

Clean California Local Grant Program

Program Guidelines

CYCLE 2

Contents

| | |
|--|----|
| Clean California Local Grant Program Overview | 3 |
| Background | 3 |
| Budget | 3 |
| Goals..... | 3 |
| Schedule | 4 |
| Eligibility | 5 |
| Eligible Applicants | 5 |
| Eligible Project Types..... | 5 |
| Example Projects..... | 5 |
| Eligible Project Area | 6 |
| Eligible Activities and Expenses..... | 7 |
| Ineligible Activities and Expenses | 8 |
| Underserved Communities..... | 9 |
| Local Match Requirement | 10 |
| Calculating SOD of the Community Surrounding the Project and Local Match Requirement | 11 |
| Local Match Sources | 14 |
| Project Application and Award Process | 15 |
| Conflict-of-Interest..... | 17 |
| Scoring Criteria | 17 |
| 1. Narrative..... | 18 |
| 2. Project's <i>Relative</i> Population Benefit to Underserved Communities..... | 20 |
| 3. Scope, Cost, and Schedule | 21 |
| Other Attachments..... | 23 |
| Other Selection Considerations | 24 |
| Grant Project Administrative Requirements | 25 |

| | |
|--|----|
| Sub-contracts | 25 |
| Financial Requirements | 25 |
| Accounting Requirements | 25 |
| Audits and Investigations | 26 |
| Reporting..... | 27 |
| Project Photos..... | 27 |
| Project Amendments | 27 |
| Grant Agreement Processing | 27 |
| Payment Process..... | 28 |
| Advance Payment Process..... | 29 |
| Conditions..... | 29 |
| Additional Conditions..... | 30 |
| Advance Payment Requests..... | 32 |
| Program Evaluation | 32 |
| Appendix A.1. Example Calculations to Determine Required Local Match for a Fictitious Project..... | 33 |
| Appendix A.2. Definition of the Project's Relative Population Benefit (PB) (Underserved Communities) | 37 |

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 (Clean CA) initiative that takes direct aim at the continuous trash accumulation that has overwhelmed the California Department of Transportation (Caltrans) and its partners. Other parts of the Clean CA initiative include litter abatement efforts, state beautification and safety projects, and public education campaigns. Significant investments in time and resources are needed to collect, recycle, and dispose of litter and hazardous waste.

Approximately \$100 million was added to the CCLGP to be made available in the fiscal year (FY) 2023-2024 State budget. This funding will be used to implement a second cycle of funding for the program.

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 stakeholder workshops that included participation from local government agencies, transit agencies, and federally recognized tribal governments, among other stakeholders.

Budget

The program is funded by approximately \$100 million dollars in FY 2023/2024 (FY 23-24) General Fund money. The availability of grant funding is contingent on the funds being made available in the FY 23-24 State Budget. All projects must be completed and all implementation funds must be expended by June 30, 2026.

Each grant award shall not exceed five million dollars (\$5,000,000). There is no minimum award. Applications that request \$3,000,000 or less are more competitive, because there is a higher likelihood that these projects will be completed by June 30, 2026. Agencies can submit multiple applications and may receive multiple awards (each award not to exceed \$5,000,000) if more than one of their applications is competitive.

Goals

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

- (1) Reduce the amount of waste and debris within public rights-of-way, pathways, parks, transit centers, and other public spaces.
- (2) Enhance, rehabilitate, restore, or install measures to beautify and improve public spaces and mitigate the urban heat island effect¹.
- (3) Enhance public health, cultural connections, and community placemaking by improving public spaces for walking and recreation.
- (4) Advance equity for underserved communities.

Schedule

The following schedule lists the major milestones for the CCLGP. Visit <https://cleancalifornia.dot.ca.gov/local-grants/local-grant-program> for the most up-to-date information. Also note that no action is needed from applicants on the Call for Projects Announcement. On this day, the final versions of the program guidelines, application, and other program documents will be released for stakeholders to view. Applicants will not need to submit their application(s) until April 28, 2023. On this day applications must be received by 5:00 PM Pacific Standard Time sharp.

Grant Program Timeline

| Milestone | Date |
|---|--|
| Workshop #1 on Program Guidelines | November 3, 2022 |
| Workshop #2 on Program Guidelines | December 13, 2022 |
| Call for Projects Announcement | February 2023 |
| Workshops #3 - #5 on the Application | February through April 2023 |
| Project Application Deadline | April 28, 2023, by 5 PM Pacific Standard Time |
| Project Award Notification | August/September 2023 |
| Date by when projects must be completed and all implementation funds expended. If the project involves infrastructure components, all components must be opened to the public and all construction funds expended by this date. | June 30, 2026 |
| Date by when awardee must submit final invoice and project closeout reports to Caltrans. | November 1, 2026 |
| Date by when Caltrans must complete payment of final invoicing and project closeout. | December 31, 2026 |

¹ “Structures such as buildings, roads, and other infrastructure absorb and re-emit the sun’s heat more than natural landscapes such as forests and water bodies. Urban areas, where these structures are highly concentrated and greenery is limited, become “islands” of higher temperatures relative to outlying areas. These pockets of heat are referred to as “heat islands.” (US EPA, 2022). Learn more by visiting this page: <https://www.epa.gov/heatislands/learn-about-heat-islands#heat-islands>.

Eligibility

Eligible Applicants

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

There is no limit to the number of applications an eligible applicant can submit. It is possible for eligible applicants to receive multiple awards. If applicants submit multiple applications, they will be asked to identify which project application is their priority.

Awardees from Cycle 1 can apply for Cycle 2, however, the application must be for a new project. Cost overruns from Cycle 1 projects will not be funded in Cycle 2. CCLGP funds are not available to fund cost increases in Cycle 1 or Cycle 2.

Applicants for Cycle 1 who were not awarded funding may resubmit an application for the same project with updated information in Cycle 2, as long as the projects meets the updated criteria and requirements described in these guidelines.

Eligible Project Types

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

- Infrastructure related community litter abatement and beautification projects.
- Non-infrastructure related community litter abatement events and/or educational programs.

Example Projects

- Infrastructure related beautification and placemaking of existing public spaces, including but not limited to:
 - Community park spaces/public spaces.
 - Transit centers.
 - Park-and-ride facilities.
- Non-infrastructure related 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 infrastructure and non-infrastructure related project types, including beautification and educational projects.

Eligible Project Area

Examples of eligible project locations may include local streets and roads, tribal lands, parks, pathways, transit centers, and other public spaces. It is recommended that projects are accessible by a multimodal transportation network. One project may contain multiple locations.

The applicant chooses the specific project location(s), however, the location(s) must meet all of the below conditions.

- On public property. For instance, a private residential road is not an eligible project location. If there is a clear public benefit from a project on private property, such as a mural on the side of a private business in a downtown area, that would be an eligible project site, however the below condition must also be fulfilled.
- Either under the applicant's jurisdiction to make improvements to, or the applicant has written permission from the property owner to make improvements to the property and maintain those improvements for the life of the project. This written permission documentation must be included in the application package. For instance, transit centers owned by another agency besides the applicant would not be eligible, unless the applicant can provide written documentation that they have permission to make and maintain those improvements to the public transit centers.
- Partially or fully located in an underserved community, **AND** at least 75% of the population surrounding the project site(s) must be underserved. See the section [Underserved Communities](#) for information on definitions of underserved communities. Also, "surrounding the project site(s)", generally means census tracts² within a half mile of the perimeter of the project site(s).

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, 2026. 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>. Note that completing the Caltrans encroachment permit process does not guarantee that an applicant will be awarded CCLGP funds.

²Communities with a population of less than 15,000 may use data at the Census Block Group level. Unincorporated communities may use data at the Census Place level.

Note that art projects on Caltrans right-of-way also need to complete and abide by the [Caltrans' Transportation Art Process](#). This includes:

- Separate approval by the Caltrans Transportation Art program.
- Artwork ownership, including copyrights, assigned to Caltrans, with rights licensed back to the artist.
- Waiver of moral rights (California Civil Code § 987).
- Adhering to Transportation Art content restrictions.
- Maintenance plan/funding (i.e., graffiti abatement).

See Caltrans' [Transportation Art Guidelines for Local Agencies](#) and the [Transportation Art Proposal](#) for details. [Gateway Monuments](#) and [Community Identification](#) projects on Caltrans right-of-way entail separate processes and requirements.

Eligible Activities and Expenses

Eligible activities must substantively meet the four CCLGP goals previously mentioned. Examples of eligible features within the project area include, but are not limited to:

- Enhanced paving, 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 cultural elements. An art installation should:
 - Be appropriate and safe to its proposed setting.
 - Be in proper scale with its surroundings.
 - Be composed of materials that are durable for the projected lifespan.
 - Include graphics or sculptural artwork that express unique attributes of an area's history, resources, or character.
 - Not display symbols or icons, including but not limited to, logos or political and commercial symbols. Sponsor recognition should be unobtrusive, discreet, and not appear to be an integral part of the artwork.

- Not display text.
- Be designed to minimize ongoing maintenance needs.
- [Gateway Monuments](#) and [Community Identification](#) projects. If these are on Caltrans right-of-way, they have different requirements than art installations.
- Human-scale, energy-conserving lighting.
- Walking and/or biking facilities through the space.
- Wayfinding signage.
- Amenities related to proper waste collection or prevention (e.g., signage, bins, etc.).
- Seating and play equipment.
- Public bathrooms and water fountains.
- Staff salaries of those working directly on the project.
- Maintenance of a project improvement for this grant agreement term, as long as it occurs after the execution of the grant agreement and prior to June 30, 2026.
- Travel Expenses, although these 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 for reimbursement under this grant program. If an application has any of the following elements and is seeking reimbursement for any of them, the application may be disqualified.

Ineligible activities and expenses include:

- Displacing people experiencing homelessness.
- Acquisition of rights-of-way or land, such as during utility relocation activities.
- Acquisition of vehicles or shuttle programs.
- Stipends or gift cards.
- Purely planning projects. If a project is just developing plans or designs for a project, but not also implementing that project during the grant agreement term, it is not eligible.

- Work performed prior to the execution of the grant agreement or that extends beyond June 30, 2026, unless this work is related to project closeout and final invoicing costs performed prior to November 1, 2026.
- Cost overruns for a project awarded in Cycle 1.
- Other items unrelated to the project or CCLGP goals.
- Costs that do not comply with [2 Code of Federal Regulations \(CFR\), Part 200](#).

Underserved Communities

An eligible project should be fully or partially located in an underserved community, demonstrate a direct benefit to an underserved community, and at least 75% of the population surrounding the project site(s) must be underserved, based on one of the below definitions. If the community surrounding the project is considered underserved based on more than one definition, choose the definition that best supports the community's status as underserved.

The below definitions will also be used to determine an applicant's minimum required [local match](#) percentage and to calculate the [Project's Relative Population Benefit to Underserved Communities](#).

- **Option 1. Area Median Income:** (Table ID B19013) is less than 80% of the statewide median based on the most current Census Tract (ID 140) level data from the 2017-2021 American Community Survey (<\$67,278) or the latest data available. Communities with a population of less than 15,000 may use data at the Census Block Group (ID 150) level. Unincorporated communities may use data at the Census Place (ID 160) level. Data is available at the [United States Census Bureau Website](#).
- **Option 2. 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 4.0 (CalEnviroScreen 4.0) scores. Score must be greater than or equal to 40. Do not mistake "percentile" for "score". The mapping tool can be found here and the list can be found under "[Download SB 535 CalEnviroScreen Data](#)".
- **Option 3. National School Lunch Program:** At least 75% of public-school students in the project area are eligible to receive free or reduced-price meals (FRPM) under the National School Lunch Program for the latest year that complete data is available. Note that while all school students are eligible to receive free lunch regardless of their free or reduced-price meal eligibility under [California's Universal Meals Program](#), the California Department of Education still collects data on eligibility had the universal meals program not been implemented. Data is available at the [California](#)

[Department of Education](#) website. Note that if an applicant uses this option, it must be explained in the Project Narrative component of the application how the project benefits school students in the project area. Also, the project must be located within two miles of the school(s) represented by this criterion.

- **Option 4. 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 can be found on the [California Healthy Places Index website](#).
- **Option 5. Native American Tribal Lands:** If the project applicant or sub-applicant is a Federally Recognized Tribal Government and 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).

Local Match Requirement

Required local match is the minimum percentage of the project's funding the applicant commits to provide as a condition of accepting a program grant. The required local match will range from 0% (i.e., no local match required) to 50% of the total grant amount request. The percentage is determined based on the "severity of disadvantage" (SOD) of the community surrounding the project. The community surrounding the project is defined as all census tracts³ within a ½ mile radius of the perimeter of the project site (or sites if there are multiple locations). The required local match will decrease as the SOD of the surrounding community increases. The SOD of the surrounding community is defined below and the relationship of the SOD to percent required local match can be found in [Table 2, Severity of Disadvantage and Corresponding Local Match Requirement](#). Tribal Communities that qualify per Option 5 on Table 2 automatically qualify for 0% local match.

³ Communities with a population of less than 15,000 may use data at the Census Block Group level. Unincorporated communities may use data at the Census Place level.

Awardees will be held responsible for any local commitments at or above their minimum local match requirement as part of their grant agreement with Caltrans. This is true even if unforeseen price increases arise from events outside of the awardee’s control, such as inflation. For this reason, it is important for applicants to be conservative in their cost estimates and to include a construction item contingency percentage when creating their Scope, Cost, and Schedule.

Calculating SOD of the Community Surrounding the Project and Local Match Requirement

How to calculate the SOD and the local match percentage is described below.

$$\begin{aligned} \text{SOD of surrounding community} &= \text{Weighted average of the SODs of the surrounding census tracts}^4. \\ &= \frac{\text{Sum}[(\text{Pop. CT 1} \times \text{metric score CT 1}) + (\text{Pop. CT 2} \times \text{metric score CT 2}) + (\text{Pop. CT N} \times \text{metric score CT N...})]}{\text{Sum}(\text{Pop. CT 1} + \text{Pop. CT 2} + \text{Pop. of CT N...})} \end{aligned}$$

Where:

- **Pop. CT** = Population of a census tract within a ½ mile radius of the perimeter of the project site or sites.
- **Metric Score** = The underserved community score of a census tract is determined using one of the allowable 4 options listed in [Table 2 of the guidelines](#). Note, Federally Recognized Tribes automatically qualify for 0% local match.

When calculating SOD, the metric score of all census tracts must be determined using the same option. The 4 options are detailed above in the section “[Underserved Communities](#)”. If the community surrounding the project is considered underserved using multiple options, choose the option that best supports the community’s status as underserved. By the Call for Projects, the [CCLGP website](#) will contain tutorials on how to calculate your community’s minimum local match requirement based on each underserved community option.

Table 1 below should be used to calculate the SOD of the community surrounding the project site(s). This table will be provided on the CCLGP website by the Call for Projects in an Excel spreadsheet called “Local Match Calculation Form” for applicants to use and easily add rows to if their project has more than two sites. This spreadsheet must be submitted with the application as an attachment. An example of a completed Table 1 is in [Appendix A.1](#).

⁴ Communities with a population of less than 15,000 may use data at the Census Block Group level. Unincorporated communities may use data at the Census Place level.

| Table 1. SOD of Community Surrounding the Project Site(s) | | | | | |
|--|--|--|--------------------------------|---|-------------------------------|
| List the Option Used to Determine SOD: (For information on the 4 options, see the section "Underserved Communities" .) | | | | | |
| Location Relative to Project Site(s) | | Census⁵ Tract Number | Census Tract Population | Metric Score of Census Tract using the chosen option listed above. | SOD of Tract (3) x (4) |
| (1) | | (2) | (3) | (4) | (5) |
| 1 | Project Site A | | | | |
| 2 | Within a ½ mile radius of the perimeter of the project site. | | | | |
| 3 | Within a ½ mile radius of the perimeter of the project site. | | | | |
| 4 | Within a ½ mile radius of the perimeter of the project site. | | | | |
| 5 | Project Site B | | | | |
| 6 | Within a ½ mile radius of the perimeter of the project site. | | | | |
| 7 | Within a ½ mile radius of the perimeter of the project site. | | | | |
| 8 | Within a ½ mile radius of the perimeter of the project site. | | | | |
| TOTALS | | | | | |
| SOD of Community Surrounding the Project | | | = | <u>Total of Column 5</u> <u>Total of Column 3</u> | = |

⁵ Communities with a population of less than 15,000 may use data at the Census Block Group level. Unincorporated communities may use data at the Census Place level.

Determine Required Local Match

Use the SOD of the community surrounding the project calculated above, and Table 2 below, to determine the required local match for your project.

| Table 2. Severity of Disadvantage and Corresponding Local Match Requirement | | | |
|---|--|-------------------------------|------|
| <i>SOD Criteria</i> | <i>Ranges for SOD of Community Surrounding the Project</i> | <i>Required Local Match %</i> | |
| Option 1: Area Median Income (AMI) compared to Statewide Median Income (SMI)* | | | |
| Data: Census Tract Level Data from the 2017-2021 American Community Survey 5-year (ACS5) Estimates | | | |
| If the AMI SOD of the surrounding community is... | > \$67,278 | Then local match is... | 50 |
| | \$63,518 to \$67,278 | | 37.5 |
| | \$59,757 to \$63,517 | | 25 |
| | \$55,996 to \$59,756 | | 12.5 |
| | < \$55,996 | | 0 |
| Option 2: CalEnviroScreen 4.0 Score (not percentile) | | | |
| Data: CalEnviroScreen 4.0 Results | | | |
| If the CalEnviroScreen 4.0 SOD of the surrounding community is... | < 40 | Then local match is... | 50 |
| | 40 to 43 | | 37.5 |
| | 44 to 47 | | 25 |
| | 48 to 51 | | 12.5 |
| | > 51 | | 0 |
| Option 3: Percentage of Students that Receive Free or Reduced Lunches | | | |
| Data: California Department of Education website | | | |
| If the Free/Reduced Lunch SOD of the surrounding community is... | < 75 | Then local match is... | 50 |
| | 75 to 79 | | 37.5 |
| | 80 to 84 | | 25 |
| | 85 to 90 | | 12.5 |
| | > 90 | | 0 |
| Option 4: Healthy Places Index (HPI) Score (use overall HPI score only) | | | |
| Data: California Healthy Places Index website | | | |
| If the HPI SOD of the surrounding community is... | > 25 | Then local match is... | 50 |
| | 21 to 25 | | 37.5 |
| | 16 to 20 | | 25 |
| | 10 to 15 | | 12.5 |
| | < 10 | | 0 |
| Option 5: Tribal Communities | | | |
| Data: List of Federally Recognized Tribal Governments in California | | | |
| If the project applicant or sub-applicant is a Federally Recognized Tribal Government and the project area is located within or partially within Federally Recognized Tribal Lands, lands owned by or held in trust for an Indian tribe, allotted lands, and/or sensitive tribal areas. | | Then the local match is... | 0 |
| *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. | | | |

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. If federal funding is a source for local cash match, the entire project must comply with all federal requirements, which may affect the project schedule. Check the guidelines of the federal program your project was awarded money by for details.
 - Staff time from the primary applicant or sub-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. The primary applicant or sub-applicant should have a system in place to ensure that staff time counted as local match is actually being charged to just its CCLGP project and not another project that has already been funded and/or reimbursed, as this could be a negative finding during an audit.
- Third-Party In-Kind Match
 - Third party in-kind contributions are typically goods and services donated from outside the primary applicant's agency, although primary applicants and sub-applicants may also donate these. Examples include the value of donated:
 - Plants/trees.
 - Art resources (e.g., materials, labor, supplies).
 - Equipment and materials.
 - Any other goods or services that comply with [2 Code of Federal Regulations \(CFR\), Part 200](#).
 - To determine the value of donated in-kind contributions, an applicant can use the retail value of the good or service being donated. To determine the retail value of a good or service, an applicant can find a reasonable quote online and save a copy of this for their records.
 - If third party in-kind contributions are used to satisfy the local match requirements, the applicant will be asked to provide the total value of these in the application attachment titled "Local Match Calculation Form". The applicant will also be asked to provide

letters of commitment from each third-party contributor detailing the amount of money that will be provided or the goods/services that are included with the match, the retail value of those goods and services if applicable, and a commitment to providing the contribution in time for the project to meet the delivery deadline of June 30, 2026. The letters should be submitted as one PDF attachment to the main online Smartsheet application form. A template for the letter of commitment will be posted on the CCLGP website by the Call for Projects.

Project Application and Award Process

1. Applications, including the supporting documentation, must be received online **by 5:00 PM Pacific Standard Time sharp** on the application deadline, which will be on April 28, 2023:
 - a. Access to the application and other required templates will be available on the CCLGP website by the Call for Projects <https://cleancalifornia.dot.ca.gov/local-grants/local-grant-program>. Applicants can apply anytime between the Call for Projects and the application deadline in April (i.e., applicants will have approximately three months to submit their application).
 - b. Applicants will submit the application package through the online tool Smartsheet. A license is not needed to complete and submit the application. More detailed instructions on how to complete and submit the application package will be on the CCLGP website by the Call for Projects.
 - c. Applicants can submit multiple applications. Also, multiple departments within one agency can submit separate applications for different projects. There is no limit to the number of applications an agency can submit, however, if your agency submits multiple applications, you will be asked to identify which application is the priority for the community. This will help ensure that priority applications are more strongly considered than non-priority applications from the same agency.
 - d. No hardcopy applications will be accepted.
 - e. No late applications will be accepted. Applications must be received online by 5:00 PM Pacific Standard Time sharp on the application deadline. **Please do not wait until the application deadline to submit.**
 - f. Resubmitting the application to correct for mistakes or include additional information is not permitted. Once the application is

submitted, it is final. Before submitting the application, double check the information in it to ensure it is accurate and complete.

2. Project Proposals will be reviewed and evaluated:
 - a. Multi-disciplinary teams of Caltrans subject matter experts in Planning, Engineering, and Public Affairs will review all applications for eligibility, submission of proper documentation, deliverability, and demonstrated benefits that substantively align with the grant program goals. They will then score the applications using a standardized scoring methodology, which is described in the [Scoring Criteria](#) section. They will also use a scoring rubric, which will be provided for review on the CCLGP website by the Call for Projects.
 - b. Incomplete or ineligible applications, including applications without all the required attachments or that did not answer all the required questions in the Smartsheet form, may be removed from the competitive process.
 - c. The CCLGP Caltrans grant program staff will then compile all the scored applications from throughout the State and award projects based on highest score, unless the application is incomplete, ineligible, or non-responsive to the program criteria and requirements described in these guidelines. Caltrans may also award funds to a lower scoring application based on the availability of funding, after awarding the majority of the funds to higher scoring applications.
 - d. Award recommendations will be submitted to the Secretary of the California State Transportation Agency for concurrence.
3. The list of awarded projects will be posted to the CCLGP Caltrans website by September 2023. An email will also be sent to our mailing list announcing that the list of awarded projects has been posted to the CCLGP website. Successful grant applicants will receive an award letter from Caltrans that outlines important next steps, such as executing the grant agreement, as well as program requirements the grant recipient must adhere to.
4. Grant Agreements between the grant recipients and Caltrans will be executed. This process on average takes approximately 6 months. It is important to account for this time when creating the [Scope, Cost, and Schedule](#) for your application.

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

The State reserves the right to reject an applicant who is in violation of any law or policy at another public agency. Potential violations include, but are not limited to, being in default of performance requirements for other contracts or grant agreements issued by the State, engaging in or being 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. Caltrans cannot enter into a grant agreement with an agency that is sanctioned by the State of California while such sanctions are in effect. The State further reserves the right to reject any applicant who has a history of performance issues with past grants, including Cycle 1 of the CCLGP, or other past contractual agreements with any public entity. Performance issues with Cycle 1 of the CCLGP could include consistently failing to submit invoices and quarterly progress reports on-time.

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 as explained in Table 3 and in the following subsections 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 still be competitive under this scoring methodology. In addition to the scoring criteria, [other selection considerations](#) may factor into the final project selection.

The scoring components will be assessed by a committee of subject matter experts using a scoring rubric based on grant criteria. This rubric will be available on the [CCLGP website](#) by the Call for Projects.

| Component Number | Scored Component | Possible Score (Points) |
|-------------------------|--|--------------------------------|
| 1 | Narrative (Qualitative) | 30 |
| 2 | Project's Relative Population Benefit to Underserved Communities (Quantitative) | 30 |
| 3 | Scope, Cost, and Schedule (Qualitative) | 40 |
| Sum | | 100 |

1. Narrative

The narrative scoring component will be based on the applicant's description of how well the project meets the program's statutory goals, requirements, and guidelines. This component is worth up to 30 points of the total application score.

At a minimum, the narrative shall include a discussion of:

- The project location and any project description detail not included in the main application form. Describe the public space or spaces to be addressed, specifying right-of-way, park, pathway, transit center, tribal land, or other space. Discuss where the space is located, including its visibility and access to the public. If the applicant does not own the property but has written approval from the owner to make and maintain improvements to the property, this should be discussed in the Narrative as well.
- The demonstrated community need for the project and the project's expected outcomes that relate to the four goals of the CCLGP program. Specifically, describe the existing conditions of the project location(s), and how the project meets one or more of the four stated program goals listed below. The more program goals that a project substantively meets, the more competitive it is. Also, the more severe the community need is, the more competitive the project is.
 1. Reduce the amount of waste and debris within public rights-of-way, pathways, parks, transit centers, tribal lands, and other public spaces.
 2. Enhance, rehabilitate, restore, or install measures to beautify and improve public spaces and mitigate the urban heat island effect.

3. Enhance public health, cultural connections, and community placemaking by improving public spaces for walking and recreation.
4. Advance equity for underserved communities.

Address each goal separately in the narrative. For each goal, include the information requested in the respective paragraphs below:

Goal 1. Reduce the Amount of Waste and Debris: Describe the types of existing waste and debris, and improvements to be made to prevent or reduce this litter. Also describe any litter pickup activities and who will conduct these activities.

Goal 2. Beautify and Improve Public Space: Describe the need for beautification or access improvements, including enhanced greening measures. Identify any enhancements to be made, rehabilitation to be performed, and new installations to be placed.

Goal 3. Improving Public Spaces for Walking and Recreation: Describe the need for walking and recreation improvements in your project location(s), and how your project will implement these improvements while also enhancing public health, cultural connection, and/or community placemaking.

Goal 4. Advance Equity for Underserved Communities: Applicants must explain which underserved community will benefit from their project, how this community was identified, and how the project directly benefits that community.

- The local public engagement process that culminated in the project identification and how the project reflects community priorities. Specifically, the Narrative should describe the stakeholder/community engagement efforts, either online or in-person, that went into identifying the proposed elements as a priority for the community. These efforts should include engagement with underserved communities and/or any community-based organizations that serve them. The Narrative should discuss how exactly the engagement influenced the project proposal. The more specific the engagement is to the CCLGP project, the more competitive the project's application will be. The applicant can cite engagement that was sponsored by Caltrans or others.

The Narrative should also describe how the project is consistent with or included in existing local or regional plans such as General Plans, Improvement Plans, bicycle and/or pedestrian plans, and complete street plans, that were the products of extensive public outreach.

Finally, the applicant should briefly describe how they will market the project, through materials such as press releases, fact sheets, social media posts, website pages, or speeches. The applicant should also state whether there will be a ground-breaking or ribbon cutting ceremony for any infrastructure improvements that are part of the project.

- Project deliverability, including the applicant's confidence that the project will be completed, opened to public, and all implementation funds expended by June 30, 2026. Any major risks to the project's Scope, Cost, and Schedule should be identified, as well as ways that the applicant will mitigate those risks. For instance, all permits required for the project should be identified in the Narrative, and those permits that have not been approved at time of application submittal should be noted. For any permit not obtained, explain which steps your agency has completed so far in the permitting process, and how your agency will complete the steps while staying on track to complete the project by June 30, 2026. For infrastructure projects, also describe all outstanding pre-construction work required to deliver this project by its completion date. Projects with less preconstruction-work are more shovel-ready and are more competitive. Also, projects that have obtained all permits or do not need permits at time of application are more competitive.
- If applicable, how the improvement(s) will be maintained. Identify the lifespan of the improvement(s), the activities to maintain them throughout their lifespans, the resources to fund maintenance activities, and the commitment of those resources. This information is required for physical project improvements and litter abatement events (i.e., there needs to be an explanation of the strategy for preventing litter from accumulating again, after the abatement event). This information is also required for any artwork or vegetation that is part of the proposal. If the proposal includes vegetation, details on how plant establishment will be implemented need to be provided. A maintenance plan is not required for educational programs, such as social media campaigns.

2. Project's *Relative* Population Benefit to Underserved Communities

A project's relative population benefit (PB) to underserved communities is determined by a ratio of the project's PB to underserved communities over the project's PB to the overall community, multiplied by the maximum number of points for this scoring component. This component is worth up to 30 points.

The PB to underserved communities is the sum of the population of all *underserved* census tracts⁶ within a half mile radius of the perimeter of the infrastructure project. See the section [Underserved Communities](#) in these guidelines for definitions of underserved communities. When performing population benefit calculations, you may pick the underserved community definition that best represents the census tracts surrounding your project site. You need to use the same definition for all tracts.

The PB to the overall community is the sum of the population of all census tracts within a half mile radius of the perimeter of the infrastructure project. Details on how to calculate the PB to underserved communities can be found in Appendix A1.

3. Scope, Cost, and Schedule

The scope, cost, and schedule submittals will be reviewed by a committee of subject matter experts who will evaluate how well the documents maximize project benefits versus costs. This component is worth up to 40 points.

The scope, cost, and schedule component must include the following, which will be in the templates that will be provided by the Call for Projects on the CCLGP website:

- The scope, cost, and schedule must specify the project's planned infrastructure activities and/or non-infrastructure tasks in enough detail for evaluators to be reasonably certain that the project is well thought-out and can be delivered by June 30, 2026 with minimal risk.
- The application must include a schedule showing planned start and end dates of salient infrastructure work activities and/or non-infrastructure tasks. The schedule must show all activities completed and all implementation funds expended by June 30, 2026. If the project contains infrastructure components, these must also be opened to the public by June 30, 2026.
- The application must include a cost breakdown of all project components. In general, do not provide costs as lump sum expenses.
- For infrastructure projects, per the [Caltrans Local Assistance Procedures Manual](#) (LAPM), the total cost for Construction Engineering (CE) should not exceed 15% of the construction costs and all costs over that must be shown in the application as non-participating.

When estimating project costs, note that awardees will be held responsible for any local commitments at or above their minimum local match requirement as

⁶ Communities with a population of less than 15,000 may use data at the Census Block Group level. Unincorporated communities may use data at the Census Place level.

part of their grant agreement with Caltrans. This is true even if unforeseen price increases arise from events outside of the awardee's control, such as inflation. For this reason, it is important for applicants to be conservative in cost estimates and include a construction item contingency percentage when creating their Scope, Cost, and Schedule.

Several factors need to be considered when building a realistic project schedule, including:

- If your project touches Caltrans right of way.
- If your project includes art.
- If your project needs permits from other agencies.
- Time for bidding and subcontracts.
- Time for processing the grant agreement.
- Time for obtaining a board resolution.

If your project is near or touches Caltrans right of way, it might need a [Caltrans encroachment permit](#), which can take significant time to obtain. Furthermore, projects that need Caltrans encroachment permits sometimes also need maintenance agreements with Caltrans, which can take time to establish. Sometimes it is not clear what is Caltrans right of way. If your project is near the State Highway System (SHS) but not quite on it, contact your [District's Caltrans Encroachment Permit office](#) as soon as possible to discuss if the project will actually touch Caltrans right of way and require a permit, to avoid project delays.

Art projects on the SHS, such as murals, need to go through the Caltrans transportation art process, in addition to the encroachment permit process, which can be time consuming. See Caltrans' [Transportation Art Guidelines for Local Agencies](#) and the [Transportation Art Proposal](#) for details. [Gateway Monuments](#) and [Community Identification](#) projects on Caltrans right-of-way entail separate processes and requirements.

All art projects, whether they are on the SHS or not, should have maintenance agreements with artists detailing how the art will be maintained, such as how graffiti will be prevented. These agreements take time to set up.

We also recommend investigating if permits from other agencies, such as the U.S. Army Corp of Engineers, are needed for your project. Obtaining permits from Federal Agencies can take a particularly long time.

In general, the most competitive projects will have all permits approved at time of CCLGP application submittal. At a minimum, applicants need to discuss

which permits are still outstanding, and describe a realistic schedule for when they will be obtained, in the Narrative section of the application.

Time to bid for consultants or subcontractors, and establish those contracts, should also be factored in when creating the project schedule.

Finally, it takes an average of approximately six months to process a grant agreement between Caltrans and an awardee for this program. This needs to be accounted for in the schedule. A key reason for why it takes approximately six months to execute a grant agreement with Caltrans is that the grant agreement package must include a board resolution from a city or tribal council, demonstrating support for the project, among other things. Since certain councils meet infrequently, it can take time to obtain this resolution. Thus, time for obtaining this resolution should be factored into the schedule. Some applicants must obtain a board resolution to apply to the CCLGP. If your agency is one of these applicants, consider obtaining a resolution to execute a grant agreement with Caltrans at the same time you are obtaining a resolution to apply to the CCLGP. This can save significant time in the project schedule.

The above factors will be included in the template for the Scope, Cost, and Schedule, to be provided by the Call for Projects, so that applicants are reminded to consider these factors when building their project schedule.

Other Attachments

The application will allow additional documents to be uploaded beyond what is listed above. Templates for the attachments will be provided on the [CCLGP website](#) by the Call for Projects and will include instructions on how to complete them.

The following attachments will be required with all applications:

- Project Outcomes Spreadsheet
- Area Surrounding the Project Site and Relative Population Benefit to Underserved Communities Form
- Narrative
- Scope of Work, Cost, and Schedule Workbook
- Local Match Form
 - This attachment is required for all applications except Tribal Community applications. See the section [Local Match Requirement](#) for details.
- Application Checklist

The below attachments will only be required for certain projects:

- If the project is requesting an advance payment, an advance payment spending plan
- If the project includes in-kind contributions, letters of commitment from third party contributors
- For infrastructure projects, a copy of the project's right of way certification document

Applicants can optionally upload an "Other materials" attachment, that includes additional materials that help demonstrate why the proposed project is needed. Examples of such materials include:

- Letters of support from the community
- Letters of support from a Mayor, City Manager, or similar official
- A Board or Tribal Council resolution
- Project renderings
- Survey results
- Additional maps
- Outreach materials

All of these additional materials should be combined and attached to the application as a single PDF.

Other Selection Considerations

The State may consider additional factors in its selection decisions. These include, but are not limited to:

- The usability of the project. Projects that are more usable by the community at large or that reclaim public space are more competitive.
- Projects with tangible and lasting benefits, such as infrastructure projects, are more competitive.
- Projects that are NOT near any other Caltrans funded projects are more competitive, because these arguably have a greater need for funding.
- Projects that are shovel ready, have all necessary permits in place, and have completed Design will be more competitive. The phrase "shovel ready" usually means that a project is at 100% design.
- Geographic distribution of awardees across the State.
- Projects that don't include any ineligible items in the cost proposals are more competitive. For projects that do include ineligible items, we may reduce the award or disqualify the application.
- Responsiveness and responsibility of the applicant, based on data such as previous performance on Cycle 1 of the CCGP or other Caltrans grant

programs. Previous performance on Cycle 1 of the CCLGP will be judged based on factors such as timeliness of invoice and quarterly report submissions. The State further reserves the right to reject an applicant who is in violation of any law or policy at another public agency. Potential violations include, but are not limited to, being in default of performance requirements for other contracts or grant agreements issued by the State, engaging in or being 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. Caltrans cannot enter into a grant agreement with an agency that is sanctioned by the State of California while such sanctions are in effect.

Grant Project Administrative Requirements

Sub-contracts

If a grant recipient or a sub-recipient will hire a third-party to perform work during the project, proper competitive procurement procedures must be used. Grant recipients may use their agency's procurement procedures, as long as the procedures comply with all applicable provisions of State law and policy, including but not limited to, Chapter 10 of the [Caltrans Local Assistance Procedures Manual \(LAPM\)](#) (which mainly discusses how to select architectural and engineering consultants), the [State Contracting Manual](#), and the [California Public Contract Code](#), and the [California Government Code](#). If an awardee is interested in subcontracting and this was not already stated in their grant application, they must inform their CCLGP District Grant Manager in writing. Also, grant recipients should send District Grant Managers the completed bid package, including final cost estimates, for the contractor or consultant they select prior to or along with their first invoice seeking reimbursement for that consultant's or contractor's services. If the subcontractor wants to get reimbursed for indirect costs, documentation showing that they have an approved indirect cost rate should also be included in the bid package. For information on consultant indirect cost rates, visit [this page](#) on the Independent Office of Audits and Investigations (IOAI) website.

A grant recipient is fully responsible for all work performed by its sub-recipients, consultants, or sub-consultants. Caltrans solely enters contracts directly with primary grant recipients.

Financial Requirements

Accounting Requirements

Grant recipients 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 grant recipient, including its sub-recipients and sub-contractors, must conform to [Generally](#)

[Accepted Accounting Principles](#) that enable the determination of incurred costs at interim completion points. This accounting system must also provide support for reimbursement payment vouchers or invoices sent to or paid by Caltrans. Reimbursable project costs must comply with [2 Code of Federal Regulations \(CFR\), Part 200](#).

It is the grant recipient's responsibility to monitor work and expenses to ensure the project is completed according to the contracted Scope, Cost, and Schedule. The grant recipient agrees to revert all unused grant funds to the Department if they are not expended within the timeline specified in the grant agreement. In the event of nonperformance by the grant recipient, or if project outcomes and benefits are not met, the Department shall require full recovery of all disbursed grant funds. A grant recipient shall provide a money transfer confirmation within 60 days upon the receipt of a notice from the Department that grant funds must be reimbursed. If a grant recipient does not expend funds within the timeline specified in the grant agreement or does not perform, this could also impact the grant recipient's competitiveness in any potential future funding cycles of this program.

Grant recipients must submit invoices on a regular and timely basis. This is no more frequently than monthly and no less frequently than every six months for projects not requesting advance payments. Invoicing must occur monthly for projects requesting [advance payments](#).

Costs incurred prior to or after the end date of an executed agreement are not eligible for reimbursement and will not be counted towards local match requirements. CCLGP funds shall not supplant other committed funds and are not available to fund cost increases. Funds must be expended concurrently and proportionally with the approved local match unless an advance payment request is approved. If a project is funded through other funding sources, all sources must be expended concurrently and proportionally on the project phase programmed with competitive program funds. Proportional invoicing of grant funds will be determined by a reimbursement ratio. The reimbursement ratio is calculated as the total CCLGP funds awarded divided by the subtraction of any non-participating funds and in-kind contributions from the Total Project Cost. Cost savings will be shared proportionally between all committed fund sources.

Grant recipients must communicate early and often with the Caltrans CCLGP District Grant Manager to ensure any issues are addressed early during the project period.

Audits and Investigations

CCLGP projects are subject to audit. Therefore, all financial records related to the project must be retained for a minimum of three years from project closeout. For information on Audits and Corrective Actions, see [Chapter 20 of the LAPM](#).

Reporting

Upon execution of a CCLGP agreement, grant recipients 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 within budget. They will be submitted electronically and due within 45-days of the end of a quarter.

The State may make periodic visits, including a final inspection, to project sites. The State will determine if the work is consistent with the approved project scope. Caltrans staff 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 November 1, 2026.

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 for grant recipients. Photos should not include the faces of individuals. Caltrans must be granted the right to use photos of the completed project.

Project Amendments

The CCLGP will not participate in cost increases to the project. Any cost increases must be funded from other fund sources, even if these cost increases are unforeseen or from forces outside of the awardee's control, such as inflation. If there is a change in the project cost, it must be reported through the quarterly project reporting process.

Scope changes will not be considered unless the change is minor, does not reduce project benefits, and does not change the approved project schedule. Scope changes must be requested in writing to the Caltrans CCLGP District Grant Manager and may require an amendment to the restricted grant agreement.

Projects must be complete with all implementation funds expended by June 30, 2026. If the project involves infrastructure components, these must be opened to the public by June 30, 2026. Amendments for time extensions are not permitted.

Since amendments for time extensions and cost increases are not permitted, it is important to be conservative when building the [Scope, Cost, and Schedule](#) component of the application.

Grant Agreement Processing

A restricted grant agreement (RGA) 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. A copy of the grant agreement will be made available on the CCLGP website for viewing. After awardees are announced, Caltrans will send each awardee a grant agreement with project and agency specific information in it for the awardee to review, sign, and return to Caltrans.

The RGA will be one component of a larger RGA package, that will also include documents such as the original application, a Local Board Resolution, and if applicable, a letter or other approval document indicating the indirect cost rate approved by Caltrans or the awardee's Cognizant Agency (this would apply only if the awardee is seeking reimbursement for indirect costs).

In Cycle 1, on average it took approximately six months to execute a RGA between Caltrans and an awardee. Key reasons for this include that some awardees' Boards meet infrequently, and thus, it took several months to obtain a Local Board Resolution. For Cycle 2, we recommend obtaining a Board Resolution as soon as possible. A sample Local Board Resolution template will be posted on the CCLGP website by the Call for Projects. Some agencies need Board Resolutions just to apply to the CCLGP. If it is possible, we encourage those agencies to obtain a resolution to execute the RGA at the same time they are obtaining the resolution to apply to the CCLGP. This can save significant time. Also, in Cycle 2, time to execute the RGA with Caltrans must be factored into the [project schedule](#) in the application, to ensure the project can still be delivered by June 30, 2026.

The Caltrans Master Agreement/Program Supplement process will not be used for this program.

Payment Process

For an item to be eligible for payment, the primary use or function of that item must meet the program goals and be consistent with the approved grant scope and budget as well as applicable cost principles. Payments will be made by reimbursement unless advance payment is requested and approved.

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 as well as receipt of the Notice to Proceed letter from Caltrans.

Applicants may request advance payment. 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 may provide funding directly to Federally Recognized Tribal Governments; however, the contracting process requires the Tribal Government to grant a limited waiver of sovereign immunity for the purposes of their CCLGP

project and for the duration of the project. Grant agreement language related to the limited waiver of sovereign immunity as well as dispute resolution will be posted to the CCLGP website for Federally Recognized Tribes to review prior to applying to the program. As an alternative to waiving sovereign immunity, Tribal governments may consider applying as a sub-applicant through partnership with a public or transit agency. To discuss options for applying to this grant as a Tribal Government, please contact CleanCA.LocalGrant@dot.ca.gov.

If requesting reimbursement for indirect costs, grant recipients must provide an approved Indirect Cost Allocation Plan/Indirect Cost Rate Proposal (ICAP/ICRP) agreement with Caltrans, or the grant recipient's "cognizant" agency, for each year that the grant recipient is seeking reimbursement for indirect costs. A "cognizant" agency is the Federal agency responsible for reviewing, negotiating, and approving cost allocation plans or indirect cost proposals. If the agency does not have a current ICAP/ICRP with Caltrans or its cognizant agency and wants to be reimbursed for indirect costs, it can submit an ICAP/ICRP request to the Caltrans Internal Audits Office (CIAO)⁷ in accordance with the options and submission processes found on the following webpage: <https://dot.ca.gov/programs/audits>. Agencies can also e-mail audits@dot.ca.gov. The ICAP/ICRP documentation must be included in the executed grant agreement package if the agency is seeking reimbursement for indirect costs. Note that if the agency submits an ICAP/ICRP request to CIAO, it can take time for this request to be reviewed and approved, which can delay the grant agreement execution process. Thus, Caltrans recommends submitting the ICAP/ICRP request to CIAO as soon as possible.

Advance Payment Process

As described in State statute, Caltrans may authorize advance payments necessary for projects funded by the CCLGP. 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 advance payment, the applicant acknowledges that the Advance Payment guidelines and conditions contained herein in the following sections are solely for the purposes of the CCLGP.

Conditions

Recognizing that appropriate safeguards are needed to ensure grant moneys are used responsibly, the Legislature has outlined the grant conditions described

⁷Note that CIAO is responsible for reviewing government and non-profit annual indirect cost rates. For information on consultant indirect cost rates, please visit <https://ig.dot.ca.gov/resources/instructions-fdr-icr>.

below to establish control procedures for advance payments. Accordingly, the Department may provide advance payments to grant applicants 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 can offer sufficient capital, as determined by the Department, as security for an advance payment.
- f. Upon request of the Department, the grant applicant can provide 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 grant applicant's request for advance payment, the Department has established the following additional conditions of award.

Advance Payment Amounts

A grant applicant 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. Upon request, the grant applicant can provide a finding approved by its governing body that demonstrates the financial need for an advance payment.

- e. The grant applicant 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 grant applicant agrees to revert all unused moneys to the Department if they are not expended within the timeline specified in the grant agreement.
- g. The grant applicant assumes legal and financial risk of the advance payment.
- h. In the event of nonperformance by the grant recipient, the Department shall require full recovery of all disbursed moneys. A grant recipient shall provide a money transfer confirmation within 60 days upon the receipt of a notice from the Department.

Fiscal Administration

- a. The grant applicant shall indicate its request for advance payment on the initial application. A spending plan shall be submitted with the application.
 - 1. The spending plan shall include project schedules, timelines, milestones, and the grant recipient's fund balance for all State grant programs applied to the project.
- b. If awarded, the grant applicant shall submit an updated spending plan along with an Advance Payment Invoice to the Department for review prior to receiving the advance payment.
 - 1. The grant recipient will report to the Department any material changes to the spending plan within 30 days of identification of the change.
- c. The grant recipient shall invoice ***monthly***⁸, commencing at the conclusion of the first full calendar month of project implementation. Reimbursement packages shall include supporting documentation for all expenditures. Documentation includes but is 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 advance funds. Any funds not accounted for shall be returned to the Department.
- e. The grant recipient shall place funds advanced under this section in an interest-bearing account. The grant recipient shall track interest accrued on the advance payment. Interest earned on the advance payment shall

⁸Note, projects that do not request Advance Payments may submit invoices no more frequently than monthly and no less frequently than every 6 months. See the section [Accounting Requirements](#) for details.

be used for eligible grant-related expenses as outlined in [Eligible Activities and Expenses](#), or returned to the Department.

- f. The grant recipient shall report to the Department the value of any unused balance of the advance payment and interest earned.
- g. The grant recipient 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 grant recipient submits the following to the Department:
 - i. A fully executed Restricted Grant Agreement package, that includes an Updated Spending Plan. The Updated Spending Plan should include project schedules, timelines, milestones, and the grant recipient's fund balance for all fund sources applied to the project.
 - ii. Advance Payment Invoice (template to be provided by the Department)
- b. The grant recipient must email the completed Advance Payment Invoice and Spending Plan to the CCLGP District Grant Manager. 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 progress reports must substantiate grant costs incurred as discussed in the [Reporting](#) section for which the advance payment was utilized.

Program Evaluation

The CCLGP will be evaluated for its effectiveness in substantively meeting its goals. Grant recipients must collect and submit data to Caltrans as described in the [Reporting](#) section. As part of each fiscal year California budget, Caltrans shall report to the Legislature on the CCLGP, including, but not limited to, cubic yards of litter collected, the locations and types of projects, and any other key program outcomes. The report will include a discussion on program effectiveness 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 program administration, 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 underserved communities.

Appendix A.1. Example Calculations to Determine Required Local Match for a Fictitious Project

For demonstration purposes, this appendix performs an example calculation to determine the required local match for a fictitious project. You will first determine the SOD of the surrounding community, and then use that number to determine the corresponding required local match. The required local match will decrease as the SOD of the surrounding community increases.

Fictitious Project Summary:

The sample project proposes improving the parkland at the Greenside Park within the City of Eureka, CA (M St & 12th St, Eureka, CA 95501) with trash receptacles, a mural, shade trees, and walking path.

Step 1. Choose a definition by which to define the community surrounding the project as underserved. See the section [Underserved Communities](#) of these guidelines for more information. If the community surrounding the project is considered underserved based on multiple options, choose the option that best supports the community's status as underserved. Per Option 5, Federally Recognized Tribes require zero local match, and thus do not need to perform any of these calculations.

Step 2. Determine the SOD of the community surrounding the project:

$$\begin{aligned} \text{SOD of} \\ \text{surrounding} \\ \text{community} &= \text{Weighted average of the SODs of the surrounding census tracts}^9. \\ &= \frac{\text{Sum}[(\text{Pop. CT 1} \times \text{metric score CT 1}) + (\text{Pop. CT 2} \times \text{metric score CT 2}) + (\text{Pop. CT N} \times \text{metric score CT N...})]}{\text{Sum}(\text{Pop. CT 1} + \text{Pop. CT 2} + \text{Pop. of CT N...})} \end{aligned}$$

Where:

- **Pop. CT** = Population of a census tract within a ½ mile radius of the perimeter of the project site or sites.
- **Metric Score** = The underserved community score of a census tract is determined using one of the allowable four options listed in Table 2 of the guidelines. Note, Federally Recognized Tribes automatically qualify for 0% local match.

Perform this calculation using Table 1, SOD of Community Surrounding the Project Site(s), below. When calculating SOD, the same definition of underserved community must be used throughout Table 1.

⁹ Communities with a population of less than 15,000 may use data at the Census Block Group level. Unincorporated communities may use data at the Census Place level.

| Table 1. SOD of Community Surrounding the Project Site(s) | | | | | |
|---|--|---|--------------------------------|--|----------------------------------|
| List the Option Used to Determine SOD: (For information on the 4 options, see the section “ Underserved Communities ”.) | | | | AMI | |
| Location Relative to Project Site(s) | | Census Tract¹⁰ Number | Census Tract Population | Metric Score of Census Tract using the chosen option listed above. | SOD of Tract (3) x (4) |
| (1) | | (2) | (3) | (4) | (5) |
| 1 | Project Site A | 5555.55 | 4450 | \$32,500 | \$144,625,000 |
| 2 | Within a ½ mile radius of the perimeter of the project site. | 6666.66 | 4998 | \$28,700 | \$143,442,600 |
| 3 | Within a ½ mile radius of the perimeter of the project site. | 1111.11 | 4242 | \$51,600 | \$218,887,200 |
| 4 | Within a ½ mile radius of the perimeter of the project site. | | | | |
| 5 | Project Site B | | | | |
| 6 | Within a ½ mile radius of the perimeter of the project site. | | | | |
| 7 | Within a ½ mile radius of the perimeter of the project site. | | | | |
| 8 | Within a ½ mile radius of the perimeter of the project site. | | | | |
| TOTALS | | | 13,690 | | \$506,954,800 |
| SOD of Community Surrounding the Project | | | = | Total of Column 5 Total of Column 3 | = \$37,031 |

¹⁰ Communities with a population of less than 15,000 may use data at the Census Block Group level. Unincorporated communities may use data at the Census Place level.

Why we filled in Table 1 as we did:

- We chose Option 1, Area Medium Income (AMI), to define an underserved community. Then we looked up the project address in the 2017-2021 American Community Survey 5-yr. Estimates (ACS5) and found it is in census tract 5555.55 with a population of 4,450 people and a median income of \$32,500. We logged this information on line 1.
- We then drew a 1/2-mile buffer around the project perimeter and identified all other census tracts that fell totally or partially within buffer limits: census tracts 6666.66 and 1111.11. We completed lines 2 and 3 based on the populations and median incomes of those tracts.
- The remaining values auto calculated. The tables that will be provided on the CCLPG website will be fillable and calculate for you. (Note, all dollar values and populations shown were made up for demonstration purposes only.)

Step 3. Use Table 2 below to determine the required local match based off the SOD of Community Surrounding the Project. For this example, the required local match would be 0% (see highlighted values).

| Table 2. Severity of Disadvantage and Corresponding Local Match Requirement | | | |
|---|--|-------------------------------|------|
| <i>SOD Criteria</i> | <i>Ranges for SOD of Community Surrounding the Project</i> | <i>Required Local Match %</i> | |
| Option 1: Area Median Income (AMI) compared to Statewide Median Income (SMI)* | | | |
| Data: Census Tract Level Data from the 2017-2021 American Community Survey 5-year (ACS5) Estimates | | | |
| If the AMI SOD of the surrounding community is... | > \$67,278 | Then local match is... | 50 |
| | \$63,518 to \$67,278 | | 37.5 |
| | \$59,757 to \$63,517 | | 25 |
| | \$55,996 to \$59,756 | | 12.5 |
| | < \$55,996 | | 0 |
| Option 2: CalEnviroScreen 4.0 Score (not percentile) | | | |
| Data: CalEnviroScreen 4.0 Results | | | |
| If the CalEnviroScreen 4.0 SOD of the surrounding community is... | < 40 | Then local match is... | 50 |
| | 40 to 43 | | 37.5 |
| | 44 to 47 | | 25 |
| | 48 to 51 | | 12.5 |
| | > 51 | | 0 |
| Option 3: Percentage of Students that Receive Free or Reduced Lunches | | | |
| Data: California Department of Education website | | | |
| If the Free Lunch SOD of the surrounding community is... | < 75 | Then local match is... | 50 |
| | 75 to 79 | | 37.5 |
| | 80 to 84 | | 25 |
| | 85 to 90 | | 12.5 |
| | > 90 | | 0 |
| Option 4: Healthy Places Index (HPI) Score (use overall HPI score only) | | | |
| Data: California Healthy Places Index website | | | |
| If the HPI SOD of the surrounding community is... | > 25 | Then local match is... | 50 |
| | 21 to 25 | | 37.5 |
| | 16 to 20 | | 25 |
| | 10 to 15 | | 12.5 |
| | < 10 | | 0 |
| Option 5: Tribal Communities | | | |
| Data: List of Federally Recognized Tribal Governments in California | | | |
| If the project applicant or sub-applicant is a Federally Recognized Tribal Government and the project area is located within or partially within Federally Recognized Tribal Lands, lands owned by or held in trust for an Indian tribe, allotted lands, and/or sensitive tribal areas. | | Then the local match is... | 0 |
| *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. | | | |

Appendix A.2. Definition of the Project's Relative Population Benefit (PB) (Underserved Communities)

$$\text{Project's Relative PB (Underserved Communities)} = \frac{\text{Project's Infrastructure PB (Underserved)} \times 30}{\text{Project's Infrastructure PB (Overall)}}$$

Where:

Infrastructure Work PB Underserved = Sum of the population of all underserved census tracts¹¹ within a ½ mile radius of the perimeter of the project site(s).

Infrastructure Work PB Overall = Sum of the population of all census tracts within a ½ mile radius of the perimeter of the project site(s).

The spreadsheet to perform the calculations will be provided on the CCLGP website by the Call for Projects. When submitting the application, complete the spreadsheet and attach it to your application. Example calculations will be provided.

¹¹ Communities with a population of less than 15,000 may use data at the Census Block Group level. Unincorporated communities may use data at the Census Place level.