



Agenda Item B.4
CONSENT CALENDAR
Meeting Date: March 7, 2023

TO: Mayor and Councilmembers

FROM: Charles W. Ebeling, Public Works Director

CONTACT: Melissa Nelson, Environmental Services Manager

SUBJECT: Grant Pursuit Request for Caltrans Clean California Local Grant Program
Application for Old Town Goleta

RECOMMENDATION:

Authorize Solid Waste and Environmental Services Division staff to pursue the Clean California Grant for beautification and trash reduction in Old Town Goleta.

BACKGROUND:

The California Department of Transportation (Caltrans) developed the Clean California Local Grant Program through which funds will go to local communities to beautify and improve local streets and roads, tribal lands, parks, pathways, and transit centers (Attachment 1). Through the combination of adding beautification measures and art in public spaces along with the removal of litter and debris, this effort will enhance communities and improve spaces for walking and recreation.

The goals of the Clean California Local Grant Program are to:

- 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 connection, and community placemaking by improving public spaces for walking and recreation.
- Advance equity for underserved communities.

Applications are due by April 28, 2023. Award notification is anticipated in August/September of 2023. The project scope must be completed by June of 2026.

DISCUSSION:

Old Town Goleta has been a center of commerce, industry and community gathering for decades. It contains many cultural resources, historical buildings, the most diverse population in the City, numerous locally-owned businesses and restaurants, as well as some of the more affordable housing in our area. Old Town Goleta is where our community gathers, and many community resources are sited, such as the Goleta Community Center (GCC), Boys and Girls Club of Goleta, several popular parks, a major City creek, gathering spaces, and more.

While Old Town Goleta is vital to our community, the Census Tract (6083003001) area is classified as disadvantaged by the CalEnviroScreen 2022 rating (Attachment 2), which evaluates several metrics, primarily those associated with socioeconomics and environmental pollution risk factors. Goleta has historically been a center for industry, which can affect the rating; the existence of certain industrial sites, some commercial sites, or even City/County facilities factor into the risk calculation.

Aside from the CalEnviroScreen rating, data collected by the City's Solid Waste and Environmental Services (SWES) Division shows that certain areas in Old Town Goleta are hot spots for trash, litter, and illegal dumping (Attachment 2). There has also been a strong desire within our community to engage in beautification efforts, such as plantings, murals, public art, and more.

The SWES division, in collaboration with other departments, is in the process of developing and refining the proposed scope for application submittal. While the details are subject to change between now and April, and will include any input from City Council, the proposed scope of work for this application includes the following elements:

1. **Beautify Old Town:** The Beautify Goleta program is a Citywide program that currently includes bulky items collection and a volunteer cleanup program at different areas throughout the City on a rotating basis, with Old Town having one event per year. To overcome the area's trash hotspot disadvantage, Beautify Old Town would include both services during every event, and new site captains would be identified to increase capacity. Additionally, Beautify Goleta volunteers for Old Town would be recruited to plant and tend to drought-tolerant plants, and engage in other housekeeping efforts. Online tools will be developed to connect with the community, collect data, and track progress.
2. **Street Sweeping Pilot Test Phase II:** The SWES division has developed a pilot test that started in October 2022 and will continue through 2023 (Phase I). This first phase includes sweeping opposite sides of the street on opposite days, monthly messaging about street sweeping, and monthly manual cleaning around obstructions in Old Town trash hot spot areas. Phase II will commence in or around early 2024. This program will be modified to focus on remaining hotspots, to include additional manual litter removal, additional sweeps, targeted messaging, and potentially temporary parking restrictions. Depending on the success of this pilot program, the City will continue with this program or use the information to guide a different approach.

3. **Full Trash Capture:** The application scope would include the installation of full trash capture devices on several storm drain inlets to decrease the amount of trash that ends up in creeks, community centers, roads, and open spaces.
4. **New Trash Cans:** The existing 20 to 25 cans in Old Town Goleta are aging, have functional issues (leaking), and do not clearly delineate trash vs. recyclables. Replacement of all public trash cans along Hollister Avenue would be included in this application.
5. **Landscaping and Infiltration Features:** The SWES division has identified several areas throughout Old Town where infiltration features, landscaping, and full trash capture features can help to improve aesthetics, drought tolerance, reduce trash and runoff pollution, and provide recharge to San Jose Creek, an important City creek that runs through Old Town.
6. **Building Façade Pressure Washing and Art Murals:** The City would provide for pressure washing of and art mural installation on commercial building facades in the Old Town area. Projects would be selected based on application approval, as allowed in the grant rules. Application criteria would assess financial and aesthetic need, historical significance of the business or building, and Old Town character, among other criteria. Art mural installations are subject to Caltrans guidelines (Attachment 1, page 7).
7. **Old Town Goleta Welcome Sign:** Bilingual welcome signs along Hollister Avenue would be included to welcome residents and visitors to the historical area, add beautification elements, and further create a sense of community and placemaking.
8. **Art Murals and Public Art:** Public art and art murals would be installed in areas throughout the City to increase cultural connection, placemaking, and beautification. Chosen art would be based on art contest submittals, with public involvement, and would follow Caltrans guidelines (Attachment 1, page 7). The following places have been identified as potential sites for public art: public buildings, crosswalk/sidewalk art, storm drain inlets, future retaining wall near San Jose Creek bike path, newsstands, and mailboxes.
9. **Education and Outreach:** Education and outreach will be tailored to engage, educate, and benefit underserved populations of the community regarding waste reduction programs, creeks and watershed protection, and Goleta history. All outreach would be bilingual, and would include: educational placards along trails, in parks, and other areas of interest; creation of content for a bilingual in-person business and school outreach program; a walking tour app; and Univision ads, in addition to social media and press releases. Outreach materials will include information on existing or future volunteer, internship, and employment opportunities.
10. **Partnerships with Key Organizations:** To the extent applicable, the City will partner with local organizations focused on equity advancement, including environmental equity.

These project components are currently in the scoping and development phase and are subject to modification.

GOLETA STRATEGIC PLAN:

This grant opportunity would support the following.

City-Wide Strategies:

- No. 1. Support Environmental Vitality
- No. 2. Support Community Vitality and Enhanced Recreational Opportunities
- No. 4. Support Economic Vitality

FISCAL IMPACTS:

The fiscal impacts are yet unknown. Up to \$5 million can be provided per project; projects below \$3 million will be more competitive.

ALTERNATIVES:

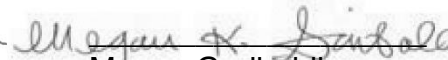
The City can choose not to pursue this grant opportunity and either allocate other resources to complete the scope, or decide not to pursue these scope elements.

Reviewed By:

Legal Review By:

Approved By:


Kristine Schmidt
Assistant City Manager


Megan Garibaldi
City Attorney


Robert Nisbet
City Manager

ATTACHMENTS:

1. Clean California Grant Guidelines
2. Old Town Census Tract Area and Trash Hot Spots Map

ATTACHMENT 1

Clean California Grant Guidelines

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Clean California Local Grant Program

Program Guidelines

CYCLE 2

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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. Other parts of the Clean California 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 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 tribal governments, among other stakeholders.

Budget

The program is funded by approximately \$100 million dollars in fiscal year 2023/2024 General Fund money. 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 will be completed by June 30, 2026.

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

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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 until April 2023.

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	January 2023
Workshops #3 - #5 on the Application	January through March 2023
Project Application Deadline	April 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 implementation funds expended by this date.	June 30, 2026
Date by when awardee must submit final invoice and project closeout reports to Caltrans. Awardee may be reimbursed for project closeout costs incurred prior to this date.	November 1, 2026
Date by when Caltrans must complete final invoicing and project closeout.	December 31, 2026

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 win multiple awards. If applicants submit

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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.

The applicant chooses the specific project location(s), however, the location(s) must be:

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- On public property. For instance, a private residential road is not an eligible project location. A mural on the side of a private business in a downtown area would be an eligible project site if the below condition is 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, that can be produced upon request. 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 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 tracts within a half mile of the perimeter of the project site(s). If the applicant's target audience is outside of this radius or located in a tighter radius around the project site, they will be asked to state in the Narrative where their target audience is located and provide a justification for this as well as why their project site should be eligible to apply.

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 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](#)

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[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 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.
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.

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- 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, as long as it occurs 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.
- Acquisition of vehicles or shuttle programs.
- Stipends or gift cards.
- 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.

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.

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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). 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:

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- 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 tracts within a ½ mile radius of the perimeter of the project site (or sites, if there are multiple locations.) This is true even if in the Narrative, you provided a justification for why your project's target audience is located outside of this radius or located in a smaller radius around the project site. 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.

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 include a 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.

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

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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 5 options listed in Table 2 of the guidelines.

When calculating SOD, the metric score of all census tracts must be determined using the same option. The 5 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 January 2023, 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 in an Excel spreadsheet 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.0](#).

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Table 1. SOD of Community Surrounding the Project Site(s)					
List the Option Used to Determine SOD: (For definitions of each of the 5 options, see the section " Underserved Communities ".)					
Location Relative to Project Site(s)		Census 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			=	Total of Column 5 Total of Column 3	=

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.

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Table 2. Severity of Disadvantage and Corresponding Local Match Requirement			
SOD Criteria	Ranges for SOD of Community Surrounding the Project	Required Local Match %	
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.			

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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 federal program guidelines for details.
 - 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, 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.
 - Volunteered time from stakeholders. Note that volunteered time from a community member can not be considered an in-kind contribution, however, if an employee is working on the project and not charging their time against it, then their hourly rate could be considered an in-kind match.
 - 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. If a project is awarded funds, as part of the grant agreement the grant recipient will be asked to provide

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letters of commitment from each third-party contributor detailing what goods or services are included with the match, the retail value of those goods and services, and a commitment to reaching the project completion date of June 30, 2026.

Project Application and Award Process

1. Applications, including the supporting documentation, will be submitted online **by 5:00 PM Pacific Standard Time sharp** on the application deadline, which will be in April 2023:
 - a. Access to the application and other required templates will be available on the CCLGP website by January 2023
<https://cleancalifornia.dot.ca.gov/local-grants/local-grant-program>.
 - b. No hardcopy applications will be accepted.
2. Project Proposals are 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 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 on the CCLGP website by January 2023.
 - b. Incomplete or ineligible applications may be removed from the competitive process.
 - c. Caltrans grant program staff then compiles all the scored applications from throughout the State and awards projects based on highest score, unless the application is incomplete, ineligible, or non-responsive to the program criteria and requirements described in these guidelines.
 - d. Award recommendations are submitted to the Secretary of the California State Transportation Agency for concurrence.
3. The list of awarded projects will be posted to the Caltrans website by September 2023. An email will also be sent to our mailing list announcing the awardees. 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.

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4. Grant Agreements between the grant recipients and Caltrans are 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 and permits 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, including Cycle 1 of the CCLGP, 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 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.

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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 January 2023.

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 public property but has written approval from the owner to make improvements to the public 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, and other public spaces.

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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,

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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 and are more shovel-ready 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.

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The PB to underserved communities is the sum of the population of all *underserved* census tracts within a half mile radius of the perimeter of the infrastructure project. This is true even if in the Narrative, you provided a justification for why your project's target audience is located outside of this radius or located in a smaller radius around the project site. 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 Appendices A1-A3.

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 January 2023 on the CCLGP website:

- The scope must include detailed project plans, and/or an educational programming workplan.
- 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](#), 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 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.

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For this reason, it is important for applicants to be conservative in cost estimates and include a 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. 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.

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Finally, it takes on average approximately 6 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 6 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. 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.

The above factors will be included in the template for the Scope, Cost, and Schedule, to be provided by January 2023, 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. Details on what these attachments should include will be in the Application Instructions that will be provided on the [CCLGP website](#) by January 2023.

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 need minimal Design time will be more competitive. For larger infrastructure projects, this usually means that they are at 80% to 90% design.
- Geographic distribution of awardees.
- 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. 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

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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 and permits necessary to carry out the project.

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. They should also comply with Chapter 10.2 of the [Caltrans Local Assistance Procedures Manual \(LAPM\)](#) which mainly discusses how to select architectural and engineering consultants, all applicable sections of the California Public Contract Code and Government Code, and any other applicable code. If an awardee is interested in subcontracting, they must inform their CCLGP District Grant Manager and send them the bid package for the consultant they select prior to or along with their first invoice.

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

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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 6 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. 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

Clean California Local Grant Program 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.

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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. 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 are not permitted.

Since amendments for time 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.

In Cycle 1, it took on average approximately 6 months to execute a RGA between Caltrans and an awardee. In Cycle 2, time to execute the RGA with Caltrans must be factored into the [project schedule](#) in the application.

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

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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 notice to proceed 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 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. 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, it can submit an ICAP/ICRP request to the Caltrans Internal Audits Office (CIAO)¹ 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.

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,

¹Note that CIAO is responsible for reviewing government and non-profit annual indirect cost rates. For consultant indirect cost rates, please visit <https://ig.dot.ca.gov/resources/instructions-fdr-icr>.

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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 contained herein 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 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 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 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.

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- c. The use of the advance funds is adequately regulated by project budgetary controls.
- d. The grant applicant provides 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.
 - i. The grant recipient will report to the Department any material changes to the spending plan within 30 days of identification of the change.
- b. 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.
- c. The grant recipient shall submit requests for reimbursement packages **monthly**², 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.

²Note, projects that do not request Advance Payments may submit invoices no more frequently than monthly and no less frequently than quarterly. See the section [Accounting Requirements](#) for details.

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- 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 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, and submit quarterly fiscal accounting reports consistent with the provisions in the CCLGP Grant Agreement.
- 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 Grant Agreement;
 - ii. Advance Payment Invoice (to be provided by the Department); and
 - iii. Updated Spending Plan that includes project schedules, timelines, milestones, and the grant recipient's fund balance for all fund sources applied to the project.
- 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 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 important program outcomes. The report will include a discussion on program effectiveness in terms

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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.

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Appendix A.0. 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, Tribal Communities require zero local match, and thus none of these calculations.

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

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

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 determined using one of the 5 options listed in Table 2 of the guidelines.

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

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Table 1. SOD of Community Surrounding the Project Site(s)					
List the Option Used to Determine SOD: (For definitions of each of the 5 options, see the section " Underserved Communities ".)				AMI	
Location Relative to Project Site(s)		Census 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	5	4450	\$32,500	\$144,625,000
2	Within a ½ mile radius of the perimeter of the project site.	6	4998	\$28,700	\$143,442,600
3	Within a ½ mile radius of the perimeter of the project site.	1	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			=	$\frac{\text{Total of Column 5}}{\text{Total of Column 3}}$	= \$37,031

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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 5 with a population of 4,450 people and a median income of \$32,500. We logged this information on line 1 accordingly.
- We then drew a 1/2-mile buffer around the project perimeter and determined all other census tracts that fell totally or partially within buffer limits. Two tracts met this criterion, census tracts 6 and 1. 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.)

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).

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Table 2. Severity of Disadvantage and Corresponding Local Match Requirement			
SOD Criteria	Ranges for SOD of Community Surrounding the Project	Required Local Match %	
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.			

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Appendix A.1. 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:

$$\text{Infrastructure Work PB Underserved} = \text{Sum of the population of all underserved census tracts within a } \frac{1}{2} \text{ mile radius of the perimeter of the project site(s).}$$

$$\text{Infrastructure Work PB Overall} = \text{Sum of the population of all census tracts within a } \frac{1}{2} \text{ mile radius of the perimeter of the project site(s).}$$

Copies of the forms to perform the calculations are provided in Appendix A2. Example calculations based on a fictitious project are provided in Appendix A3. When submitting the application, complete the spreadsheet that will be on the CCLGP website by January 2023 and attach it to your application.

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Appendix A.2. Form for Calculating Relative PB (Underserved Community)

This will be included in the next version of the guidelines.

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Appendix A.3. Example Relative PB (Underserved Communities)

Calculations Performed for a Fictitious Project

For demonstration purposes, this appendix performs sample relative population benefit calculations based on a fictitious project.

Fictitious Project Summary:

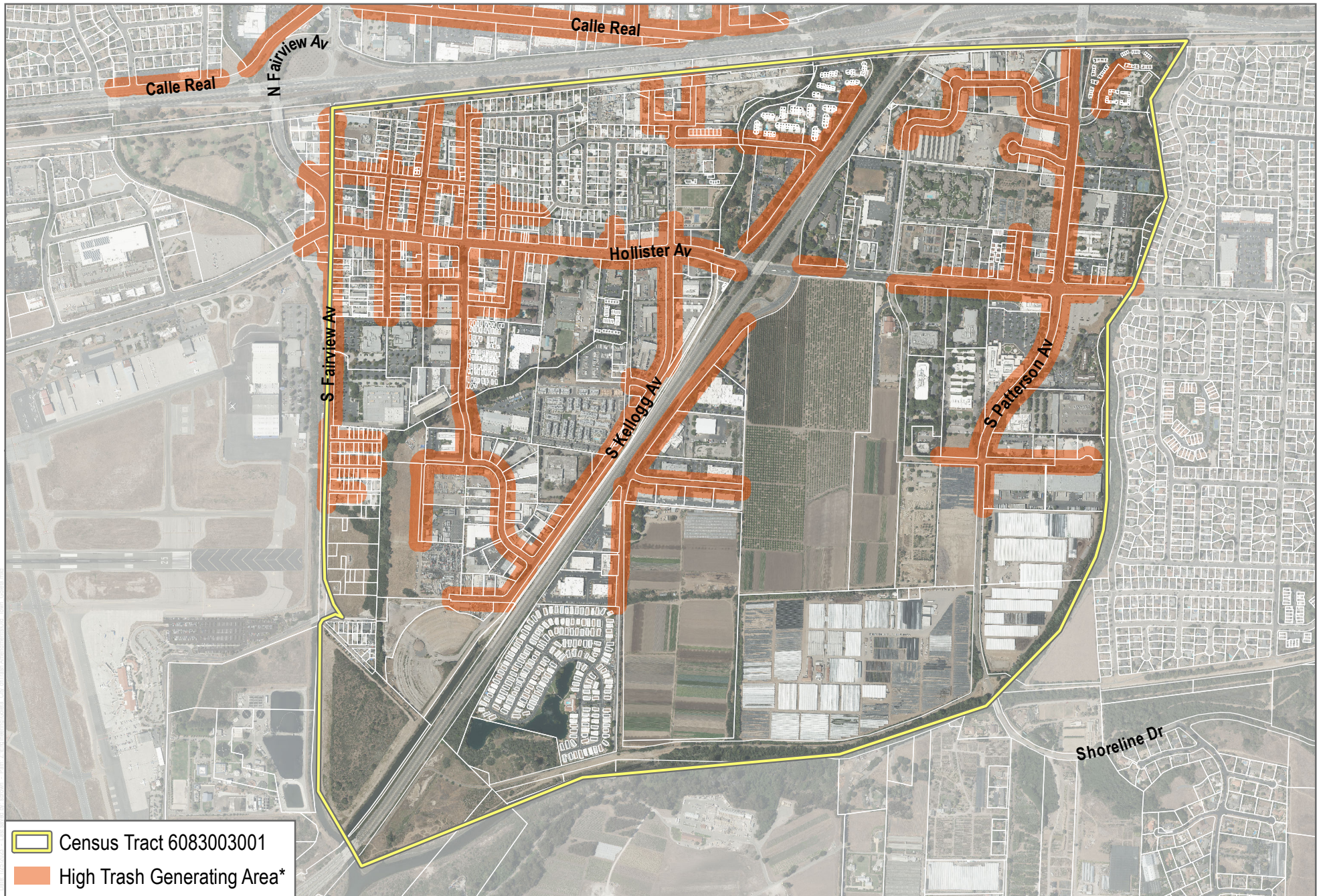
The sample project proposes improving the parkland at the Greenside Park within the City of Eureka, CA (M St & 12th St, Eureka, CA 95501) with trash receptacles, a mural, shade trees, and walking path. I have filled this form out as the applicant for the purposes of showing how this would be accomplished and the results you might see from this.

Example Population Benefit Calculations:

This will be included in the next version of the guidelines.

ATTACHMENT 2

Old Town Census Tract Area and Trash Hot Spots Map



* Data collected from On-Land Visual Trash Assessments (OVTA)



Known High Trash Generating Areas in the
Clean California Local Grant Project Vicinity