



REPORT TO COUNCIL City of Sacramento

915 I Street, Sacramento, CA 95814-2604
www.CityofSacramento.org

Staff Report
March 24, 2009

**Honorable Mayor and
Members of the City Council**

Title: Caltrans Transportation Planning Grant Application

Location/Council District: Citywide

Recommendation: Adopt a **Resolution** to authorize staff to submit a Community-Based Transportation Planning Grant application to Caltrans for a Citywide Streetcar Planning Study.

Contact: Fedolia "Sparky" Harris, Senior Planner

Presenters: Fedolia "Sparky" Harris, Senior Planner

Department: Transportation

Division: Office of the Director

Organization No: 15001041

Description/Analysis

Issue: Caltrans has issued a call for projects for the 2009-2010 Transportation Planning Grants. Applications are due April 1, 2009. Staff has considered several projects that meet the goals and purpose of the two grant programs for which the City is eligible to apply. Based upon the stated goals of the grant programs, City priorities, and prior experience, the Citywide Streetcar Planning Study is the most likely candidate for funding.

Policy Considerations: The action requested herein is consistent with the Sacramento City Code, Title 3, and with the City's Strategic Plan goals of improving and diversifying the transportation system and supporting economic vitality by investing in infrastructure development. Streetcar implementation would also provide a variety of transportation choices consistent with the adopted Smart Growth Policies. Finally, leveraging local funds with state funding is consistent with Council priorities of fiscal soundness.

Environmental Considerations:

California Environmental Quality Act (CEQA): Under the California Environmental Quality Act (CEQA) guidelines, continuing administrative activities do not constitute a project and are therefore exempt from review.

Sustainability Considerations: Attaining funding to study the feasibility and prioritization of streetcar reintroduction into the City of Sacramento furthers the City's commitment to sustainability by laying the groundwork to significantly reduce the use of fossil fuels, to encourage city employees to drive less and engage in clean air practices, to reduce dependence on the private automobile by working with community partners to provide efficient and accessible public transit and transit supportive land uses, and to commit to leading by example to foster behavioral change throughout the city.

Other: None

Commission/Committee Action: None

Rationale for Recommendation: The purpose of a Citywide Streetcar Planning Study would be to evaluate the feasibility of alternative streetcar routes throughout strategic locations in the City, compare alignments for maximum economic, environmental and mobility benefits and finally, develop a priority list for funding and implementation. Several locations for streetcars have been discussed in various forums from the Point West Business Park to Capitol Mall.

The SACOG Regional Blueprint first recognized the need to expand the transit options in Sacramento in order to provide a more efficient transportation network to serve the growth in jobs and housing anticipated in the region over the next 50 years. Sacramento Regional Transit has followed this lead by embarking on an update to their Regional Transit Master Plan. Of the three scenarios under evaluation, the most aggressive envisions a full streetcar network ultimately linking the Sacramento Riverfront, Sac State, Cal Expo, and the Railyards.

A Community-Based Transportation Planning Grant would help the City to better define these potential alignments and analyze their relative viability in order to prioritize the City's limited resources and future funding opportunities. The 2030 General Plan sets the background for substantial change in land uses throughout the City in keeping with the SACOG Regional Blueprint. An analysis of how and where streetcars can enhance this new landscape would clearly promote mobility and access with a clean transportation mode in fulfillment of the grant program objectives.

Completing this study will also arm the City with valuable information to compete for regional, state, and federal funding. The City would also be able to begin discussions with potential operators with the results of such a study.

Financial Considerations: Projects selected for Community-Based Transportation

Planning Grant funding require a 20% local match from non-State and non-Federal funds. Up to half of this local match (10%) can be provided in-kind. Grant funding for any single project is capped at \$300,000. If the Citywide Streetcar Planning Study is awarded \$300,000 from the Community-Based Transportation Planning Grant program, then a local match of \$60,000 would be required. The local match would be funded from previously identified Gas Tax revenues.

Emerging Small Business Development (ESBD): No goods or services are being purchased.

Respectfully Submitted by: 
Francesca Lee Halbakken
Operations Manager

Approved by: 
Jerry Way
Director of Transportation

Recommendation Approved:


Ray Kerridge
City Manager

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Attachment 1**BACKGROUND**

Staff consulted the Planning Department and the Implementation Program for the draft 2030 General Plan for transportation planning projects that would be competitive given the goals and objectives described in the Community Based Transportation Planning Grant Guidelines and the Context Sensitive Planning Grant guidelines.

Six likely candidates rose to the top based on the stated goals and objectives of the Caltrans Transportation Planning Grant programs:

1. A study to identify major barriers to connectivity and appropriate means and locations for overcoming those barriers, including potential river crossings.
2. A Specific Plan for Florin Area
3. A study to identify appropriate routes and roadway markings/signage for Neighborhood Electric Vehicles (NEV's) within the Central city and between urban centers and corridors
4. An update to the Bike Master Plan.
5. A study to identify gaps in transit service provided within the City and strategies to fill those gaps.
6. A study of the existing street network to identify streets that could be made more complete based upon adopted design standards and policies in the General Plan.

Following briefings with the City's Department of Transportation (DOT) division managers and Office of the Director staff, NEV Implementation emerged as a well supported candidate from the initial list and two additional projects were proposed resulting in the following candidate list:

1. A study to identify appropriate routes and roadway markings/signage for Neighborhood Electric Vehicles (NEV's) within the Central city and between urban centers and corridors
2. A study to identify underused rights-of-way, such as street lanes, drainage canals, and railroad corridors, to convert to bikeways and/or pedestrianways
3. A Citywide Streetcar Planning Study.

The Caltrans Transportation Planning Grants have very specific goals. Selecting candidate projects that best conform to these goals will lead to a greater likelihood of funding. The following summarizes the intent of the Caltrans Planning Grants for which the City of Sacramento is eligible to apply:

Transportation Planning Grants are intended to promote a balanced, comprehensive multi-modal transportation system. The Federal and State goals provide a framework for the grant programs. The Environmental Justice: Context-Sensitive Planning and the Community-Based Transportation Planning grant programs reflect State goals.... The results of these grants should ultimately lead to the adoption, initiation, and programming of transportation improvements.

Environmental Justice: Context-Sensitive Planning

Promote community involvement in planning to improve mobility, access, and safety while promoting economic opportunity, equity, environmental protection, and affordable housing for low-income, minority, and Native American communities.

Community-Based Transportation Planning

Fund coordinated transportation and land use planning that promotes public engagement, livable communities, and a sustainable transportation system which includes mobility, access, and safety.

The Northeast Line Light Rail Station Plans and the Swanston Station Infrastructure Needs Assessment and Urban Design Plan both received funding from the Community-Based Transportation Planning program. Both of these projects promoted the integration of appropriate land use planning with public realm improvements adjacent to existing light rail lines and transit stops in the North Sacramento Community Planning area.

In the past, the City of Sacramento has received Environmental Justice Grant funding for projects in South Sacramento and the Del Paso Nuevo area. These areas have a considerable percentage of underrepresented groups. The three projects under consideration are either focused on the urban core or citywide in scope and therefore would not compete well for funds targeted toward low income, minority, and Native American communities.

The strengths of the three proposed projects based on the stated goals of the Community Based Transportation Planning Grant Program are summarized below.

Neighborhood Electric Vehicle (NEV) Implementation

Under this project, the City would conduct a study to identify appropriate routes, facilities, signs and markings, permitting processes, and minimum vehicle design criteria for Neighborhood Electric Vehicles (NEVs) within the Central City and between urban centers and corridors (Draft 2030 General Plan, Part 4 General Plan Administration and Implementation, Table 4.6, Program 9) implementing Policy M 1.5.4 in the Mobility Element. Sacramento City Code Section 10.80 authorizes the City to implement a golf cart transportation program that establishes golf cart lanes, adopts design and safety standards for golf carts, and establishes licensing and financial requirements for golf cart drivers for golf cart use within the city (Ord. 2003-004 § 1). This study would be a slight deviation from the intent of this code section by establishing a plan for broader integration of neighborhood electric vehicles into the transportation options available in the urban core.

In Sacramento, the use of low speed motor vehicles as defined by the California Vehicle Code is spotty at best. Many of the vehicles that fall within this category are compact and electric. The cities of Rocklin and Lincoln as well as Orange County have been proactive in planning for neighborhood electric vehicles and thereby encouraging their use. The net benefit of such planning is the promotion of another transportation option for citizens that desire greater flexibility over transit, as well as greater comfort and speed over walking and bicycling in a compact and less noxious alternative to the automobile.

The unstable price of oil, the need to reduce our dependency on foreign sources of oil, and the need to reduce greenhouse gas emissions suggest the merits of this planning effort from a global perspective. The incorporation of a clean, quiet, convenient and efficient transportation option adds to the livability of Sacramento in a sustainable manner that increases access for our citizens in keeping with the goals of the Community-Based Transportation Planning Grant Program.

Alternative Modes Corridor Identification Study

Under this project, the City would conduct a study to identify underused rights-of-way, such as street lanes, drainage canals, and railroad corridors, to convert to bikeways and/or pedestrianways (Draft 2030 General Plan, Part 4 General Plan Administration and Implementation, Table 4.6, Program 19). This project would implement Policy M 5.1.8.

The City of Sacramento has an established network of facilities to serve pedestrians and bicyclists as well as planned improvements identified in the Pedestrian Master Plan and the Bicycle Master Plan. Implementing Policy M 5.1.8 as described in the 2030 General Plan would provide the City with valuable information to enhance those plans.

While the existing Pedestrian Master Plan strives to create a walkable pedestrian environment throughout the City by identifying all *street segments lacking sidewalks*, a key missing component is the identification of potential pedestrian corridors that are not adjacent to streets. The Bicycle Master Plan specifically recognizes the need to conduct a feasibility study to identify new bikeway facilities.

A Community-Based Transportation Planning Grant would help the City to identify underutilized corridors and to evaluate the potential of those corridors to serve as extensions of the existing and planned bicycle and pedestrian infrastructure. Such an enhancement of alternative modes clearly promotes sustainability and increases safety and accessibility by promoting these uses away from vehicular traffic.

Citywide Streetcar Planning Study

This study is a staff proposed project that was not included in the 2030 General Plan Implementation Programs. The purpose of this study will be to evaluate the feasibility of alternative streetcar routes throughout strategic locations in the City, compare alignments for maximum economic, environmental and mobility benefits and finally, develop a priority list for funding and implementation. Several locations for streetcars have been discussed in various forums from the Point West Business Park to Capitol Mall. Completing this study will position the City with valuable information to compete for regional, State, and Federal funding. The City would also be able to begin discussions with potential operators armed with the results of such a study. A streetcar has the potential to provide an efficient and attractive mode of midday travel that enhances the commercial environment in which it operates. Having a variety of transportation choices including Streetcars promotes accessible alternatives to the automobile and supports the City's economic, land use and transportation goals.

The reintroduction of streetcars into the palette of transportation options in the City of Sacramento will enhance mobility and access for the residents, workers, shoppers, and visitors using a technologically clean mode.

A Community-Based Transportation Planning Grant would help the City to identify potential alignments and analyze their relative viability in order to prioritize the City's limited resources. The 2030 General Plan sets the background for substantial change in land uses throughout the City. An analysis of how and where streetcars can enhance this new landscape would clearly promote mobility and access with a clean transportation mode in fulfillment of the grant program objectives.

RESOLUTION NO. 2009-XXX

Adopted by the Sacramento City Council

CALTRANS TRANSPORTATION PLANNING GRANT APPLICATION FOR 2009-2010

BACKGROUND

- A. The 2030 General Plan sets the background for substantial change in land uses throughout the City. An analysis of how and where streetcars can enhance this new landscape would clearly promote mobility and access with a clean transportation mode in fulfillment of the grant program objectives.
- B. Several locations for streetcars within the City have been discussed in various forums from the Point West Business Park to Capitol Mall.
- C. A streetcar has the potential to provide an efficient and attractive mode of midday travel that enhances the commercial environment in which it operates.
- D. The Community-Based Transportation Planning Grant Program is intended to fund coordinated transportation and land use planning that promotes public engagement, livable communities, and a sustainable transportation system which includes mobility, access, and safety.
- E. A Community-Based Transportation Planning Grant would help the City to identify potential alignments and analyze their relative viability in order to prioritize the City's limited resources.
- F. Completing this study will position the City with valuable information to compete for regional, State, and Federal funding.

BASED ON THE FACTS SET FORTH IN THE BACKGROUND, THE CITY COUNCIL RESOLVES AS FOLLOWS:

- Section 1. Staff is directed to apply to the State of California Department of Transportation for up to \$300,000 in Community-Based Transportation Planning Grant Program funding for the 2009-2010 Fiscal Year for a Citywide Streetcar Planning Study.

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Exhibit A - Transportation Planning Grants Fiscal Year 2009-2010 Call for Projects

Exhibit A

CALL FOR PROJECTS

Transportation Planning Grants Fiscal Year 2009-2010

Environmental Justice: Context-Sensitive Planning
Community-Based Transportation Planning
Partnership Planning (FHWA)

Transit Planning (FTA Section 5304)

Statewide Transit Planning Studies

Transit Technical Planning Assistance

Transit Professional Development

Application Deadline
April 1, 2009

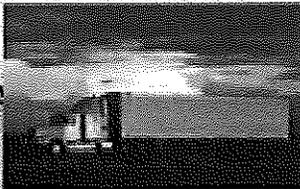
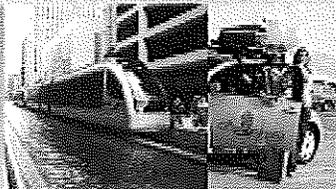
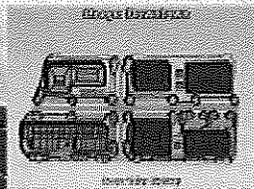


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**APPLICATIONS MUST BE POSTMARKED OR RECEIVED AT YOUR
LOCAL CALIFORNIA DEPARTMENT OF TRANSPORTATION
DISTRICT PLANNING OFFICE BY
5:00 PM, WEDNESDAY, APRIL 1, 2009
CONTACT THE APPROPRIATE CALTRANS DISTRICT PLANNING
PERSON LISTED AT THE END OF EACH GRANT PROGRAM FOR
QUESTIONS OR ADDITIONAL INFORMATION**

ADA Notice: For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.

DEPARTMENT OF TRANSPORTATION DISTRICT BOUNDARIES

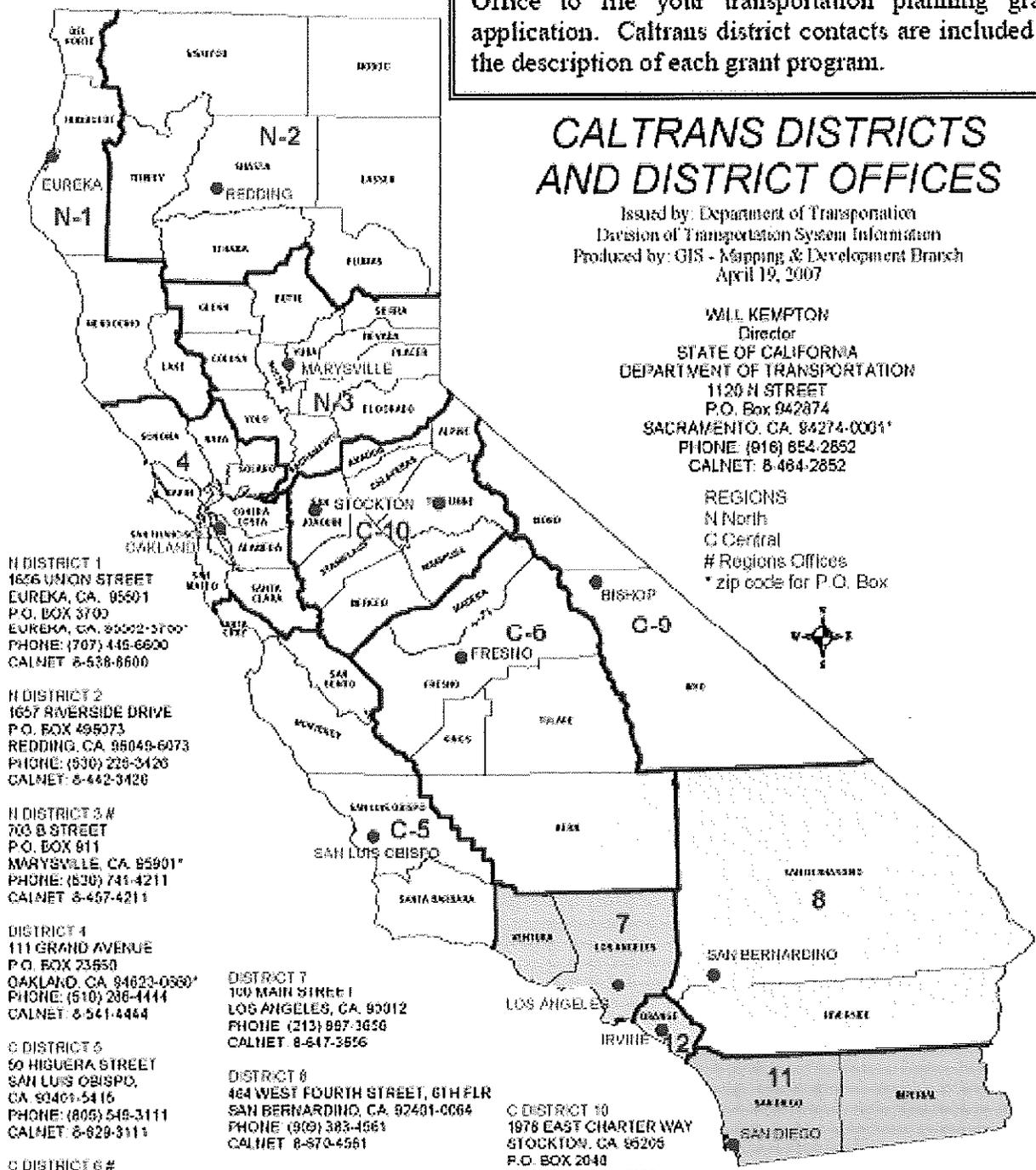
Refer to this map to locate your local Caltrans District Office to file your transportation planning grant application. Caltrans district contacts are included in the description of each grant program.

CALTRANS DISTRICTS AND DISTRICT OFFICES

Issued by: Department of Transportation
Division of Transportation System Information
Produced by: GIS - Mapping & Development Branch
April 19, 2007

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Director
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DEPARTMENT OF TRANSPORTATION
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SACRAMENTO, CA 94274-0001*
PHONE: (916) 854-2852
CALNET: 8-484-2852

REGIONS
N North
C Central
Regions Offices
* zip code for P.O. Box



N DISTRICT 1
1656 UNION STREET
EUREKA, CA. 95501
P.O. BOX 3700
EUREKA, CA. 95502-3700*
PHONE: (707) 445-6600
CALNET: 8-538-8600

N DISTRICT 2
1657 AVERSIDE DRIVE
P.O. BOX 495073
REDDING, CA. 96049-6073
PHONE: (930) 228-3426
CALNET: 8-442-3426

N DISTRICT 3 #
703 B STREET
P.O. BOX 611
MARYSVILLE, CA. 95901*
PHONE: (530) 741-4211
CALNET: 8-457-4211

DISTRICT 4
111 GRAND AVENUE
P.O. BOX 23850
OAKLAND, CA. 94623-0360*
PHONE: (510) 286-4444
CALNET: 8-541-4444

C DISTRICT 6
50 HIGUERA STREET
SAN LUIS OBISPO,
CA. 93401-5416
PHONE: (805) 548-3111
CALNET: 8-829-3111

C DISTRICT 6 #
1322 WEST OLIVE AVENUE
FRESNO, CA. 93778
P.O. BOX 12618
FRESNO, CA. 93270-2618*
PHONE: (559) 438-4032
CALNET: 8-422-4082

DISTRICT 7
100 MAIN STREET E
LOS ANGELES, CA. 90012
PHONE: (213) 987-3636
CALNET: 8-647-3636

DISTRICT 8
464 WEST FOURTH STREET, 6TH FLR
SAN BERNARDINO, CA. 92401-0064
PHONE: (909) 383-4561
CALNET: 8-570-4561

C DISTRICT 8
500 SOUTH MAIN STREET
BISHOP, CA. 93514
PHONE: (760) 872-0601
CALNET: 8-627-0601

C DISTRICT 10
1978 EAST CHARTER WAY
STOCKTON, CA. 95205
P.O. BOX 2040
STOCKTON, CA. 95201*
PHONE: (209) 846-7543
CALNET: 8-423-7543

DISTRICT 11
4050 TAYLOR STREET
SAN DIEGO, CA. 92110
PHONE: (619) 688-8670
CALNET: 8-688-5970

DISTRICT 12
3337 MICHELSON DRIVE SUITE CH 580
IRVINE, CA. 92612-5394
PHONE: (949) 724-2000
CALNET: 8-655-7000

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Created by: Barry D. Baker

Grant Program Description

The California Department of Transportation (Caltrans) invites applications for Fiscal Year 2009-2010 Transportation Planning Grant Programs. The funds available from the six grant programs identified in this package may be used for a wide range of transportation planning projects.

INTRODUCTION

Caltrans provides transportation planning grants for:

- Environmental Justice: Context-Sensitive Planning
- Community-Based Transportation Planning
- Partnership Planning (FHWA)
- Transit Planning (FTA Section 5304)
 - Statewide Transit Planning Studies
 - Transit Technical Planning Assistance
 - Transit Professional Development

Transportation Planning Grants are intended to promote a balanced, comprehensive multi-modal transportation system. The Federal and State goals provide a framework for the grant programs. The Environmental Justice: Context-Sensitive Planning and the Community-Based Transportation Planning grant programs reflect State goals, while the Partnership Planning and Transit Planning grant programs reflect Federal Goals. The results of these grants should ultimately lead to the adoption, initiation, and programming of transportation improvements.

Each Transportation Planning Grant program has program-specific purposes and is intended to address local needs and issues. Transportation Planning Grant proposals should also incorporate broader goals and reflect attributes desired throughout the transportation system.

Grant applicants must clearly demonstrate how their proposed planning project promotes federal and/or state transportation planning goals.

FEDERAL TRANSPORTATION PLANNING GOALS

1. Support the economic vitality of the metropolitan area, especially by enabling global competitiveness, productivity, and efficiency.
2. Increase the safety of the transportation system for motorized and non-motorized users.
3. Increase the security of the transportation system for motorized and non-motorized users.
4. Increase the accessibility and mobility of people and freight.
5. Protect and enhance the environment, promote energy conservation, improve the quality of life, and promote consistency between transportation improvements and State and local planned growth and economic development patterns.
6. Enhance the integration and connectivity of the transportation system, across and between modes, for people and freight.
7. Promote efficient system management and operation.
8. Emphasize the preservation of the existing transportation system.

Grant Program Description (continued)

CALIFORNIA TRANSPORTATION PLAN GOALS

1. Improve Mobility and Accessibility: Expanding the system and enhancing modal choices and connectivity to meet the State's future transportation demands.
2. Preserve the Transportation System: Maintaining, managing, and efficiently utilizing California's existing transportation system.
3. Support the Economy: Maintaining, managing, and enhancing the movement of goods and people to spur the economic development and growth, job creation, and trade.
4. Enhance Public Safety and Security: Ensuring the safety and security of people, goods, services, and information in all modes of transportation.
5. Reflect Community Values: Finding transportation solutions that balance and integrate community values with transportation safety and performance, and encourage public involvement in transportation decisions.
6. Enhance the Environment: Planning and providing transportation services while protecting our environment, wildlife, and historical and cultural assets.

Each grant program has different purposes and matching fund requirements. Applicants may submit more than one application, but any given project can only be submitted to one grant program. The Caltrans grant programs will check all applications for duplicate projects including those with different titles. For the benefit of the applicant, Caltrans staff may refer an application to a different grant program for consideration if the proposal is better suited for that program.

An electronic version of this application is available at the following website:

<http://www.dot.ca.gov/hq/tpp/grants.html>

Pages 7 and 8 summarize each of the Transportation Planning Grant programs. Refer to these charts for eligibility requirements for each grant program.

Transportation Planning Grant Summary Chart

GRANT	FUND SOURCE	PURPOSE	WHO MAY APPLY	LOCAL MATCH
Environmental Justice: Context-Sensitive Planning	State Highway Account Budget \$3 million Grant Cap \$250,000	Promote community involvement in planning to improve mobility, access, and safety while promoting economic opportunity, equity, environmental protection, and affordable housing for low-income, minority, and Native American communities.	The following may apply directly or as a sub-recipient: <ul style="list-style-type: none"> • Metropolitan Planning Organizations and Regional Transportation Planning Agencies • Cities and Counties • Transit Agencies • Native American Tribal Governments The following may apply only as a sub-recipient: <ul style="list-style-type: none"> • Universities and Community Colleges • Community-Based Organizations • Non-Profit Organizations (501.C.3) • Public Entities** 	10% of the grant amount requested (in non-State and non-federal funds). Up to half of the 10% match can be in-kind*. Refer to sample match calculation on Page 14.
Community-Based Transportation Planning	State Highway Account Budget \$3 million Grant Cap \$300,000	Fund coordinated transportation and land use planning that promotes public engagement, livable communities, and a sustainable transportation system which includes mobility, access, and safety.	The following may apply directly or as a sub-recipient: <ul style="list-style-type: none"> • Metropolitan Planning Organizations and Regional Transportation Planning Agencies • Cities and Counties • Transit Agencies • Native American Tribal Governments The following may apply only as a sub-recipient: <ul style="list-style-type: none"> • Universities and Community Colleges • Community-Based Organizations • Non-Profit Organizations (501.C.3) • Public Entities** 	20% of the grant amount requested (in non-State and non-federal funds). Up to half of the 20% match can be in-kind*. Refer to sample match calculation on Page 24.
Partnership Planning	FHWA*** State Planning and Research, Part 1 Budget Federal funds \$1,000,000 Grant Cap \$300,000	Fund transportation planning studies of multi-regional and statewide significance in partnership with Caltrans.	The following may only apply as an applicant: <ul style="list-style-type: none"> • Metropolitan Planning Organizations and Regional Transportation Planning Agencies The following may apply only as a sub-recipient: <ul style="list-style-type: none"> • Universities and Community Colleges • Native American Tribal Governments • Cities and Counties • Community-Based Organizations • Non-Profit Organizations (501.C.3) • Public Entities** 	20% of grant total requested (in non-federal funds or an in-kind* contribution). The entire minimum 20% local match may be in the form of an in-kind contribution. Additional local funds above the minimum local match are desired. Refer to sample match calculation on Page 37.

GRANT	FUND SOURCE	PURPOSE	WHO MAY APPLY	LOCAL MATCH
Statewide Transit Planning Studies	FTA*** Section 5304 Budget Federal funds \$1,400,000 Grant Cap \$300,000	Fund studies on transit issues having statewide or multi-regional significance to assist in reducing congestion.	The following may only apply as an applicant: • Metropolitan Planning Organizations and Regional Transportation Planning Agencies The following may apply only as a sub-recipient: • Transit Agencies • Universities and Community Colleges • Native American Tribal Governments • Cities and Counties • Community-Based Organizations • Non-Profit Organizations (501.C.3) • Public Entities**	11.47% of the grant total requested (in non-federal funds or an in-kind* contribution). The entire minimum 11.47% local match may be in the form of an in-kind contribution.
Transit Technical Planning Assistance	FTA*** Section 5304 Budget Federal funds \$700,000 Grant Cap \$100,000	Fund public transportation planning studies in rural or small urban areas of California (transit service area with population of 100,000 or less).	The following may only apply as an applicant: • Metropolitan Planning Organizations and Regional Transportation Planning Agencies The following may apply only as a sub-recipient: • Transit Agencies • Universities and Community Colleges • Native American Tribal Governments • Cities and Counties • Community-Based Organizations • Non-Profit Organizations (501.C.3) • Public Entities**	11.47% of the grant total requested (in non-federal funds or an in-kind* contribution). The entire minimum 11.47% local match may be in the form of an in-kind contribution.
Transit Professional Development	FTA*** Section 5304 Budget Federal funds \$150,000 Grant Cap \$50,000	Fund student internship opportunities in transit planning at public transit agencies.	The following may only apply as an applicant: • Metropolitan Planning Organizations and Regional Transportation Planning Agencies The following may apply only as a sub-recipient: • Transit Agencies • Universities and Community Colleges • Native American Tribal Governments • Cities and Counties • Community-Based Organizations • Non-Profit Organizations (501.C.3) • Public Entities**	11.47% of the grant total requested (in non-federal funds or an in-kind* contribution). The entire minimum 11.47% local match may be in the form of an in-kind contribution.

* In-kind contribution can include a documented, quantified amount of equipment, supplies, or other tangible resources, space, or staff time.

** Public entity includes the State, the Regents of the University of California, a county, city, district, public authority, public agency, and any other political subdivision or public corporation in the State. (Government Code Section 811.2)

***FHWA is the Federal Highway Administration. FTA is the Federal Transit Administration.

General Information and Requirements

APPLICATION SUBMITTAL

Five signed hard copies and one electronic copy on a CD (Microsoft Word and Excel) of the entire Application including documents must be postmarked or received by your local Caltrans District Planning Office no later than **5:00 pm, Wednesday, April 1, 2009** (see appropriate Caltrans District Planning contact in the description of each grant program). **Late applications will not be accepted.**

Caltrans district staff is available **prior to the April 1, 2009** deadline to answer general questions to help interested groups complete their applications. Applicants may also direct their questions to the appropriate Caltrans Headquarters staff for the respective programs.

Timeline

- Winter – Transportation Planning Grant Application available by mail, e-mail, and website.
<http://www.dot.ca.gov/hq/tpp/grants.html>
- April 1, 2009 – Final applications due to appropriate Caltrans District Planning Office.
- Fall 2009 – Estimated time of grant award announcements (upon approval of State budget).

FINANCIAL REQUIREMENTS

Grant payments are made only as reimbursements occurring no more frequently than monthly or at a minimum quarterly. The Grantee must pay its sub-recipients and named subcontractors prior to submitting an invoice requesting reimbursement from Caltrans. A single, one-time, lump sum invoice for the entire grant is not allowed. Local match must be expended on a proportional basis coinciding with the expenditure of the grant funds.

Non-federal sources for local match can include local sales tax, special bond measures, private donations, private foundations, etc. Examples of in-kind contributions include donated printing, facilities, food (for EJ and CBTP only), interpreters, equipment, advertising, staff time, etc. All in-kind contributions must be itemized.

Grantees are required to maintain an accounting system and records that properly accumulate and segregate incurred project costs and matching funds by line item. The accounting system of the Grantee, including its sub-recipients and subcontractors, shall conform to Generally Accepted Accounting Principles that enable the determination of incurred costs at interim points of completion, and provide support for reimbursement payment vouchers or invoices sent to or paid by Caltrans. Allowable project costs will be in compliance with 49 Code of Federal Regulations (CFR), Part 18 and Office of Management and Budget (OMB) A-87. It is the Grantee's responsibility, in conjunction with Caltrans district staff, to monitor work and expenses to ensure the project is completed according to the contracted Scope of Work and Project Timeline/Project Schedule and Funding Chart. Grantees must monitor work and costs to ensure their invoices are submitted on a regular and timely basis (monthly or quarterly). Grantees must communicate with their local Caltrans District Planning office to ensure any issues are addressed early during the project period.

An Indirect Cost Allocation Plan or Central Service Cost Allocation Plan and related documentation are to be provided to the Caltrans Office of Audits and Investigations annually for review and approval prior to the Grantee seeking reimbursement of indirect costs. The Grantee must prepare and submit its Indirect Cost Allocation Plan or Central Service Cost Allocation Plan in accordance with Office of Management and Budget (OMB) A-87 and Caltrans Local Programs Procedures (LPP) 04-10.

ELIGIBLE EXPENSES

Direct costs must be used for planning-related activities, such as community surveys, community meetings, charrettes, focus groups, data gathering and analysis, planning consultants, bilingual services to facilitate meetings, reproduction costs, office supplies, concept drawings of the project, computer rental, transit passes and light snacks and non-alcoholic refreshments (*light snacks and refreshments are an eligible expense for the Environmental Justice: Context-Sensitive Planning and Community-Based Transportation Planning Grant Programs only*) to facilitate public participation.

INELIGIBLE PROJECTS AND EXPENSES

Environmental studies, plans, or documents normally required for project development under the National Environmental Policy Act (NEPA) or the California Environmental Quality Act (CEQA), or any Project Initiation Document (PID) are not eligible expenses under these grants. Construction and procurement of equipment or materials, such as building a facility or purchasing computers, are not eligible expenses, even if such purchases might be funded with other funds or provided as match. Construction projects, construction materials, maintenance, decoration, or acquisition of any vehicles, and shuttle programs are ineligible. The purchase of computers, software, and office furniture or any other capital expenditures are also ineligible expenses. These grants cannot be used for personal expenses (such as meals), use of personal vehicles, organizational membership fees, or other items unrelated to the project.

OWNERSHIP

Any technologies or inventions that may result from the use of these grants are in the public domain and may not be copyrighted, sold, or used exclusively by any business, organization, or agency. Caltrans reserves a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use and to authorize others to use for government purposes.

LETTERS OF SUPPORT

Letters of Support for the project are strongly encouraged. They should be *addressed to the grant applicant* and submitted with the application. Such letters can come from community-based organizations, local governments, Native American Tribal governments, service agencies, and elected officials. Letters of Support received separately from the application package will not be considered.

SUBCONTRACTING

When applicable, applicants must comply with bidding requirements for third party contracts. See 49 CFR, Part 18, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments:

http://www.nhtsa.dot.gov/nhtsa/whatsup/TEA21/GrantMan/HTML/03_DOTComRul_49CFR18.html

There is no standard template for subcontracting for these planning grants. However, Grantees are encouraged to use a subcontracting agreement that clearly specifies the work, deliverables, due dates, and costs that will permit the Grantee to have proper accountability and management.

Projects are sometimes an extension of a larger, ongoing transportation project. For example, a city or regional agency is working on plans to improve a major corridor and a properly selected consultant is already employed, but additional planning is needed to address local issues and community outreach along that corridor. The consultant can be used for this additional work without further bidding, but the Grantee must submit a written explanation to the Caltrans district contract manager describing how the additional work is part of this larger, continuing project and why it merits a waiver from competitive bidding. In general, Grantees must conduct the procurement of

goods and services in a fair and open competitive manner. Grantees are prohibited from restricting competition in any government-funded procurement transaction.

The following applies only to the Environmental Justice: Context-Sensitive Planning and Community-Based Transportation Planning Grant programs.

- If the grant applicant specifically identifies a sub-recipient/subcontractor in the Scope of Work, the sub-recipient/subcontractor may be employed without further bidding. However, when choosing a sub-recipient/subcontractor, applicants are reminded to select them at the onset of their application in a fair and careful manner and be able to justify the value the sub-recipient/subcontractor brings to the project.
- If a sub-recipient/subcontractor is **not** identified in the Scope of Work and the value *exceeds* \$25,000, the work must be competitively bid. The bidding process does not need to be elaborate, but must reflect an honest and reasonable effort to seek at least three written proposals for the same work or services. It must be a fair, objective, and documented process. Grantees are advised to retain their documentation.
- If a sub-recipient/subcontractor is **not** identified in the Scope of Work and the work contemplated is *less than* \$25,000 in cost, the work is not subject to bid requirements but still requires prior approval by your Caltrans District Planning Office.

TITLE VI NONDISCRIMINATION REQUIREMENT

Title VI of the U.S. Civil Rights Act prohibits discrimination on the basis of race, color, or national origin in programs and activities receiving federal financial assistance. Specifically Title VI provides the following:

No person in the United States shall, on the ground of race, color, national origin, religion, sex, age, or disability be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving financial assistance from the Federal government.

Caltrans is responsible for complying with Civil Rights requirements and for monitoring compliance of any sub-recipients of its funding. This is also applicable to sub-recipients of State funding. The Federal Highway Administration and the Federal Transit Administration each have requirements that recipients must demonstrate continued compliance with Title VI. Compliance with Title VI includes conducting meetings in a fair and reasonable manner that are open to all members of a community. Compliance also reflects not only law but is a good policy that builds the kind of trust and information sharing upon which successful planning is done. Even where a city or county may not be receiving federal funding for transportation, the Civil Rights Restoration Act of 1987 also obligates that a city or county comply with Title VI if it receives any other federal funding for any program.

DISADVANTAGED BUSINESS ENTERPRISE REQUIREMENT (DBE)

Effective May 1, 2006, Caltrans and its sub-recipient local agencies receiving U.S. Department of Transportation federal financial assistance for transportation and transit related projects, were obligated to change from a race conscious to a race neutral DBE Program. Current DBE provisions do not require specific DBE contract participation goals and evaluation of "Good Faith Efforts". As a matter of statewide policy, Caltrans would like all local agencies to express their desire for prime contractors and prime consultants to voluntarily continue to use and list DBEs as subcontractors. Please refer to the Caltrans Civil Rights' website (<http://www.dot.ca.gov/hq/bep/index.htm>) where the DBE Program Plan is posted. Specifically, refer to the Transportation Planning portion and any applicable attachments listed in the Table of Contents.

