

Clean California Local Grant Program

Program Guidelines (DRAFT)

Contents

Clean California Local Grant Program Overview	2
Background	2
Budget	3
Goals.....	3
Schedule	3
Eligibility	4
Eligible Applicants	4
Eligible Project Types.....	4
Example Projects.....	4
Eligible Project Area	4
Eligible Activities and Expenses.....	5
Ineligible Activities and Expenses	5
Selection Criteria.....	6
Underserved or Historically Excluded Communities.....	6
Other Selection Considerations	8
Local Match Requirement	8
Severity of Disadvantage	8
Local Match Sources	10
Payment Process.....	10
Advance Payment Process.....	11
Conditions.....	11
Additional Conditions.....	12
Advance Payment Requests:.....	13
Project Application Process	14
Conflict of Interest	15
Scoring Criteria	15
Narrative	16

Maintenance Plan.....	17
Project's Population Benefit and Benefit to Underserved Communities.....	17
Needs Assessment	17
Estimated Performance	17
Scope, Cost and Schedule.....	17
Project Award Process.....	18
Grant Project Administrative Requirements.....	18
Sub-contracts	18
Financial Requirements	18
Accounting Requirements.....	18
Audits and Investigations	19
Reporting.....	19
Project Photos.....	19
Project Amendments	20
Program Evaluation	20
Guidelines Disclaimer	20
Appendix A.1. Calculate Your Project's Population Benefit (and Benefit to Underserved Communities)	20
Appendix A.2. Demonstration Notes on How to Calculate your Project's Population Benefit (and Benefit to Underserved Communities)	24
Appendix B. Sample Needs Assessment and Estimated Performance Scoring Sheet	27

Clean California Local Grant Program Overview

Background

The Clean California Local Grant Program (CCLGP) is a competitive statewide program created to beautify and clean up local streets and roads, tribal lands, parks, pathways, transit centers, and other public spaces. Assembly Bill 149 (Sec.16) created the CCLGP of 2021 and was codified under Streets and Highway Code §91.41 et al. The Program is one part of the nearly \$1.1 billion Clean California initiative that takes direct aim at the continuous trash generation that has overwhelmed California Department of Transportation (Caltrans) and its partners. Significant investments in time and resources are needed to collect, recycle, and dispose of litter and hazardous waste.

These guidelines describe the policies, criteria, and procedures for the development, adoption, and management of the CCLGP. The guidelines were developed in consultation with representatives from Caltrans and through public workshops that included participation from local government agencies, transit agencies, and tribal governments, among other stakeholders.

Budget

The budget from the General Fund is approximately \$296 million, for projects that will be completed and open to the public, with all funds expended, by June 30, 2024.

Each grant shall not exceed five million dollars (\$5,000,000). There is no minimum award.

Goals

Pursuant to statute, the intent of the CCLGP is to achieve the following goals:

- Reduce the amount of waste and debris within public rights -of -way, pathways, parks, transit centers, and other public spaces.
- Enhance, rehabilitate, restore, or install measures to beautify and improve public spaces and mitigate the urban heat island effect.
- Enhance public health, cultural connections, and community placemaking by improving public spaces for walking and recreation.
- Advance equity for underserved communities.

Schedule

The following schedule lists the major milestones for the CCLGP:

Milestone	Date
Public Workshop #1	September 1, 2021
Public Workshop #2	October 7, 2021
Call for Projects	December 1, 2021**
Project Application Deadline	February 1, 2022**
Project Award Notification	March 1, 2022**
Date by when projects must be complete, open to the public and all funds expended.	June 30, 2024**
Date by when final invoicing and project closeout must be complete.	December 31, 2024**

*Visit <https://cleancalifornia.dot.ca.gov/local-grants> for the most up-to-date information.
**Schedule is still being finalized and is subject to change. Stakeholders will be notified of any changes to the schedule.

Eligibility

Eligible Applicants

The applicant must be a local or regional public agency, transit agency, or [federally recognized tribal government](#). Nonprofit organizations may be sub-applicants and are encouraged to partner with eligible applicants.

Eligible Project Types

Eligible projects meet the goals of the CCLGP and may include, but not be limited to:

- Community litter abatement and beautification projects
- Community litter abatement events and/or educational programs

Example Projects

- Beautification and placemaking of existing public spaces, including but not limited to:
 - Community park space/public space
 - Transit centers
 - Park-and-ride facilities
 - Viaducts, underpasses, or pedestrian overpasses
- Educational campaigns or community events about litter abatement, proper waste disposal or how to get involved with doing sanctioned artwork in a community
- A combination of project types, including beautification and educational projects

Eligible Project Area

The location of the projects within the CCLGP are determined by the applicant. It is recommended that projects are accessible through the multimodal transportation network. For instance, projects located on local streets and roads, tribal lands, parks, pathways, transit centers, and other public spaces are encouraged.

Projects that encroach on Caltrans right of way are allowed, however the applicant must demonstrate that all necessary right of way clearances, encroachment permits, and other permits can be obtained, and the project completed by June 30, 2024. For more information on Caltrans Encroachment Permits, including contact information for local District Encroachment Permit Offices, see <https://dot.ca.gov/programs/traffic-operations/ep>.

Alternatively, if an applicant is interested in pursuing a project on Caltrans right of way, Caltrans encourages these entities to partner with Caltrans on these

projects, to avoid the encroachment permit and CCLGP application processes. To learn more about partnering with Caltrans on a project on the State Highway System, reach out to your Clean California District Coordinator.

Eligible Activities and Expenses

Eligible activities must meet CCLGP goals. Examples of eligible features within the project area include:

- Enhanced paving to address the needs of the space, using permeable pavements where possible
- Pavement alternatives, such as wood chips
- Inert material, such as rubberized pavement
- Shade structures
- Shade trees or drought-tolerant plantings
- Irrigation systems
- Bioretention, swales, and other green street elements
- Architectural fencing
- Art installations, including community identification or cultural elements
- Human-scale, energy-conserving lighting
- Walking and/or biking facilities through the space
- Wayfinding signage
- Amenities (e.g., signage, bins, etc.) related to proper waste collection or prevention
- Seating and play equipment
- Public bathrooms and water fountains
- Travel Expenses: Grantees may be eligible to claim travel expenses if they have been approved in the Scope, Cost, and Schedule. Travel expenses and per diem rates are not to exceed the rate specified by the State of California Department of Personnel Administration for similar employees (i.e. non-represented employees). For more information on eligible travel expenses, visit the [Caltrans Travel Guide Website](#).

Ineligible Activities and Expenses

Some activities or project components 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:

- Displacing people experiencing homelessness.

- Acquisition of rights-of-way or land with the funds awarded by Caltrans. (Land acquisition can count towards the local match, however).
- Work performed prior to the execution of the grant agreement.
- Acquisition of vehicles or shuttle programs.
- Other items unrelated to the project or CCLGP goals.
- Full meals for volunteers or participants at educational or marketing events. However, light snacks and beverages at these events are reimbursable, subject to Caltrans approval.

Selection Criteria

Selection criteria focuses on demonstrated benefits and needs including, but not limited to:

- Clearly demonstrated needs that address the goals of the program.
- Identification of the population benefit, including to those underserved ([see Appendix A](#)).
- Demonstrated enhancement and beautification of a public space(s).
- Enhanced greening to provide shade, reduce the urban heat island effect, and use native, drought-tolerant plants.
- Abatement of litter and debris to improve access and use of public space(s).
- Public engagement in the project proposal that reflects community priorities and are consistent with local or regional plans such as General Plans, Improvement Plans, bicycle and/or pedestrian plans, and complete street plans, as well as the public outreach that may have already taken place during the preparation of such plans.
- Benefit to [underserved communities](#). An eligible project shall clearly demonstrate a benefit to an underserved community or be directly located in an underserved community. The application must identify the percentage of the project work and project budget that benefits an underserved community.
- Project deliverability, in which projects are open to public and/or all funds are expended by June 30, 2024.

Underserved or Historically Excluded Communities

No less than 50 percent of the CCLGP funds are to fund projects that benefit underserved communities wholly or in part. An eligible project shall clearly demonstrate a benefit to an underserved community or be directly located in an underserved community.

The definition for these communities may include disadvantaged communities and low-income communities, as defined in Sections 39711 and 39713 of the California Health and Safety Code, or another metric with verifiable information that identifies an historically excluded, disadvantaged, or underserved community. To qualify, the community served by the project must meet at least one of the following criteria:

- **Area Median Income:** is less than 80% of the statewide median based on the most current Census Tract level data from the 2019 American Community Survey 5-Year Estimates (<\$60,188). Communities with a population less than 15,000 may use data at the Census Block Group level. Unincorporated communities may use data at the Census Place level. Data is available at the [United States Census Bureau Website](#).
- **CalEnviroScreen:** An area identified as among the most disadvantaged 25% in the state according to the CalEPA and based on the California Communities Environmental Health Screening Tool 3.0 (CalEnviroScreen 3.0) scores (score must be greater than or equal to 39.34). The mapping tool can be found [here](#) and the list can be found under "[SB 535 List of Disadvantaged Communities](#)."
- **National School Lunch Program:** At least 75% of public-school students in the project area are eligible to receive free or reduced-price meals under the National School Lunch Program. Data is available at the [California Department of Education website](#). Applicants using this measure must indicate how the project benefits the school students in the project area. Project must be located within two miles of the school(s) represented by this criterion.
- **Healthy Places Index:** The Healthy Places Index includes a composite score for each census tract in the State. The higher the score, the healthier the community conditions, based on 25 community characteristics. The scores are then converted to a percentile to compare a census tract to other tracts in the State. A census tract must be in the 25th percentile or less to qualify as a disadvantaged community. The live map and the direct data can both be found on the [California Healthy Places Index website](#).
- **Native American Tribal Lands:** The project is located within or partially within Federally Recognized Tribal Lands (typically within the boundaries of a Reservation or Rancheria), lands owned by or held in trust for an Indian tribe, allotted lands, and/or sensitive tribal areas (which might include areas in which a Native American Tribe has a significant interest, such as traditional cultural properties and sacred sites).
- **Other:** If the project will benefit a disadvantaged community, but the project does not meet any of the criteria above, other means of

qualifying for consideration may be allowed. Suggested alternative assessment methods that can be submitted under this category include:

- Census data that represents a small neighborhood or unincorporated area. Submit a quantitative assessment, such as a survey, to demonstrate that the community's median household income is at or below 80% of the state median household income.
- CalEnviroScreen data that represents a small neighborhood or unincorporated area. Submit an assessment to demonstrate that the community's CalEnviroScreen score is at or above 39.34.
- A Regional Definition such as "environmental justice communities" or "communities of concern," which must document a robust public outreach process that includes the input of community stakeholders and be stratified based on severity. A regional definition of disadvantaged communities must be adopted as part of a regular 4-year cycle adoption of a Regional Transportation Plan (RTP) / Sustainable Communities Strategy (SCS) by an MPO or RTPA per obligations with Title VI of the Federal Civil Rights Act of 1964. A regional definition of disadvantaged communities should be used for the region's broader planning purposes.

Other Selection Considerations

The state may consider additional factors in its selection decisions, such as the geographic distribution of grantees. If the scoring methodology results in a tie, the State may consider additional factors including, but not limited to, previous grant performance, [quality of the required maintenance plan](#), and willingness to accept partial funding.

Local Match Requirement

The local match component will range from 0% to 50% of the total project costs and will be based on the capacity of the community to leverage local capital. Depending on the applicant's severity of disadvantage, a grant may not require a local match.

Applicants will be held responsible for any local commitments at or above their minimum local match requirement as part of their grant agreement with Caltrans.

Severity of Disadvantage

To determine the required match amount, the applicant must identify its severity of disadvantage using the thresholds provided in Table 2:

Table 2. Severity of Disadvantage Thresholds for Determining Local Match		
<i>Local Match Required of Total Project Costs (%)</i>	<i>Threshold Criteria</i>	<i>Threshold (if applicable)</i>
Area Median Income (AMI) compared Statewide Median Income (SMI)*		
50	Greater than or equal to 80% of the SMI	Greater than \$60,188
37.5	75% through <80% of SMI	\$56,426.25 through \$60,188
25	70% through <75% of SMI	\$52,664.50 through \$56,426.25
12.5	65% through <70% of SMI	\$48,902.75 through \$52,664.50
0	<65% of SMI	Less than \$48,902.75
CalEnviroScreen v3.0		
50	Above 25% most disadvantaged	Less than 39.34
37.5	20% through 25% most disadvantaged	39.34 through 42.86
25	15% through <20% most disadvantaged	42.87 through 46.63
12.5	10% through <15% most disadvantaged	46.64 through 51.18
0	<10% most disadvantaged	51.19 through 94.09
Free or Reduced Lunches		
50	Less than 75% of students receive free or reduced lunches	Not applicable (N/A)
37.5	≥ 75% through 80% of students receive free or reduced lunches	
25	>80% through 85% of students receive free or reduced lunches	
12.5	>85% through 90% of students receive free or reduced lunches	
0	>90% of students receive free or reduced lunches	
Healthy Places Index Score**		
50	Healthy Places Index Score above 25 Percentile	N/A
37.5	Healthy Places Index Score 20 through <25 Percentile	
25	Healthy Places Index Score 15 through <20 Percentile	
12.5	Healthy Places Index Score 10 through <15 Percentile	
0	Healthy Places Index Score <10 Percentile	
Tribal communities: applicable only for Federally Recognized Tribal Governments or Projects where a Tribal community is a sub-applicant		
0	The project applicant or sub-applicant is a Federally Recognized Tribal Government or the project area is located within (or partially within) Federally Recognized Tribal Lands (typically within the boundaries of a Reservation or Rancheria), lands owned by or held in trust for an Indian tribe, allotted lands, and/or sensitive tribal areas (which might include areas in which a Native American Tribe has a significant interest such as traditional cultural properties and sacred sites).	N/A
<p>*Statewide median income is based on the most current Census Tract level data from the 2019 American Community Survey 5-year estimates (where 80% of SMI = <\$60,188). Communities with a population less than 15,000 may use data at the Census Block Group level. Unincorporated communities may use data at the Census Place level.</p> <p>**The only Healthy Places Index Score that should be considered is the overall HPI Score.</p>		

Local Match Sources

The local match can be all cash, all third-party in-kind contributions, or a combination of the two:

- Cash Match
 - Revenue sources for local cash match can include local sales tax, special bond measures, private donations, or private foundation contributions, among other sources.
 - Staff time from the primary applicant can be counted as cash match. However, staff time charged to a specific project that has already been funded and/or reimbursed cannot be used to meet the match requirement for a Clean CA project.
- Third-Party In-Kind Match
 - Third party in-kind contributions are typically goods and services donated from outside the primary applicant's agency. If third party in-kind contributions are used to satisfy the local match requirements, they must be itemized in the application.
 - Land acquisition to support the project area (note: Caltrans-awarded funds cannot be used for land acquisition).
 - Examples of Third-Party In-Kind contributions are the value of donated:
 - Plants/trees
 - Art resources (e.g., materials, labor, supplies)
 - Equipment and materials
 - Maintenance that occurs prior to June 30, 2024.
 - Volunteered time from stakeholders
 - Other goods and services
 - Applications must include a letter of commitment from each third-party contributor detailing what services are included with the match and a commitment to reaching the project delivery date of June 30, 2024.

Payment Process

For an item to be eligible for payment, the primary use or function of that item must meet the goals of the program and be consistent with the approved grant scope and budget. Payments can be made either by reimbursement or advanced payment.

The CCLGP is primarily a reimbursement program for eligible costs incurred. An implementing agency may begin incurring eligible costs upon execution of a grant agreement with Caltrans. Please request reimbursement through the invoice process detailed in the [Local Assistance Procedures Manual, Chapter 5, Invoicing](#).

Applicants may request advanced payment at the time of application. Requests must be included in the project application and include a justification to support the request, as detailed in the [Advance Payment Process](#) section.

Caltrans can provide funding directly to federally recognized Tribal governments, but only if a Tribal government is willing to grant a limited waiver of sovereign immunity for the purposes of their CCLGP project and for the duration of the project. As an alternative to waiving sovereign immunity, Tribal governments may consider applying as a sub-applicant through partnership with a public agency or transit agency.

Advance Payment Process

As described in State statute, Caltrans may authorize advance payments necessary for projects funded by this grant. This is consistent with the Legislature's direction to expeditiously award and disburse grants. Specifically, the Department, in its sole discretion, may provide advance payments of grant awards in a timely manner to support program initiation and implementation, with a focus on mitigating the constraints of modest reserves and potential cash flow problems. In considering whether to apply for an advanced payment, the applicant acknowledges that the Advance Payment guidelines contained herein are solely for the purposes of the 2021 Clean CA Local Grant Program (CCLGP).

Conditions

Recognizing that appropriate safeguards are needed to ensure grant moneys are used responsibly, the Legislature has outlined the grant conditions described below to establish control procedures for advance payments. Accordingly, the Department may provide advance payments to grantees of the CCLGP only if the Department determines, pursuant to [SHC Section 91.41\(e\)](#), that all the following conditions are met:

- a. The grant applicant for an advance payment is a public agency.
- b. The grant applicant requests an advance payment in its initial grant application.
- c. The project or project component for which the advance payment is requested is well defined and can be delivered by an agreed upon date.
- d. The grant applicant has a record of good financial management and has not been sanctioned by any state or federal agency.

- e. Upon request of the department, the grant applicant offers sufficient capital, as determined by the department, as security for an advance payment.
- f. Upon request of the department, the grant applicant provides a finding approved by its governing body that demonstrates a financial need for an advance payment pursuant to the program to deliver the project.

Additional Conditions

In evaluating a grantee's request for advance payment, the Department has established the following additional conditions of award.

Advance Payment Amounts

A grantee may request one advance payment equal to the anticipated project cost for the first four months of the project, as described in the project schedule, budget, and spending plan. The advance payment may not exceed 30% of the grant award or \$1,000,000, whichever is smaller.

General Conditions

- a. The advance payment is necessary immediately to meet the purposes of the grant project.
- b. Only one advance payment, at the beginning of the project, will be awarded.
- c. The use of the advance funds is adequately regulated by project budgetary controls.
- d. The grantee provides a finding approved by its governing body that demonstrates the financial need for an advance payment.
- e. The grantee has no outstanding financial audit findings related to any of the moneys eligible for advance payment and is in good standing with the Franchise Tax Board and Internal Revenue Service.
- f. The grantee agrees to revert all unused moneys to the Department if they are not expended within the timeline specified in the grant agreement.
- g. The grantee assumes legal and financial risk of the advance payment.
- h. In the event of the nonperformance of the grantee, the Department shall require full recovery of all disbursed moneys. A grantee shall provide a money transfer confirmation within 45 days upon the receipt of a notice from the Department.

Fiscal Administration

- a. The grantee shall indicate its request for advance payment on the initial application. A spending plan will be submitted with the application.

1. The spending plan shall include project schedules, timelines, milestones, and the grantee's fund balance for all state grant programs applied to the project.
 2. The grantee will report to the Department any material changes to the spending plan within 30 days.
- b. The grantee shall submit an updated spending plan along with an Advance Payment Invoice to the Department for review prior to receiving the advance payment. *(Note: A template for this invoice will be included in the final guidelines.)*
 - c. The grantee shall submit requests for reimbursement packages **monthly**, commencing at the conclusion of the first full calendar month of project implementation. Reimbursement packages shall include supporting documentation for all expenditures including, but not limited to, receipts, invoices, and timesheets.
 - d. The Advance Payment will be closed out at the end of the project, with final reimbursement packages satisfying all advanced funds. Any funds not accounted for shall be returned to the Department.
 - e. The grantee shall place funds advanced under this section in an interest-bearing account. The grantee shall track interest accrued on the advance payment. Interest earned on the advance payment shall be used for eligible grant-related expenses as outlined in [Eligible Activities and Expenses](#), or returned to the Department.
 - f. The grantee shall report to the Department the value of any unused balance of the advance payment and interest earned, and submit quarterly fiscal accounting reports consistent with the provisions in the CCLGP Grant Agreement.
 - g. The grantee shall remit to the Department any unused portion of the advance payment and interest earned at project close-out.

Advance Payment Requests:

- a. The Department will advance one payment from the total grant award after the grantee submits the following to the Department:
 - i. A fully executed Grant Agreement; and
 - ii. Advance Payment Invoice (To be provided by the Department).
 - iii. Updated Spending Plan that includes project schedules, timelines, milestones, and the grantee's fund balance for all fund sources applied to the project.
- b. The grantee must email the completed Advance Payment Invoice and Spending Plan to the Department Grant Coordinator. The invoice shall include the secured digital signature of a person legally authorized to sign.

- c. Advance grant payments are subject to the Department's approval of the Advance Payment Invoice and Spending Plan.
- d. Quarterly reports must substantiate grant costs incurred as discussed in the [Reporting](#) section for which Advance Payment was utilized.

Project Application Process

1. Applications, including the supporting documentation, are submitted Online. *More detailed submittal instructions will be added in the final guidelines.*
 - a. Access to the application and other required templates are available on the CCLGP website. *A direct link will be added to the final guidelines here.*
 - b. No hardcopy applications will be accepted.
2. Project Proposals are reviewed and evaluated:
 - a. Caltrans grant program staff, with district representation, conducts a review of all applications for eligibility, submission of proper documentation, deliverability, and demonstrated benefits and goals of the grant program.
 - b. Incomplete or ineligible applications may be removed from the competitive process.
 - c. Subject matter experts from Caltrans HQ then score the applications using a standardized approach. The specific standardized scoring methodology is described in the [scoring criteria section](#).
 - d. Caltrans HQ grant program staff then verifies the scores and provides the award recommendations list, to be approved by Caltrans management.
 - e. Award recommendations are submitted to the California Secretary of Transportation for concurrence.
3. Awarded projects are announced.

All information contained in the application and supporting documentation are confidential until grant awards are announced.

The State reserves the right to reject an applicant who is in violation of law or policy at any other public agency. Potential violations include, but are not limited to, being in default of performance requirements in other contracts or grant agreements issued by the State, being engaged in or suspected of criminal conduct that could poorly reflect on or bring discredit to the State, or failing to have all required licenses necessary to carry out the project. The State

further reserves the right to reject any applicant who has a history of performance issues with past grants or other past contractual agreements with any public entity.

Conflict of Interest

All applicants and individuals who participate in the review of submitted applications are subject to state and federal conflict of interest laws. Any individual who has participated in planning or setting priorities for a specific solicitation over and above the public comment process, or who will participate in any part of the grant development and negotiation process on behalf of the public, is ineligible to receive funds or personally benefit from funds through that solicitation. Failure to comply with conflict of interest laws, including business and financial disclosure provisions, will result in the application being rejected and any subsequent grant agreement declared void. Other legal actions may also be taken. Applicable statutes include, but are not limited to, California Government Code section 1090 and Public Contract Code sections 10365.5, 10410, and 10411.

Scoring Criteria

Applications will be scored using an index score, as explained in Table 3 and in the following sub-sections of this document. The scoring methodology is designed to support performance of the grant objectives and encourages context-sensitive proposals. The scoring is designed to prioritize quality of transformation over quantity of space transformed. For communities that may not have a lot of public space, but can still benefit from a transformative project, their application would be competitive under this scoring methodology. If the index score in Table 3 results in ties, [additional funding considerations](#) will factor into the reconciliation of ties.

Scored Component	Possible Score (points)	Weight (percent of overall score)
Narrative (Qualitative) Maintenance Plan*	20	10
Project's Population Benefit (Quantitative)	25	12.5
Project's Benefit to Underserved Communities (Quantitative)	35	17.5
Needs Assessment (Quantitative)	50	25
Estimated Performance (Quantitative)	40	20
Scope, Cost, Schedule (Qualitative)	30	15
Sum	200	100
*Application must include a quality maintenance plan to be evaluated.		

Narrative

The narrative portion of the application will assess how well the application meets the statutory requirements and program guidelines.

The narrative component will be scored by a committee of subject matter experts that will review the narrative section using a scoring rubric, awarding up to 20 points for this component. For this action, a rubric will be developed to standardize scoring based on grant criteria. The narrative portion will consist of the following subject areas:

- Clear demonstration of needs that address the goals of the program.
- A detailed scope, schedule, and budget that identifies any sub-applicants or third-party work/contributions.
- Identification of the population benefit, including to those underserved ([see Appendix A](#)).
- Demonstrated enhancement and beautification of a public space(s), such as:
 - Enhanced greening to provide shade, reduce the urban heat island effect, and use native drought-tolerant plants.
 - Abatement of litter and debris to improve access to use of public space(s).
- Public engagement in the project proposal that reflects community priorities and is consistent with local or regional plans such as General Plans, Improvement Plans, bicycle and/or pedestrian plans, complete street plans, and the public outreach that may have already taken place during the preparation of such plans.
- Benefit to [underserved communities](#). An eligible project shall clearly demonstrate a benefit to an underserved community or be directly located in an underserved community. The application must identify the percentage of the project work and project budget that benefits an underserved community.
- Project deliverability, in which projects are open to public and/or all funds are expended by June 30, 2024.
- Maintenance plan that describes anticipated lifespan of the proposed improvement, as well as the activities, needed resources, and commitment of those resources to maintain the improvement for its life.
- Acknowledgment that the project will not displace people experiencing homelessness. Per statute, CCLGP funds may not be used in any way to support the displacement of people experiencing homelessness.

Maintenance Plan

Applications must include a detailed maintenance plan that describes the anticipated lifespan of the proposed improvement, and the necessary activities, resources, and commitment of those resources to maintain the improvement for its life. The maintenance plan will be assessed as a part of the overall project narrative.

Project's Population Benefit and Benefit to Underserved Communities

The project's population benefit is worth 12.5 percent of the total application score, and the project's population benefit to underserved communities is worth 17.5 percent of the total application score. For guidance on how to calculate these two components, see [Appendix A.1](#). and [Appendix A.2](#). For guidance on how to define underserved communities, see the section "[Underserved or Historically Excluded Communities](#)".

An applicant's responses for these two components will each be evaluated on a curve among the pool of applicants, to receive the subtotal point score for each of these components.

Needs Assessment

The needs assessment component is worth 25 percent of the total application score. The needs assessment asks a series of questions about existing conditions related to the program objectives. The applicant should choose up to two metrics per grant objective to be scored on. See [Appendix B](#) for more information.

Estimated Performance

The estimated performance component is worth 20 percent of the total application score. The estimated performance asks a series of questions about the proposal related to the program objectives. The applicant should choose up to two metrics per grant objective to be scored on. See [Appendix B](#) for more information.

Scope, Cost and Schedule

The Scope, Cost, and Schedule component will be scored by a committee of subject matter experts that will review these submissions using a scoring rubric, awarding up to 30 points for this component. For this action, a rubric will be developed to standardize scoring based on how well the scope, cost, and schedule meet the grant criteria and maximize project benefits. The following includes specific attributes we will be looking for within the Scope, Cost, and Schedule component.

The scope must include detailed engineering and/or project plans, and/or an educational programming workplan. *Templates will be developed for the final guidelines.*

The application must include a schedule of when the various components of construction and/or educational programming will occur. *Templates will be developed for the final guidelines.* The application must propose to be open to the public and expend all funds by June 30, 2024.

The application must include a cost breakdown of all project components. Do not provide costs as lump sum expenses. *Templates will be developed for the final guidelines.*

Project Award Process

After evaluation is complete, a list of awarded projects will be posted to the Caltrans website. Successful grant applicants (now called grantees) will receive an award letter from Caltrans that outlines important next steps, such as executing the grant agreement, as well as program requirements the grantee must adhere to.

A grant agreement developed specifically for this program will be utilized for the distribution of funds. The agreement will specify, among other things, the amount of funds granted, local match funds required, timeline for expenditure of funds, delivery schedule, and the approved project scope. Reporting timeframes and other requirements will also be identified in the agreement. Once the agreement is executed, the grantee can begin work. *Note: more details about the Agreement will be added to these guidelines by the date of the second guidelines workshop.*

The CCLGP is limited to one cycle of funding. As a result, unsuccessful grant applicants will not receive a debrief.

Grant Project Administrative Requirements

Sub-contracts

If a grantee or a sub-grantee is going to hire a third-party to perform work during the project, proper procurement procedures should be used. Grantees may use their agency's procurement procedures if they comply with all applicable sections of the California Public Contract Code and Government Code and any other applicable code. In addition, work cannot be sub-contracted unless it has been stated in the applicant's Scope, Cost, and Schedule. A grantee is fully responsible for all work performed by its sub-recipients, consultants, or sub-consultants. Caltrans solely enters contracts directly with grantees.

Financial Requirements

Accounting Requirements

Grantees and sub-recipients are required to maintain an accounting system that properly records, and segregates, incurred project costs and matching funds by line item. The accounting system of the grantee, including its sub-applicants and subcontractors, must conform to Generally Accepted

Accounting Principles that enable the determination of incurred costs at interim points of completion. This accounting system must also provide support for reimbursement payment vouchers or invoices sent to or paid by Caltrans. Allowable project costs must comply with [2 Code of Federal Regulations \(CFR\), Part 200](#). It is the grantee's responsibility to monitor work and expenses to ensure the project is completed according to the contracted Scope, Cost, and Schedule.

The grantee agrees to revert all unused moneys to the Department if they are not expended within the timeline specified in the grant agreement. In the event of the nonperformance of the grantee, the Department shall require full recovery of all disbursed moneys.

Grantees must monitor work and costs to ensure invoices are submitted on a regular and timely basis (i.e., no more frequently than monthly and no less frequently than quarterly). Costs incurred prior to an executed agreement are not eligible for reimbursement. Grantees must communicate with their Clean California District Coordinators to ensure any issues are addressed early during the project period.

Audits and Investigations

Audits may be required. Therefore, all financial records related to the project must be retained for a minimum of 3 years.

Reporting

Upon execution of a CCLGP agreement, grantees must submit quarterly Project Progress Reports and a Final Delivery Report to Caltrans. The reports will be required to assess whether projects are meeting their scope and are being delivered on time and on budget.

Reporting will be conducted through an Online reporting system.

The State may make periodic visits to project sites, including a final inspection. The State will determine if the work is consistent with the approved project scope. Staff from the Division of Local Assistance within local Caltrans districts will be responsible for conducting and coordinating site visits with the awarded projects.

The final invoice will be paid upon submission and acceptance of the Final Delivery Report to Caltrans. Complete final delivery reports and invoices must be submitted to Caltrans no later than December 31, 2024.

Project Photos

A Before photo will be required with the application and an After photo will be required as part of the closeout reporting process. [Photo release forms](#) will be required.

Project Amendments

The CCLGP will not participate in cost increases to the project. Any cost increases must be funded from other fund sources. If there is a change in the project cost, it must be reported through the project report process.

Scope changes will not be considered unless the change is minor, does not reduce the project benefits and does not change the approved overall schedule. Scope changes must be requested in writing and submitted to the Caltrans HQ Division of Local Assistance, with a CC to the [District DLAE](#) to keep the Districts aware of scope changes.

Projects must be open to the public with all funds expended by June 30, 2024. Amendments for time are not permitted.

Program Evaluation

The CCLGP will be evaluated for its effectiveness in meeting the goals of the program. Applicants that receive funding for a project must collect and submit data to Caltrans as described in the [Reporting](#) section.

As part of the 2022–23 and 2023–24 California budgets, Caltrans shall report to the Legislature on the CCLGP of 2021, including, but not limited to, cubic yards of litter collected, the locations and types of projects, and any other important program outcomes. The report will include a discussion on the effectiveness of the program in terms of planned and achieved outcomes in litter abatement and beautification efforts, as well as timely use of funds. It will also include a summary of its activities relative to the administration of the Local Grant Program, including projects awarded, projects completed to date by project type, projects completed to date by geographic distribution, and projects completed to date by benefit to disadvantaged communities.

Guidelines Disclaimer

Caltrans may amend the program guidelines after conducting at least one public hearing. Caltrans will make a reasonable effort to amend the guidelines and communicate amendments prior to a call for projects. It may also extend the deadline for project submission to comply with the amended guidelines.

Appendix A.1. Calculate Your Project's Population Benefit (and Benefit to Underserved Communities)

Note: see [Appendix A.2.](#) to see demonstration notes, which provide all the answers below.

1. Does your application propose to improve a physical space?

	Check the box that is most applicable	
Yes	X	If yes, continue filling out this worksheet.
No		If no, skip to 2.c.

2. Calculate the population benefit of your project through the steps outlined in this worksheet

[Project population benefit = Reach x Dose]

Total Population Benefit				
Your answer:	411,240	359,040	N/A	52,200
	Total Population Benefit	No. of underserved people who benefit by dose	No. of others who benefits by dose	(No. of people reached by campaign by dose) + (no. of people reached by an event by dose)

2.a Calculating number of underserved people who benefit

[no. of underserved people who benefit = (the sum of the population of all the underserved census tracks¹ within a quarter mile² of the project site(s)) + (Combined total of average daily ridership of transit routes that stop within ½ mile of the project site(s))]

Total reach of underserved population benefit			
Your answer ^{3*} :	14,690	13,690	1,000
	No. of underserved people who benefit	No. of underserved people within ¼ mi	Combined total of average daily ridership of transit routes that stop within ½ mile of the project site(s)

2.b Calculating number of others who benefit

[no. of others who benefit = ((the sum of the population of all census tracks within a quarter mile of the project site(s)) minus the sum of the population of all the underserved census tracks within a quarter mile of the project site(s))]

Total reach of others who benefit	
Your answer:	0
No. of others who benefit	No. of people within ¼ ¹ mi
1. minus the No. of underserved people within ¼ mi	

¹ See Guidelines section on "[Underserved or Historically Excluded Communities](#)" for guidance on what is defined as an underserved census track.

² ¼ mi = "within walking distance"

³ *This question is required for legislative reporting purposes.

2.c Total reach of non-infrastructure portions of project

Optional: If your application proposes educational campaigns or events about litter abatement, proper waste disposal or how to do sanctioned artwork (as opposed to vandalism), in addition to improving a physical space(s), please calculate the reach for that component here:

[No. of people reached by campaign or event = (number of people reached by an educational campaign)⁴ + (number of people who will attend an event)]

Total reach of non-infrastructure portions of project		
Your answer:	1,000	200
	No. of people reached by a campaign	No. of people reached by an event

2.d. Factoring in Dose

Dose factors by which you will multiply reach components			
Your answer:	24	52	1
	No. of hours per day the project site will be accessible to the public under improved conditions ¹	No. of campaigns	No. of events
1. If you have more than one project site and their hours differ, use the average number of hours here.			

⁴ This could be based on the size of a media market (of a radio, tv station, website or newspaper you would use to communicate), or the size of the market you can reach on social media for a given amount of money (response in people, not dollars), or classroom size, for example.

Appendix A.2. Demonstration Notes on How to Calculate your Project's Population Benefit (and Benefit to Underserved Communities)

Note: this appendix item should be used to complete [Appendix A.1.](#)

Demo

Project Summary

The sample project proposes improving the parkland at the Greenside Park in the City of Eureka, CA (M St & 12th St, Eureka, CA 95501) with beautification upgrades and litter abatement. In addition to physical improvements, the project proposes to launch a litter abatement campaign on social media that will reach 1,000/week for 52 weeks in total and will host a ribbon cutting event/litter abatement event with 200 people invited. I have filled this worksheet out as the applicant for the purposes of showing how this would be accomplished and the results you might see from this.

Demonstration Notes

1. Consult CCLGP guidelines on how to define an [underserved community](#).
2. Determine whether your project site(s) are within an underserved census tract and the number of underserved census tracts it is within walking distance to (1/4 mile or less).
 - a. Is the median income of Humboldt County less than 80% of the statewide median income? Yes, it is. The Median household income of Humboldt County, CA is \$51,662, which is less than 80% of the statewide median income, meaning the project site is within an underserved community per the CCLGP guidelines.
 - i. This census tract (6023000500, or census tract 5 in ACS) is also considered a low-income community (Low-income definitions per Assembly Bill [\(AB\) 1550](#) (Gomez, Chapter 369, Statutes of 2016))
 1. It is also within walking distance of two additional low-income census tracts:
 - a. 6023000600 (or Census tract 6, ACS)
 - b. 6023000100 (or Census tract 1, ACS)
 - ii. This census tract is also considered an underserved community based on its Healthy Places Index (HPI) overall Score that is in the 8.7 percentile.
 - iii. This census tract is not considered underserved by its CalEnviroScreen 3.0 ranking but is within walking distance (1/4 mi or less) to census tract 6023000100 (or Census tract 1, ACS),

which is considered underserved based on its CalEnviroScreen score.

- b. What is the population of the underserved census tract(s) that the project site(s) are within and within walking distance to? *(Note: This question tells us the number of underserved people who directly benefit from this project.)*
 - i. 13,690, as detailed in Table 1.
- 3. Are there any other census tracts within walking distance from the project site? If yes, what is the population of them? *(Note: this question allows us to understand the full number of people who benefit directly from the project if you add it to the answer of 2b.)*
 - a. No, there are only two census tracts within walking distance of the project's sites, and they are the underserved census tracts we've already calculated.

<i>Location Relative to Project Site(s)</i>	<i>Census Tract Name (ACS, 2019)</i>	<i>Population (no. of people)</i>	<i>Population Benefit</i>	<i>Underserved Population Benefit</i>
The project site	Census Tract 5 (the location of the project)	4,450	4,450	4,450
Within walking distance	Tract 6	4,998	4,998	4,998
Within walking distance	Tract 1	4,242	4,242	4,242

- 4. Is the project site accessible by transit? *(draw half mile buffer around project site(s) and identify if there are transit stops within the buffer)*
 - a. Yes, there are some transit stops within the ½ mile buffer.
- 5. What is the average daily ridership of the transit that stops within the ½ mile buffer?
 - a. There are two routes that stop within the ½ mi buffer at least once each, and the average daily ridership for each route is 500 people, as detailed in Table 2. The total indirect, underserved population benefit is therefore 1,000 people.

Table 2. Indirect Benefit Population (counts towards underserved and overall population benefit)	
<i>Transit routes that have stops within ½ mile of project site(s)</i>	<i>Average daily ridership of routes that serve each stop*</i>
Redwood Transit System	500
Southern Humboldt Intercity Route	500
<i>*These are made-up numbers for the purposes of the demo. For accurate average daily ridership numbers, please use verifiable data sourced from the transit provider.</i>	

6. Calculate the total of direct and indirect population reach
 - a. (Direct population benefit = 13,960)+ (indirect population benefit = 1,000) = 14,960
7. How many hours per day is the project site accessible to the public under improved conditions? (Note: If you have more than one project site and their hours differ, use the average number of hours here.)
 - a. 24 hours
 - b. 24 hours = dose of the infrastructure components of your project
 - c. $24 \times 14,960 = 359,040$
8. Calculate reach and dose of non-infrastructure components of your project.
 - a. How many people will you reach with your campaign?
 - i. 1,000
 - b. How many campaigns will you hold?
 - i. 1 per week for a year, which equals 52 campaigns.
 - ii. $52 \times 1,000 = 52,000$
 - c. How many events will you hold about litter abatement?
 - i. 1, the ribbon cutting event.
 - d. How many people will attend each event?
 - i. 200 people
 - ii. $200 \times 1 = 200$
 - e. What is the total reach and dose of non-infrastructure components of your project?
 - i. 52,200
9. Add non-infrastructure and infrastructure population benefit together to get total population benefit.
 - a. $359,040 + 52,200 = 411,240$
10. Fill out [the worksheet \(Appendix A.1.\)](#) with the data analysis you've done.

Appendix B. Sample Needs Assessment and Estimated Performance Scoring Sheet

Example applicant project: 1 acre public space that will include landscaping, three shade trees, improved street furniture, new bins for proper waste disposal, enhanced lighting, a mural by a local artist, and upgrades to the bus stop shelter at the site. Youth volunteers will be recruited to help clean the space before improvements are made, and they will learn about litter abatement and the free dump days in our community.

Legend

■ = the metrics this applicant chose to be scored on (an applicant should pick up to two metrics per each subsection of metrics of each grant objective).

■ = Reviewer's score

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Section 1 of 5

Grant Program Objective	ID #	Metrics	My Response	Scoring Suggestion	Max Score per Metric	Reviewer's Score
Reduce the amount of waste and debris within public rights-of-way, pathways, parks, transit centers, and other public spaces.	NA1	Provide evidence there is a recurring issue of trash production or land misuse in the project area under existing conditions.	Yes, many 311 records. See summary of records in application attachment	If evidence, get the max of points for this section. If no evidence, get zero.	5	5
	EP1	Waste and debris within the public rights of way are reduced by what percent?	100	Curve scoring, where a higher number gets more points.	4	7
	EP2	The total project space is cleaned or improved by what percent?	100	Curve scoring, where a higher number gets more points.	3	

Section 2 of 5

Grant Program Objective	ID #	Metrics	My Response	Scoring Suggestion	Max Score per Metric	Reviewer's Score
Enhance, rehabilitate, restore, or install measures to beautify and improve public spaces, and mitigate the urban heat island effect.	NA2	Under existing conditions less than 1/3 of the space is landscaped and/or softscaped. (true/false)	true	If true = give max points; if false = give zero points here.	7	15
	NA4	Under existing conditions, space is well utilized to provide both beauty and function. (true/false)		If false = give max points; if true = give zero points here.	5	
	NA5	Under existing conditions, the space can be utilized for multiple functions during the daylight as well as after sunset (true/false/NA. NA would mean we don't allow access to this space after sunset and will not/cannot change that rule upon receiving this grant award).	false	If false = give max points; if true or NA = give zero points here.	8	
	EP3	Percent increase of shade at each improved site, measured at the noon hour.		Curve scoring, where a higher number gets more points.	5	10
	EP4	Percent decrease of impervious surface.	30%	Curve scoring, where a higher number gets more points.	5	
	EP5	Percent increase of tree canopy at each improved site.		Curve scoring, where a higher number gets more points.	4	
	EP6	Percent increase of native, low drought plantings at each improved site.		Curve scoring, where a higher number gets more points.	5	

	EP7	Percent of the day that the site will now be lighted using human-scale, energy-conserving lights and/or daylight.		Curve scoring, where a higher number gets more points.	4	
	EP8	The improved space increases the number and diversity of viable uses within the space. (true/false)		If true = give max points; if false = give zero points.	5	
	EP9	The improved space will improve previously underutilized space that was prone to vandalism (such as blank walls) with beautification solutions. (true/false)	true	If true = give max points; if false = give zero points.	5	
	EP10	The improved space includes visual art. (true/false)		If true = give max points; if false = give zero points.	4	

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Section 3 of 5

Grant Program Objective	ID #	Metrics	My Response	Scoring Suggestion	Max Score per Metric	Reviewer's Score
Enhance public health, cultural connection, and community placemaking by improving public spaces for walking and recreation.	NA6	The project area is used as a public space currently.		If yes = give max points; if no = give zero points here.	5	12
	NA7	The project area could or does provide a critical connection to daily life destinations such as school, medical care, jobs, or groceries via walking, biking, or transit. (true/false)	true	If true = give max points; if false = give zero points here.	5	
	NA8	The space is on a safe route to school (SRTS) or is a gap in an otherwise SRTS.		If yes = give max points; if no = give zero points here.	6	
	NA9	Under existing conditions, there are enough places to sit. (true/false)	false	If false = give max points; if true = give zero points here.	7	7
	EP11	Percent increase of improved public space.		Curve scoring, where a higher number gets more points.	3	
	EP12	The improved space incorporates features or elements that connect the space to the culture or history of the surrounding community. (true/false)	true	If true = give max points; if false = give zero points here.	4	
	EP13	The improved space is visible from a distance, with its interior visible from the outside. (true/false)	true	If true = give max points; if false = give zero points here.	3	

Section 4 of 5

Grant Program Objective	ID #	Metrics	My Response	Scoring Suggestion	Max Score per Metric	Reviewer's Score
Advance equity for underserved communities.	NA10	Under existing conditions, the number of public space acres accessible in a half-hour walk from project area is lower than the region's average (true/false).	true	If true = give max points; if no = give zero points here.	5	10
	NA11	The project area is one of 5 or less opportunities within a 1 mi radius to cross a major physical barrier (true/false/NA).		If yes = give max points; if no = give zero points here; if N/A = give zero points here.	5	
	NA12	Does the space function for people with special needs? (yes/no)	no	If no = give max points; if yes = give zero points here.	5	
	EP14	The improved space is within a ¼ mile of X number of underserved census tracts.		Curve scoring, where a higher number gets more points.	4	(would depend on curve scoring, but will give max score for example purposes) 9
	EP15	The improved space is within a ½ mile of X number of transit stop(s) on routes that reach underserved census tract(s) on their route.	12	Curve scoring, where a higher number gets more points.	4	
	EP16	The improved space functions for people with special needs (true/false).	true	If true = give max points; if no = give zero points.	5	

Section 5 of 5

Grant Program Objective	ID #	Metrics	My Response	Scoring Suggestion	Max Score per Metric	Reviewer's Score
Support local events and educational programming about litter abatement, proper waste disposal, and/or how to do sanctioned art within a community	NA13	Under existing conditions, there are X average number of existing programmed activities within the space per week.		Curve scoring, where a lower number gets more points.	3	7
	NA14	Under existing conditions, the improved space has adequate signage or amenities for proper waste disposal. (true/false)	false	If false = give max points; if true = give zero points here.	4	
	NA15	Under existing conditions, the applicant feels the improved space, or the benefitting community needs an increase in educational programs or events about litter abatement or proper waste disposal. (true/false)	true	If true = give max points; if false = give zero points here.	3	
	EP17	The number of events you will hold, either at the improved space, or not tied to a space but about litter abatement and proper waste disposal, will increase by what percent?	1	Curve scoring, where a higher number gets more points.	3	(would depend on curve scoring, but will give max score for example purposes) 7
	EP18	The number of educational programs, either within the improved space, or not tied to a space but about litter abatement and proper waste disposal, will increase by what percent?		Curve scoring, where a higher number gets more points.	3	
	EP19	Number of people reached about litter abatement or proper waste disposal will increase by what percent?		Curve scoring, where a higher number gets more points.	3	

	EP20	Number of amenities (signage, bins, etc.) related to proper waste collection or waste prevention within the space will increase and or upgraded by what percent?	125%	Curve scoring, where a higher number gets more points.	4	
	EP21	The number of educational programs, either within the improved space, about how to do sanctioned artwork in the community (as opposed to vandalism), will increase by what percent?		Curve scoring, where a higher number gets more points.	3	

Total Needs Assessment Combined Score: 49/50
 Total Estimated Performance Combined Score: 40/40

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