funding information for the grant project and include the full grant and local match amounts.

- The Work Element title must be consistent with the project title identified on the Grant Application Cover Sheet. The Work Element name and number must remain the same until the project is completed.
  - In the Work Element, separate Tasks and Product Deliverables that will be accomplished in the current FY OWP from Tasks and Products that will be accomplished in future FYs. This can be accomplished by inserting a sub-heading for "current" and "future" work in the narrative.
  - A Draft Board Resolution to amend the OWP/OWPA and program the entire grant amount and local match funds.
- **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 MPO/RTPA Master Fund Transfer Agreement for an overview of the Grant Administrative Requirements that must be adhered to over the life of the project. In summary:

- **Federal Requirements** –
  - Submit Disadvantaged Business Enterprise (DBE) forms with every invoice as well as biannual reports Caltrans. If contracting with consultants, prior to solicitation, it is your agency's responsibility to work with your District Regional Planning Liaison to determine DBE participation. Additional Information on DBE requirements can be found at the following webpage:  
<https://dot.ca.gov/programs/transportation-planning/regional-planning/dbe>
  - Complete and implement a Title VI Plan consistent with Federal Transit Administration Circular 4702.1B. If your Title VI Plan is expiring or has expired, this grant award will be contingent upon submitting to Caltrans a current, Board adopted, Title VI Plan.
- **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 June 30, 2026.
  - Final RFR/invoice and the final product are due no later than August 31, 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.