

CALTRANS ADAPTATION PLANNING GRANT PROGRAM

-FINAL DRAFT-
FY 2017-2018

Grant Application Guide

Adaptation Planning Grants from Senate Bill 1 –
The Road Repair &
Accountability Act of 2017



Application Deadline

California Department of Transportation
Division of Transportation Planning

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Adaptation Planning Grant Program

The California Legislature recently passed, and Governor Brown signed into law, Senate Bill 1 - The Road Repair and Accountability Act of 2017, a transportation funding bill that will provide a reliable source of funds to maintain and integrate the State's multi-modal transportation system. As a result of this new transportation funding, \$20 million in climate change adaptation planning grants has been allocated to local and regional agencies for adaptation planning. Seven million dollars are available for the Fiscal Year 2017-2018 grant cycle, seven million dollars will be available in 2018-2019, and six million dollars in 2019-2020. This funding will advance adaptation planning on California's transportation infrastructure, including but not limited to roads, railways, bikeways, trails, bridges, ports, and airports. Eligible projects must have a transportation nexus per Article XIX Section 2 and 3 of the California Constitution. Funded projects are expected to not only adapt the transportation system to climate change impacts but also to benefit the multimodal transportation system. Applicants who have adaptation planning efforts underway as well as those who have not yet started adaptation work are encouraged to apply.

Table 1: Available Funds by Fiscal Year

Fiscal Year Grant Cycle	Adaptation Planning Grant Funds
2017-18	\$7 million
2018-19	\$7 million
2019-20	\$6 million

Purpose

California is leading the way on greenhouse gas emissions reductions to avoid the worst consequences of climate change, but no matter how quickly we reduce our polluting emissions, climate impacts will still occur. Climate change poses many threats to our communities' health, well-being, environment, and property. Many impacts – increased wildfires, droughts, landslides, rising sea levels, floods, severe storms and heat waves – are occurring already and will only become more frequent and severe.

Climate change is increasingly impacting the state's transportation system. Adaptation efforts will enhance the resiliency of the transportation system to help protect against climate impacts. The overarching goal of this grant program is to support planning actions at local and regional levels that advance climate change adaptation efforts, especially efforts that serve the communities most vulnerable to climate change impacts. Taking steps now to adapt to climate change will protect public health and safety, infrastructure, our economy, and our future.

Funding

The Adaptation Planning grants are funded by the State Highway Account (SHA). The fiscal year 2017-2018 funding amount is seven million dollars, and will be entirely be competitively awarded. The minimum application amount is \$100,000 and the maximum application amount is \$1,000,000. The required local match is 11.47%.

GRANT	FUND SOURCE	PURPOSE	WHO MAY APPLY	LOCAL MATCH
Adaptation Planning	State Highway Account (SHA) Budget State funds \$7,000,000 Grant Min \$100,000 Grant Max \$1,000,000	Support planning actions at local and regional levels that advance climate change adaptation efforts on the transportation system, especially efforts that serve the communities most vulnerable to climate change impacts.	The following are eligible to apply as a primary applicant: <ul style="list-style-type: none"> • MPOs • RTPAs • Transit Agencies • Cities and Counties • Native American Tribal Governments • Local and Regional Agencies • Special Districts The following are eligible to apply as a sub-applicant: <ul style="list-style-type: none"> • Transit Agencies • Universities and Community Colleges • Native American Tribal Governments • Cities and Counties • Community-Based Organizations • Non-Profit Organizations (501.c.3) • Other Public Entities** 	11.47% minimum (in cash or an in-kind* contribution). The entire minimum 11.47% local match may be in the form of an eligible in-kind contribution. Staff time from the primary applicant counts as cash match.

* For in-kind contribution requirements, refer to Page 14 of this Guide.

** Public entities include state agencies, the Regents of the University of California, district, public authority, public agency, and any other political subdivision or public corporation in the State (Government Code Section 811.2).

Grant Program Considerations

The Grant Program supports related State initiatives, explained further below. Competitive applicants will reference in their application as many of the identified State initiatives as possible and how the proposed project advances these initiatives, including:

- California Climate Adaptation Planning Guide
- Executive Order S-13-08
- Executive Order B-30-15
- Assembly Bill 2800 Climate Safe Infrastructure Working Group
- California Transportation Plan (CTP) 2040
- Safeguarding California Plan (2017) Update – California’s Adaptation Strategy
- Regional Transportation Plan Guidelines
- Integrate Climate Adaptation and Resiliency Program (ICARP)
- Addressing Disadvantaged Communities

California Climate Adaptation Planning Guide

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

<http://resources.ca.gov/climate/safeguarding/local-action/>

State Policy

Executive Order S-13-08

EO-S-13-08 directs state agencies to plan for sea level rise and climate impacts through coordination of the state Climate Adaptation Strategy (Safeguarding California).

<https://www.gov.ca.gov/news.php?id=11036>

Executive Order B-30-15

EO-B-30-15 sets a greenhouse gas (GHG) emissions target for 2030 at 40 percent below 1990 levels. It also requires state agencies to “take climate change into account in their planning and investment decisions.” Flexible and adaptive approaches should be taken to prepare for uncertain climate impacts.

<https://www.gov.ca.gov/news.php?id=18938>

AB 2800 Climate Safe Infrastructure Working Group

State agencies shall take into account the current and future impacts of climate change when planning, designing, building, operating, maintaining and investing in state infrastructure. A Climate-Safe Infrastructure Working Group has been established for the purpose of examining how to integrate scientific data concerning projected climate change impacts into state infrastructure engineering, including oversight, investment, design, and construction.

<http://resources.ca.gov/climate/climate-safe-infrastructure-working-group/>

California Transportation Plan 2040

Applications should align with the goals and best practices cited in the California Transportation Plan 2040 (specifically, Goal 2 “Preserve the Multimodal Transportation System,” Policy 3 “Adapt the transportation system to reduce impacts from climate change”).

<http://www.dot.ca.gov/hq/tpp/californiatransportationplan2040/Final%20CTP/FINALCTP2040-Report-WebReady.pdf>

Safeguarding California

Safeguarding California is the State's climate adaptation strategy that organizes state government climate change adaptation activities. Assembly Bill (AB) 1482 (Gordon, 2015) requires the California Natural Resources Agency (CNRA) to update Safeguarding California every three years. AB 1482 directs State agencies to promote climate adaptation in planning decisions and ensure that state investments consider climate change impacts, as well as the use of natural systems and natural infrastructure (Public Resources Code Section 71153).

<http://resources.ca.gov/wp-content/uploads/2017/05/DRAFT-Safeguarding-California-Plan-2017-Update.pdf>

2017 RTP Guidelines

The California Transportation Commission recently adopted the *2017 RTP Guidelines for Metropolitan Planning Organizations (MPOs) and the 2017 RTP Guidelines for RTPAs*. Chapter 6.30 in the *RTP Guidelines for MPOs* (or Chapter 6.25 in the *RTP Guidelines for RTPAs*) focuses on "Adaptation of the Regional Transportation System to Climate Change."

<http://www.dot.ca.gov/hq/tpp/offices/orip/rtp/index.html>

Integrated Climate Adaptation and Resiliency Program (ICARP)

Senate Bill (SB) 246 (Wieckowski, 2015) established the Integrated Climate Adaptation and Resiliency Program (ICARP) within the Governor's Office of Planning and Research to coordinate regional and local efforts with state climate adaptation strategies to adapt to the impacts of climate change (Public Resources Code Section 71354). In support of these efforts, grantees will provide periodic reports to the ICARP Technical Advisory Council (see reporting requirements on page 12).

Addressing Disadvantaged Communities

Caltrans encourages applicants to address transportation needs and deficiencies in disadvantaged communities, including communities vulnerable to climate change impacts. The optional tools below are intended to help applicants define a very context-dependent definition of a disadvantaged community. Regionally and/or locally defined disadvantaged communities are acceptable. Applicants may also include other population characteristics, such as income or level of education. Information about disadvantaged communities can be found at:

SB 535 (De Leon, Statutes of 2012):

https://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201120120SB535

Senate Bill 535 tasked the California Environmental Protection Agency with defining disadvantaged communities in order to meet the statutory requirements to invest a quarter of Greenhouse Gas Reduction Funds (GGRF) to projects benefiting disadvantaged communities and ten percent to projects located within a disadvantaged community. SB 535 may assist applicants with defining disadvantaged communities and the many factors to consider.

Assembly Bill (AB) 1550 (Gomez, Statutes of 2016):

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

AB 1550 further refined the GGRF statutory requirements to invest in disadvantaged communities. AB 1550 provides definitions for low income households and low income communities that may also be considered in application development.

CalEnviroScreen Version 3.0:

<http://oehha.maps.arcgis.com/apps/View/index.html?appid=c3e4e4e1d115468390cf61d9db83efc4>

CalEnviroScreen is a screening methodology that can be used to help identify California communities that are disproportionately burdened by multiple sources of pollution.

The tools below provide additional criteria and indicators for climate vulnerability and community health disadvantage that CalEnviroScreen does not. The tools can help reduce health inequities and include:

California Health Disadvantage Index (HDI): <http://phasocal.org/ca-hdi/>

The Public Health Alliance developed an interactive composite index to identify cumulative health disadvantage in California. HDI includes diverse non-medical economic, social, political and environmental factors that influence physical and cognitive function, behavior and disease. Indicator data used for HDI comes from publicly available sources and is produced at a census tract level. The tool will soon be updated with a new map and additional indicators, and will be renamed the California Healthy Places Index (HPI).

CDPH Climate Change and Health Profile Reports (CHPRs):

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

The Climate Change and Health Profile Reports are designed to help counties in California prepare for the health impacts related to climate change through adaptation planning. The reports present projections for county and regional climate impacts, the climate-related health risks, and local populations that could be vulnerable to climate effects.

Grant Program Overview

The objective of the Adaptation Planning grant program is to support local and regional adaptation planning efforts on the transportation system. Applicants who have adaptation planning efforts underway as well as those who have not yet started adaptation work are encouraged to apply.

Grant Specific Objectives

Applicants must demonstrate how the proposed effort will accomplish the following:

- Demonstrate on-going collaboration and partnerships between sectors and jurisdictions, across levels of government at a regional scale
- Identification of co-benefits of adaptation work, such as benefits to public health, natural ecosystems, air quality, social equity, or the economy

Applicants should demonstrate how the proposed effort will accomplish one or more of the following:

- Identify system-wide climate change impact risks to multimodal transportation infrastructure in the project area
- Identify specific transportation infrastructure vulnerabilities¹ to climate change impacts
- Identify adaptation strategies and specific actions to remedy identified climate related vulnerabilities
- Advance the planning of specific climate adaptation projects, such as developing a cost estimate or conceptual design
- Include the evaluation and/or incorporation of natural and green infrastructure adaptation solutions
- Include economic analysis and/or cost-benefit analysis of identified adaptation strategy or strategies

Competitive applications should include one or more of the following:

- Identification of and benefit to disadvantaged communities, including transit-dependent populations² (when applicable)
- Identification of vulnerable populations and their mobility needs and demonstration of how the proposed project responds to these needs
- Demonstration of collaboration and partnerships with diverse external stakeholders such as businesses, non-governmental agencies, community-based organizations, and community residents

¹ Transportation infrastructure includes, but is not limited to, roads, railways, bikeways, trails, bridges, ports, and airports. Vulnerable transportation infrastructure is transportation infrastructure that is susceptible to the impacts of climate change (e.g. a pedestrian-use trail that cuts through a forested area that is expected to see increased fire risk due to climate change).

² Transit-dependent individuals are defined as individuals who are “too young, too old, cannot afford or do not have access to an automobile or rely on transit to reach their destinations” (*Westside Transportation Access Needs Assessment – Short and Long Term Improvements*, Papandreou, 2014).

Example Adaptation Planning Grant Project Types

Please consult with Caltrans District staff with questions on appropriate project types. Some examples of eligible project types include:

- **Climate vulnerability assessments**
- **Extreme weather event evacuation planning**, which may include, but is not limited to, identifying communities and individuals with inadequate access to transportation as a result of long-term climactic changes or extreme climate-related events
- **Resilience planning**
- **Transportation infrastructure adaptation plans**
- **Natural and green infrastructure planning** (e.g. wetlands restoration along transportation corridors to protect transportation infrastructure from flooding and storm impacts)
- **Integration of transportation adaptation planning considerations into existing plans**, such as a climate mitigation or adaptation plan, Local Coastal Program (LCP), Local Hazard Mitigation Plan (LHMP), General Plan (including meeting Senate Bill 379 requirements), or other related planning efforts
- **Evaluation of or planning for other adaptation strategies**, such as:
 - Survey to determine number and location of transit dependent residents
 - Roadway warning systems for extreme weather events
 - Providing transit shelters with shade, water, or other means of cooling in locations expected to see temperature increases
 - Increasing transportation options in evacuation corridors
 - Planning for distributed energy and storage to provide decentralized energy system for safeguarding against loss of power and impacts to electric vehicles due to climate-related grid disruptions

Eligible Activities and Expenses

Please consult with Caltrans District staff for more information on whether costs are eligible for funding. Some examples of eligible costs include:

- Staff time
- Consultant time
- Conceptual drawings and design
- Data and geospatial analysis
- Community surveys, meetings, charrettes, focus groups
- Bilingual services for interpreting and/or translation services for meetings
- Community/stakeholder advisory groups

Ineligible Activities and Expenses

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

- Advanced design, engineering, or construction work
- Projects without a transportation nexus
- Project Initiation Documents (PIDs)
- Environmental studies, plans, or documents normally required for project development under the National Environmental Policy Act or the California Environmental Quality Act
- Engineering plans and design specification work

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- Regional Transportation Plans (RTP) or updates to the RTP, excluding SCS development
 - Construction projects, capital costs, such as the building of a facility, or maintenance
 - Purchasing of office furniture, or other capital expenditures
 - Decorations, e.g., for public workshop events
 - Acquisition of vehicles or shuttle programs
 - Organizational membership fees
 - Unreasonable incentives such as prizes for public participation
 - Charges passed on to sub-recipient for oversight of awarded grant funds
 - Other items unrelated to the project

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Tools and Resources

It is not required that applicants consult the tools and resources below; however, this information is included to provide applicants with existing data sources and support applicants who may want to delve deeper into certain topics. Notable climate adaptation tools and resources include:

CalAdapt: <http://cal-adapt.org/>

California Adaptation Planning Guide

<http://resources.ca.gov/climate/safeguarding/local-action/>

Safeguarding California – California’s Climate Adaptation Strategy (under development)

<http://resources.ca.gov/climate/safeguarding/>

Vibrant Communities and Landscapes

<https://www.arb.ca.gov/cc/scopingplan/meetings/091316/vibrant%20communities.pdf>

General Plan Guidelines (under development)

https://www.opr.ca.gov/s_generalplanguidelines.php

Caltrans Vulnerability Assessments (under development)

http://www.dot.ca.gov/hq/tpp/offices/orip/climate_change/projects_and_studies.shtml

Addressing Climate Change Adaptation in Regional Transportation Plans:

http://www.dot.ca.gov/hq/tpp/offices/orip/climate_change/documents/FR3_CA_Climate_Change_Adaptation_Guide_2013-02-26_.pdf

Ocean Protection Council Sea-Level Rise Guidelines: <http://www.opc.ca.gov/2013/04/update-to-the-sea-level-rise-guidance-document/>. The State of California is in the process of updating the State Sea-Level Rise Guidance Document. Until the new guidance is released, please refer to the 2013 update.

California Coastal Commission Sea Level Rise Policy Guidance

https://documents.coastal.ca.gov/assets/slr/guidance/August2015/0_Full_Adopted_Sea_Level_Rise_Policy_Guidance.pdf

Cal-Fire

<http://calfire.ca.gov/index>

California Department of Conservation – Landslide Hazards

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

General Information and Requirements

This section provides a brief overview of the grant application review process, financial, contracting, subcontracting, and legal requirements pertaining to the grant program. The content of this section should be notably considered in the development of grant applications as it lays the foundation for what to expect when applying for these grant funds. Upon award, grantees will receive more specific guidelines including administrative and reporting requirements.

Application Review Process & Evaluation Considerations

Review Process

All applications submitted to the Adaptation Planning Grant Program go through multiple levels of review including reviews by Caltrans District and HQ staff, and State interagency review committees. District staff reviews all applications for content, submission of proper documentation, and overall relationship to regional and local planning efforts. The District rates each application and provides comments to inform the State interagency review committee. The grant review committees evaluate applications for content, completeness, meeting technical requirements, overall relationship to statewide planning efforts, and compliance with state and federal planning requirements. Grant applications that address every aspect of the grant specific objective will score higher overall. Once the grant review committees evaluate, rank, and select the best applications for grant funding, final recommendations are presented to Caltrans management for approval.

Award Terms

Caltrans is committed to being an active partner. If awarded a grant, the applicant should include Caltrans District staff when planning both technical advisory and community meetings. In addition, Caltrans District staff will help to ensure that the approved Scope of Work, Project Timeline, and project funding will be maintained throughout the life of the contract. Applicants are also recommended to engage Caltrans District Staff throughout the entire grant life, when applicable.

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

Contracting with Caltrans & Project Timelines

Project Start Dates

All awarded grant funds must be programmed during the State's 2017-2018 Fiscal Year. The project start date depends on the method of contracting with Caltrans. For MPOs and RTPAs with a current Master Fund Transfer Agreement (MFTA), work may begin as early as January 2018. For awarded grantees that do not have a current MFTA with Office of Regional Planning (i.e. cities, counties, transit agencies, Tribal Governments), Caltrans will contract directly with the primary grant recipients through the Restricted Grant Agreement (RGA) process. For grant recipients that undergo the RGA contracting process, work may begin as early as April 2018, assuming the grantee has received a fully executed contract and has been notified by Caltrans District Staff to begin work. It is important for applicants to reflect the estimated project start date in the Scope of Work and Project Timeline. Project Timeline constraints for both methods of contracting with Caltrans are provided below. Awardees are required to submit all supporting materials and a signed agreement or risk forfeiting the grant award.