



REPORT TO COUNCIL City of Sacramento

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

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Consent
March 16, 2010

Honorable Mayor and
Members of the City Council

Title: Caltrans Transportation Planning Grant Application

Location/Council District: Citywide

Recommendation: Adopt a **Resolution** authorizing staff to submit applications for FY2010-11 Caltrans Transportation Planning Grant funding consideration for the American River Crossing Purpose and Need Study in the amount of \$300,000 and the Swanston Station Pedestrian Crossing Feasibility Study in the amount of \$250,000.

Contact: Fedolia "Sparky" Harris, Senior Planner

Presenters: None

Department: Transportation

Division: Office of the Director

Organization No: 15000

Description/Analysis

Issue: Caltrans has issued a call for projects for the FY2010-11 Transportation Planning Grants. Applications are due April 1, 2010. 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, staff is recommending the American River Crossing Purpose and Need Study and the Swanston Station Pedestrian Crossing Feasibility Study as the most competitive candidates 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. When implemented, both projects would also provide a variety of transportation choices consistent with the adopted Smart Growth Policies as well as the Sacramento 2030 General Plan policy to eliminate

gaps in the citywide transportation network. 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 of a pedestrian crossing at the Swanston light rail station and to study the purpose and need for additional crossings of the American River furthers the City's commitment to sustainability by laying the groundwork to significantly reduce the use of fossil fuels, to encourage less driving 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 foster behavioral change throughout the City.

Other: None

Commission/Committee Action: None

Rationale for Recommendation: The City is currently developing a Specific Plan for the Swanston Station Transit Village that establishes the vision and guiding principles for development of transit-oriented development adjacent to the Swanston Station light rail platform. The Specific Plan area has significant development potential on both sides of the heavy rail tracks that bisect the village area. A Caltrans Transportation Planning Grant would allow the City to complete a feasibility and siting study for a pedestrian/bicycle crossing connecting the Swanston light rail platform with the eastern half of the Specific Plan area to increase the viability of the plan to promote transit-oriented development.

The City has also adopted a new 2030 General Plan establishing the goal of providing one or more new multi-modal crossings of the American River. The type and location of such crossings have yet to be identified but could ultimately serve to relieve congestion on State facilities and provide additional connectivity between adjacent communities within the City. A project involving a major investment of transportation funds and of such complexity will need to follow the federal project delivery process to become eligible for federal transportation funds. The first step in the federal process is to identify the need and purpose of the project. A Caltrans Transportation Planning Grant would allow the City to work with the community to establish a clear purpose and need for crossing the American River in order to effectively move forward with a viable project.

Financial Considerations: Projects selected for Caltrans Transportation Planning Grant funding under both the Community-Based Transportation Planning (CBTP) program and the Environmental Justice (EJ) program require a minimum 10% local match from non-State and non-Federal funds. Up to one-quarter of this local match (2.5%) can be provided in-kind. Grant funding for any single project is capped at

\$300,000 under the CBTP program and \$250,000 under the EJ program. If selected, the local match for the Swanston Station Pedestrian Crossing Feasibility Study would be comprised of \$6,250 of in-kind services and \$18,750 from the Federal/State Grant Match CIP (T15007200). If selected, the local match for the American River Crossing Purpose and Need Study would be comprised of \$7,500 of in-kind services and \$22,500 from the Federal/State Grant Match CIP(T15007200). There will be no financial impact to the General Fund.

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

Respectfully Submitted by: Francesca Lee Halbakken
Francesca Lee Halbakken
Operations Manager

Approved by: Jerry Way
Jerry Way
Director for Transportation

Recommendation Approved:

Gus Vina
Gus Vina
Acting City Manager

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Attachment 1

BACKGROUND

Department of Transportation staff consulted the Community Development 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.

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

1. A Specific Plan for the Cal Expo/Point West area
2. A Specific Plan for Florin Road area
3. Contribution to the Specific Plan for the Clean Tech Village in the Power Inn area south of Sac State University
4. A feasibility study for a new pedestrian/bicycle crossing of the heavy rail tracks at the Swanston light rail station
5. A purpose and need study for additional crossings of the American River
6. A Specific Plan for the Robla area in North Sacramento
7. A Specific Plan for the Marconi Light Rail Station area
8. A Specific Plan for the Broadway Corridor

Following briefings with DOT Division Managers and Office of the Director staff, the purpose and need study for additional crossings of the American River and the feasibility study for a new pedestrian/bicycle crossing of the heavy rail tracks at the Swanston light rail station emerged as well supported candidates from the initial list.

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 and 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

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. The American River Crossing Purpose and Need Study appears to be competitive for similar funding based on the analysis below.

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 Swanston Station Pedestrian/Bicycle Feasibility Study is in a similarly situated community and therefore would compete well for funds targeted toward low income, minority, and Native American communities based on the analysis below.

American River Crossing Purpose and Need Study

Under this project, the City would: Develop a clearly defined purpose and need for additional crossings of the American River; develop project alternatives that meet the established purpose and need; perform traffic analysis to identify travel patterns and roadway volumes altered by various crossing alternatives and transit options; and evaluate alternatives in the context of the established purpose and need. A robust public outreach program would be a major component of the study integrated throughout the project. Further City Council action would be sought before proceeding to a technical feasibility study.

Additional crossings of the American River have been planned in the Sacramento Area Council of Governments (SACOG) Regional Blueprint, the Metropolitan Transportation Plan, and the Sacramento 2030 General Plan without a specific number of crossings or locations clearly identified. The project under consideration would allow the City to take the first step towards making such a determination in an effort to move forward with design, environmental analysis, and ultimately construction.

The stated purpose of the Community-Based Transportation Grant Program is 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. The American River Crossing Purpose and Need Study will accomplish this purpose by engaging a public divided on the cost and benefits associated with bridges over the American River. Mobility, access, and safety would be enhanced by taking the initial steps toward providing additional local connections between the Central City and South Natomas relieving State facilities of significant local trips. Finally, the planning would be

sustainable based on the General Plan goal of promoting complete streets that serve multiple modes of travel.

Swanston Station Pedestrian/Bicycle Feasibility Study

Under this project, the City would prepare a feasibility study and preliminary engineering plans to provide a pedestrian/bicycle bridge or undercrossing between the Swanston Station light rail station area and the Capitol West Planned Unit Development (PUD) with funding from the Environmental Justice Program.

The City has spent several years developing a Specific Plan for the area within a one-half mile radius of the Swanston light rail station. The Specific Plan calls for a dramatic transformation of the vacant and underutilized properties within the area to a mixture of medium to high density residential units combined with retail and commercial to serve both the emerging community as well as transit riders. One hurdle to complete implementation of the Specific Plan is the quality of pedestrian connections between the two halves of the area, which is bisected by heavy rail tracks. Currently, pedestrians must cross the tracks on Arden Way or El Camino Boulevard. Neither of these facilities are “pedestrian-friendly” providing minimal sidewalk widths next to high speed automobile traffic. The situation is further exacerbated by the circuitous route that transit passengers would have to take in order to cross the tracks using either of these facilities.

A pedestrian crossing of the tracks has been an anticipated improvement since the introduction of light rail and the establishment of the Capitol West PUD. Such a facility also conforms to the 2030 General Plan by eliminating gaps in the pedestrian circulation network and removing barriers to connectivity while providing needed connections to transit stations. The proposed study would allow the City to position the project for environmental analysis and additional funding to complete the design of the crossing and ultimately construct the facility.

The stated purpose of the Environmental Justice Program is to 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 Swanston Station Pedestrian/Bicycle Feasibility Study would accomplish this purpose by engaging residents, property owners, and business interests in a socioeconomically challenged area of Sacramento with a relatively high percentage of underrepresented communities. As stated, the project would provide a much needed access feature to enhance the safety of transit users in an area that is ripe for redevelopment.

Attachment 2

RESOLUTION NO. 2009-XXX

Adopted by the Sacramento City Council

CALTRANS TRANSPORTATION PLANNING GRANT APPLICATION FOR 2010-2011

BACKGROUND

- A. The 2030 General Plan sets the background for substantial change in land uses throughout the City. The removal of barriers to accessibility, the provision of complete streets, connections to transit stations, and multimodal access are all key policies in the Mobility Element of the General Plan.
- B. The American River is a known barrier between the Central City and points north.
- C. The Sacramento General Plan calls for additional crossings of the American River to enhance connectivity and promote mobility.
- 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 determine a clear purpose and need for additional crossings of the American River in order to drive future decision making in an objective manner.
- F. Pedestrian access to the east side of the heavy rail tracks from the Swanston light rail station is a hindrance to the ultimate redevelopment of the Swanston Station Area into a vibrant and walkable transit-oriented district.
- G. The Environmental Justice Grant Program is intended to 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.
- H. An Environmental Justice Grant would help the City to realizing the full transit-oriented development potential at the Swanston light rail station by making the first steps towards overcoming the heavy rail tracks as a barrier to connectivity.
- I. Completing both studies 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 \$300,000 in Community-Based Transportation Planning Grant Program funding for the FY2010-11 Fiscal Year for the American River Crossing Purpose and Need Study; and
- Section 2. Staff is directed to apply to the State of California Department of Transportation for \$250,000 in Environmental Justice Grant Program funding for the FY2010-11 Fiscal Year for the Swanston Station Pedestrian Crossing Feasibility Study.
- Section 3. Exhibit A is incorporated into and made part of this resolution.

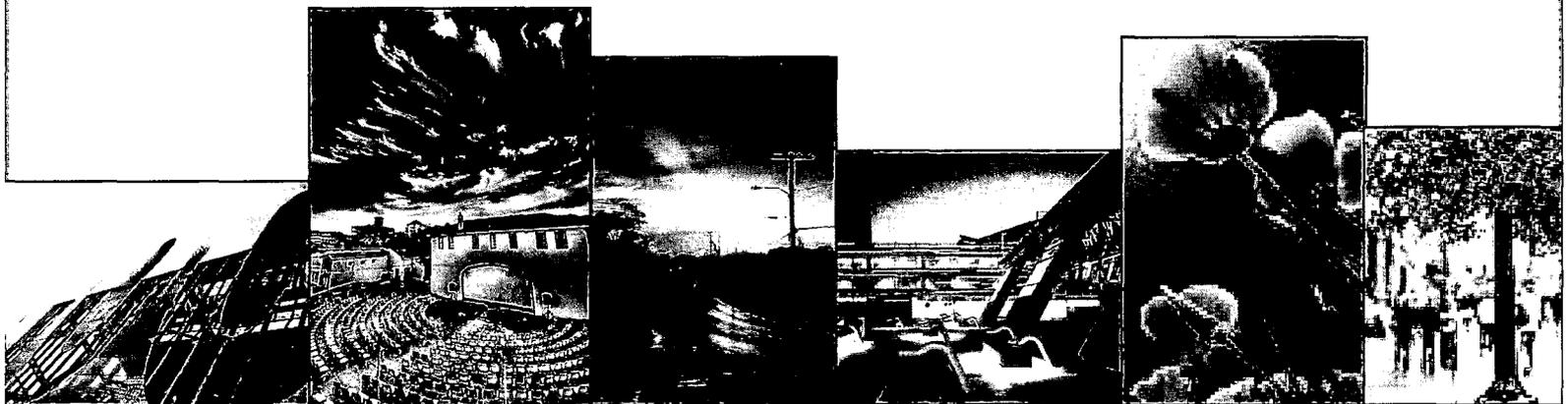
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Transportation Planning Grants Guide

Fiscal Year 2010-2011



Community-Based Transportation Planning

Environmental Justice

Partnership Planning

Transit Planning (FTA 5304)

Statewide or Urban Transit Planning Studies

Rural or Small Urban Transit Planning Studies

Transit Planning Student Internships

An electronic version of this guide and additional
grant information is available at the following website:
<http://www.dot.ca.gov/hq/tpp/grants.html>



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APPLICATIONS MUST BE POSTMARKED OR RECEIVED AT YOUR LOCAL CALIFORNIA DEPARTMENT OF TRANSPORTATION DISTRICT PLANNING OFFICE BY

**5:00 PM, MONDAY, MARCH 1, 2010 FOR
PARTNERSHIP PLANNING AND TRANSIT PLANNING

**5:00 PM, THURSDAY, APRIL 1, 2010 FOR
COMMUNITY-BASED TRANSPORTATION PLANNING AND
ENVIRONMENTAL JUSTICE**

Use the latest version of **Adobe Acrobat Reader®** to complete the application. An electronic version of the application is available (in a PDF format) at
http://www.dot.ca.gov/hq/tpp/grant_files/1011/FY10-11_Transportation_Grants_Application.pdf

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.

Grant Program Description

The California Department of Transportation (Caltrans) invites applications for Fiscal Year 2010-2011 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:

- Community-Based Transportation Planning
- Environmental Justice
- Partnership Planning
- Transit Planning
 - Statewide or Urban Transit Planning Studies
 - Rural or Small Urban Transit Planning Studies
 - Transit Planning Student Internships

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 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.

STATE TRANSPORTATION PLANNING GOALS

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

Every Caltrans Transportation Planning Grant proposal should be coordinated with the transportation planning efforts taking place under the region's Regional Transportation Planning Agency (RTPA) or Metropolitan Planning Organization (MPO). Additionally, all applications should be in accord with that region's Blueprint Plan and Sustainable Communities Strategy (SB 375) if applicable. Regional Blueprints and Sustainable Communities Strategies are tools that will help communities reduce greenhouse gases and will assist transportation agencies in creating enduring communities for residents throughout the entire State.

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.

Pages 3 and 4 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
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** 	10% minimum (in non-federal funds). Up to one-quarter of the 10% match can be in-kind*.
Environmental Justice	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% minimum (in non-federal funds). Up to one-quarter of the 10% match can be in-kind*.
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 only apply 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% minimum (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.

Transportation Planning Grant Summary Chart (Continued)

GRANT	FUND SOURCE	PURPOSE	WHO MAY APPLY	LOCAL MATCH
Statewide or Urban 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 : <ul style="list-style-type: none"> • Metropolitan Planning Organizations and Regional Transportation Planning Agencies The following may only apply as a sub-recipient : <ul style="list-style-type: none"> • Transit Agencies • Universities and Community Colleges • Native American Tribal Governments • Cities and Counties • Community-Based Organizations • Non-Profit Organizations (501.C.3) • Public Entities** 	11.47% minimum (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.
Rural or Small Urban Transit Planning Studies	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 : <ul style="list-style-type: none"> • Metropolitan Planning Organizations and Regional Transportation Planning Agencies The following may only apply as a sub-recipient : <ul style="list-style-type: none"> • Transit Agencies • Universities and Community Colleges • Native American Tribal Governments • Cities and Counties • Community-Based Organizations • Non-Profit Organizations (501.C.3) • Public Entities** 	11.47% minimum (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 Planning Student Internships	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 : <ul style="list-style-type: none"> • Metropolitan Planning Organizations and Regional Transportation Planning Agencies The following may only apply as a sub-recipient : <ul style="list-style-type: none"> • Transit Agencies • Universities and Community Colleges • Native American Tribal Governments • Cities and Counties • Community-Based Organizations • Non-Profit Organizations (501.C.3) • Public Entities** 	11.47% minimum (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

One signed original, four hard copies, and two CDs with electronic copies of the Application (PDF Format), Scope of Work (Microsoft Word), Project Schedule (Microsoft Excel), and all other supporting documentation. All submittals must be postmarked or received by your local Caltrans District Planning Office no later than **5:00 pm, Monday March 1, 2010** for Partnership Planning and Transit Planning and **5:00 pm, Thursday April 1, 2010** for Community-Based Transportation Planning and Environmental Justice. **Late applications will not be reviewed.**

Caltrans district staff is available **prior to the March 1 and April 1, 2010** deadlines to answer general questions to help interested groups complete their applications.

Timeline

- **December 1, 2009** – Transportation Planning Grants Guide and application available by mail, e-mail, and website.

<http://www.dot.ca.gov/hq/tpp/grants.html>
- **March 1, 2010** – Final applications due for Partnership Planning and Transit Planning to appropriate Caltrans District Planning Office.
- **April 1, 2010** – Final applications due for CBTP and EJ to appropriate Caltrans District Planning Office.
- **Summer 2010** – Estimated time of grant award announcements (upon approval of State budget).

FINANCIAL REQUIREMENTS

Grant payments are made only as reimbursements. Invoices for reimbursement should be submitted in concurrence with the completion of project milestones 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, 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.

<http://www.dot.ca.gov/hq/LocalPrograms/lam/lapm.htm>

PRE-AWARD AUDIT

Partnership Planning, Statewide or Urban Transit Planning Studies, and Community-Based Transportation grants are available in amounts up to \$300,000. However, any awarded grant in excess of \$250,000 will require a pre-award audit. The audit has the potential to delay the start of the project and applicants are encouraged to determine if the delay will hinder their ability to complete the project by the terms specified in the contract. For more information see Caltrans Local Programs Procedures (LPP) 00-05 "Pre-Award Audit Requirements and Consultant Procurement" dated December 15, 2000.

<http://www.dot.ca.gov/hq/LocalPrograms/lpp/LPP00-05.pdf>

ELIGIBLE EXPENSES

Direct costs must be used *only 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, (for CBTP and EJ only; light snacks and non-alcoholic refreshments) to facilitate the project.

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, elected officials, and citizens. 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. Request for proposal and consultant contract must be consistent with the scope of work and project schedule.

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 Community-Based Transportation Planning and Environmental Justice 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.

AWARD TERMS AND CONDITIONS

If an agency does not demonstrate adequate performance and timely use of funds, Caltrans may take appropriate actions, which can include termination of the grant. Inadequate performance by applicants or an applicant's subcontractor may hinder their ability to leverage future grant awards.

COMMUNITY-BASED TRANSPORTATION PLANNING and ENVIRONMENTAL JUSTICE

An electronic version of this guide and other grant-related resources are available at the following web site:
<http://www.dot.ca.gov/hq/tpp/grants.html>

Community-Based Transportation Planning and Environmental Justice

PURPOSE

The Community-Based Transportation Planning (CBTP) grant program funds coordinated transportation and land-use planning projects that encourage community involvement and partnership. Projects must support livable/sustainable community concepts with a transportation or mobility objective and promote community identity and quality of life.

Environmental Justice (EJ) planning grants are intended to promote the involvement of low-income and minority communities, and Native American Tribal Governments, in the planning for transportation projects to prevent or mitigate disproportionate, negative impacts while improving their mobility, access, safety, and opportunities for affordable housing and economic development.

CBTP GRANT SPECIFIC OBJECTIVE

Project proposals should involve conceptual-level plans or study activities that encourage community-based stakeholder collaboration and consensus building through active public engagement. Each proposal should display a transportation/land use benefit that will likely induce additional benefits. Competitive project proposals should describe how the project will be implemented.

EJ GRANT SPECIFIC OBJECTIVE

Proposed projects should have a clear focus on transportation and community development issues that address the interests of low-income, minority, Native American, and other under-represented communities.

WRITING TO GOALS AND OBJECTIVES

The State Transportation Planning goals provide the framework or basis for the CBTP and EJ grant programs. These goals are general statements or visions that Caltrans values and wants to ultimately achieve. A competitive grant application would address and articulate how the project relates to multiple State goals.

Grant Specific Objectives are the intermediary step between the goal and implementation. The grant program objectives indicate the specific purpose of each grant program. The proposed projects are the means of implementing the objectives and the goals. When preparing a grant application, bear in mind the goals as well as the purpose or objective of each grant program.

In addition, Caltrans supports ongoing Regional Blueprint Plan and Sustainable Communities Strategy (SCS - SB 375) efforts. A competitive grant application would address how the project may help implement a Regional Blueprint or SCS if one exists or is being developed for that location.

Community-Based Transportation Planning and Environmental Justice (Continued)

CBTP GRANT BONUS SCORING

For the 2010/2011 CBTP grant cycle, those applications received from local governments participating in the California Department of Housing and Community Development's (HCD) *The Catalyst Projects for Sustainable Strategies Pilot Program*, will receive ten bonus points if the following condition is met:

- The individual application will compete against all applications being evaluated and must score in the top 33 percent. If the application scores in the top 33 percent, ten bonus points will be added to the initial evaluation score. So, if the initial application score is 80 points and falls in the top 33 percent of all scores, ten bonus points will be added, for a total score of 90 points.

For more information on the Catalyst Pilot Program, please contact HCD at (916) 323-3176 or visit their website at:

<http://www.hcd.ca.gov/>

EXAMPLES OF PROJECT TYPES

- Long-term sustainable community/economic development growth studies or plans
- Community to school linkage studies or plans
- Jobs and affordable housing proximity studies or plans
- Transit Oriented/Adjacent Development or "transit village" studies or plans
- Infill or compact development studies or plans
- Mixed-land use development studies or plans
- Context-sensitive streetscapes or town center studies or plans
- Complete street studies or plans
- Suburban community or urban commercial corridor retrofit studies or plans
- Community revitalization studies or plans

WHO MAY APPLY

Metropolitan Planning Organizations (MPOs), Regional Transportation Planning Agencies (RTPAs), cities, counties, transit agencies, and federally recognized Native American Tribal Governments may apply for this grant program directly as an applicant or as a sub-recipient to a lead applicant. Universities and community colleges, community-based organizations, non-profit organizations (501.C.3), and public entities may only apply as a sub-recipient with an MPO, RTPA, city or county as the lead applicant. Sub-recipients are encouraged to work far in advance of the application deadline with the appropriate lead applicant to coordinate application development.

Local governments participating in the California Department of Housing and Community Development's *The Catalyst Projects for Sustainable Strategies Pilot Program* are welcome to apply.

Community-Based Transportation Planning and Environmental Justice (Continued)

LOCAL RESOLUTION REQUIREMENT

A local resolution from the applicant's governing board stating the title of the person authorized to enter into a contract with Caltrans must be included with the application. The local resolution is a critical part of the grant application package. The following elements must be included:

- The resolution must be made by the governing board of the grant applicant.
- The resolution must name the title of the person authorized to enter into a contract with Caltrans on behalf of the applicant.
- The resolution must be enacted by the application deadline.

In addition, we recommend that applicants plan ahead to ensure that there is adequate time to get the resolution on the agenda of the governing board in order to meet the application deadline. Applications with missing resolutions, or resolutions that are enacted after the application deadline, are at a competitive disadvantage when compared to otherwise equally strong proposals that have met the deadline.

OVERALL WORK PROGRAM

Once a Community-Based Transportation or Environmental Justice grant is awarded, MPOs and RTPAs who receive a grant must include the project as a formal work element in their Overall Work Program (OWP).

FUNDING

An estimated \$6 million will be available for the FY 2010-2011 grant cycle **pending approval of the state budget**. Funding for each project requires a minimum 10 percent local match. One-quarter of the local match may include in-kind services. Local match funds cannot be state or federal, or money that has already been earmarked for other programs or projects. In-kind services must be clearly identified in the scope of work and may include staff time, use of equipment, and refreshments provided at public participation events.

FUNDING AVAILABILITY

These grants have a time limit. All project funds must be encumbered during the first fiscal year (upon approval of the state budget). Work may begin during the year of encumbrance only after the Grantee receives a fully executed contract and has been notified by Caltrans to begin work. The contract development process typically takes 2-3 months. Applicants should reflect the contract development process in the scope of work and project schedule. The second and third fiscal years are for project-related activities.

February 28, 2013

- Contract expires (**no time extensions will be granted**).
- Reimbursable work must be completed.

May 1, 2013

- All final invoices must be submitted to Caltrans for approval and reimbursement. This allows Caltrans sufficient time to comply with the State Controller's Office payment requirements.

Community-Based Transportation Planning and Environmental Justice (Continued)

FINAL PRODUCT

Every final product delivered under the grant program is expected to be a documented study, plan, or concept that can be used by the applicant to further smart growth and a community's sustainability. Final products are expected to include identification of potential barriers to implementation and then propose strategies and tools that could address those barriers and advance the project toward implementation. Four copies and four electronic copies of the final product are required to be submitted to the district office.

PARTNERSHIP PLANNING

and

TRANSIT PLANNING

(FTA Section 5304)

**Statewide or Urban Transit Planning Studies
Rural or Small Urban Transit Planning Studies
Transit Planning Student Internships**

An electronic version of this guide and other grant-related resources are available at the following web site:
<http://www.dot.ca.gov/hq/tpp/grants.html>

Note: Metropolitan Planning Organizations (MPOs) or Regional Transportation Planning Agencies (RTPAs) must be the applicant for the following four grant programs.

For more information about any topics in this section, please reference the Regional Planning Handbook at:
<http://www.dot.ca.gov/hq/tpp/offices/orip/owp/index.html>

Partnership Planning and Transit Planning

The four Transportation Planning Grant Programs included in this section are federally funded. The role of the MPO and RTPA is to facilitate a fair and open competitive application and outreach process. For an MPO or RTPA to influence the applicant pool either formally or informally by pre-screening applications is contrary to both State and Federal administration of these grant programs.

GRANT APPLICATION REQUIREMENTS

Only MPOs and RTPAs may apply for the Partnership Planning and Transit Planning grant programs. Universities and community colleges, Native American Tribal Governments, cities and counties, community-based organizations, non-profit organizations (501.C.3) and public entities may apply as a sub-recipient. Sub-recipients are encouraged to work far in advance of the application deadline with the appropriate MPO or RTPA to coordinate application development.

OVERALL WORK PROGRAM (OWP)

All grant recipients must have their approved projects identified in their FY 2010-2011 Overall Work Program (OWP), and in future OWPs until the project is complete. Projects should be completed no later than June 30, 2013. All grant recipients must file a Final Request for Reimbursement no later than 90 days after the end of the fiscal year to coincide with the submission of the MPO's/RTPA's OWP Final Expenditure Report.

LOCAL MATCH CONTRIBUTION

All Federal grant programs require a non-federal local match (i.e. State or local funds). The Partnership Planning grant program requires the applicant to provide a 20 percent local match. The Transit Planning (FTA Section 5304) grant program requires the applicant to provide an 11.47 percent local match.

The local match can be all cash, all in-kind, or a combination of the two. If in-kind services are used for the local match, the in-kind provider must be named and documentation of services rendered must be provided, e.g., a description of the number of staff, their job titles and their hourly rate. The salaries expended should equal the total in-kind local match stated on the grant application cover sheet. The in-kind contribution information must be identified on the cover page of the grant application, the project schedule and funding chart, and the Work Element in the OWP. Caltrans Office of Regional and Interagency Planning (ORIP) located in Sacramento must approve the use of in-kind contributions as a condition of grant acceptance.

QUARTERLY REPORTING

A grant progress report must be prepared every quarter for each awarded Partnership Planning and Transit Planning (FTA Section 5304) project that has been awarded. Caltrans staff will provide the brief reporting form and due dates.

DISADVANTAGED BUSINESS ENTERPRISE REPORTING

MPOs and RTPAs are required to report DBE participation in any contracting opportunities that involve Partnership Planning and Transit Planning funds. DBE reporting is required twice a year: April 1st and October 1st.

Partnership Planning and Transit Planning (Continued)

FINAL PRODUCT

All final reports funded through the Partnership Planning and the Transit Planning (FTA Section 5304) grant programs shall credit the Federal Transit Administration or Federal Highway Administration's financial participation on the cover or title page. Three hard copies of all final reports shall be forwarded to the Caltrans District office responsible for the administration and oversight of the grant. An electronic file of the final report is also required.

WRITING TO GOALS AND OBJECTIVES

Both Federal and California Transportation Plan (CTP) goals provide the framework or basis for the FHWA and FTA grant programs. These goals are general statements or visions about what each organization values and wants to ultimately achieve. A competitive grant application would address and articulate how the project relates to multiple Federal and CTP goals.

Grant Specific Objectives are the intermediary step between the goal and implementation. The grant program objectives indicate the specific purpose of each grant program. The proposed projects are the means of implementing the objectives and the goals. When preparing a grant application, bear in mind the goals as well as the purpose or objective of each grant program.

Partnership Planning

GRANT SPECIFIC PROGRAM OBJECTIVE

The objective of the Partnership Planning program is to encourage or strengthen multi-agency and/or government-to-government partnerships. The projects must be jointly performed with Caltrans. The proposed Partnership Planning projects must have a statewide and/or regional benefit. The anticipated benefits of the project must ultimately result in improvements to the statewide or regional transportation system.

EXAMPLE PROJECT TYPES

- Studies that identify regional, inter-county, and/or statewide mobility and access needs
- Corridor studies and corridor preservation studies
- Projects that evaluate transportation issues involving ground access to international borders, seaports, airports, intermodal facilities, freight hubs, and recreational sites

FUNDING

The Partnership Planning grant program is funded by the Federal Highway Administration (State Planning and Research, Part I). The Federal Highway Administration has authorized Caltrans to distribute these grant funds.

Approximately \$1,000,000 will be available in FY 2010-2011. The maximum amount per grant cannot exceed \$300,000.

Transit Planning

FUNDING

The Transit Planning grant program is funded by the Federal Transit Administration. The Federal Transit Administration has authorized Caltrans to distribute these grant funds.

Partnership Planning and Transit Planning (Continued)

STATEWIDE OR URBAN TRANSIT PLANNING STUDIES

An estimated \$1.4 million will be available in FY 2010-2011. The maximum amount per grant cannot exceed \$300,000.

GRANT SPECIFIC PROGRAM OBJECTIVE

The objective of the Statewide or Urban Transit Planning Studies program is to address transit planning issues of statewide or regional significance. The proposed planning studies are intended to improve transit services and to facilitate congestion relief by offering an alternative to the single occupant vehicle.

EXAMPLE PROJECT TYPES

- Identification of policies and procedures to integrate transit into the transportation system planning process
- Statewide transit planning surveys and research
- Identification of policies, strategies, and programs to preserve transit facilities and optimize transit infrastructure
- Development of transit planning and travel forecasting tools and models

RURAL OR SMALL URBAN TRANSIT PLANNING STUDIES

An estimated \$700,000 will be available in FY 2010-2011. The maximum amount per grant cannot exceed \$100,000.

GRANT SPECIFIC PROGRAM OBJECTIVE

The objective of the Rural or Small Urban Transit Planning Studies program is to help transit providers with technical planning for the operation and maintenance of the transit system. The intent is to support transit and/or intermodal planning studies that show benefit to rural or small urban service areas with a population of 100,000 and less.

EXAMPLE PROJECT TYPES

- Short-range transit development plans
- Transit marketing plans
- Site selection studies
- Transit service implementation plans
- Ridership surveys
- Social service improvement studies

TRANSIT PLANNING STUDENT INTERSHIPS

An estimated \$150,000 will be available in FY 2010-2011. The maximum amount per grant cannot exceed \$50,000.

GRANT SPECIFIC PROGRAM OBJECTIVE

The objective of the Transit Planning Student Internships program is to provide student internships in transit planning at public transportation agencies. The intent is to foster the education of university and community college students with an interest in the field of transit planning. Internships are for students only.

**Fiscal Year 2010-11
TRANSPORTATION PLANNING GRANT
APPLICATION**

Check One Grant Program

- Community-Based Transportation Planning
 - Catalyst Project for Sustainable Strategies Pilot Program
- Environmental Justice
- Partnership Planning
- Statewide or Urban Transit Planning Studies
- Rural or Small Urban Transit Planning Studies
- Transit Planning Student Internships

PROJECT TITLE		
PROJECT LOCATION (city(ies) and county(ies))		
	APPLICANT	SUB-RECIPIENT(S)
Organization		
Executive Director and title Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> Mrs. <input type="checkbox"/>		
Contact Person and title Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> Mrs. <input type="checkbox"/>		
Mailing Address		
City		
Zip Code		
E-mail Address		
Telephone Number		
FUNDING INFORMATION		
Use Match Calculator to complete this section		
http://www.dot.ca.gov/hq/tpp/offices/ocp/ej_cbtpp_toolbox_files/Match_Calculator.xls		
Grant Funds Requested	\$	
Local Match - Cash	\$	
Local Match - In-Kind	\$	
Total Project Cost	\$	
Source of Local Match and Name of Provider(s)		

The application package should not be more than 20 pages including any attachments and/or documentation other than letters of support and legislative representative lists. Do not bind the application.

Use the latest version of **Adobe Acrobat Reader®** to complete this application. An electronic version of the application is available (in a PDF format) at
http://www.dot.ca.gov/hq/tpp/grant_files/1011/FY10-11_Transportation_Grants_Application.pdf

**Fiscal Year 2010-11
TRANSPORTATION PLANNING GRANT
APPLICATION**

**REGIONAL BLUEPRINT AND SUSTAINABLE COMMUNITIES GOALS
For Community-Based Transportation Planning and Environmental Justice**

- Complements or advances the Region's Blueprint Planning efforts.
- Advances a community's efforts to reduce greenhouse gases and will assist transportation agencies in creating enduring communities.

**FEDERAL TRANSPORTATION PLANNING GOALS
For Partnership Planning and Transit Planning**

- Support the economic vitality of the metropolitan area, especially by enabling global competitiveness, productivity, and efficiency.
- Increase the safety of the transportation system for motorized and non-motorized users.
- Increase the security of the transportation system for motorized and non-motorized users.
- Increase accessibility and mobility of people and freight.
- 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.
- Enhance the integration and connectivity of the transportation system, across and between modes, for people and freight.
- Promote efficient system management and operation.
- Emphasize the preservation of the existing transportation system.

**Fiscal Year 2010-11
TRANSPORTATION PLANNING GRANT
APPLICATION**

2. Project Description (maximum of 1 page), (20 points)

A. Briefly summarize project (maximum of 60 words. 10 points)

B. Briefly describe the project area (e.g. urban/rural/suburban setting, geographic characteristics, location, etc. (10 points)

**Fiscal Year 2010-11
TRANSPORTATION PLANNING GRANT
APPLICATION**

- 3. Project Justification (maximum of 1 page), (20 points)**
- A. List and describe the problems and/or deficiencies that the project is attempting to address. **(10 points)**
 - B. Describe how the project will address the identified problems and/or efficiencies. **(10 points)**

**Fiscal Year 2010-11
TRANSPORTATION PLANNING GRANT
APPLICATION**

4. Public Participation (maximum of 2 pages), (20 points)

- A. Identify the project stakeholders (i.e. low-income and minority communities, Native American Tribal governments, other underrepresented groups, community-based organizations, and businesses affected by the project. **(10 points)**).
- B. Describe the outreach methods that will be used to reach the public and the project stakeholders with an emphasis on engaging traditionally under-represented communities. **(10 points)**.

**Fiscal Year 2010-11
TRANSPORTATION PLANNING GRANT
APPLICATION**

If necessary, use this page to continue response for Question #4 (Public Participation).

**Fiscal Year 2010-11
TRANSPORTATION PLANNING GRANT
APPLICATION**

5. Project Implementation (maximum of 1 page) (20 points)

- A. List the project's anticipated accomplishments and final deliverables. **(10 points)**
- B. Explain how the completed project and its deliverables will be applied (or carried forward) to the next stage/phase **(10 points)**

**Fiscal Year 2010-11
TRANSPORTATION PLANNING GRANT
APPLICATION**

6. Project Management (20 points)

- A. List the Scope of Work (see page 28 in the Transportation Planning Grant Guide for a sample Scope of Work). The Scope of Work must be in a Microsoft Word format and include: (10 points)**
- What work is to be done: Provide an outline or general picture of services. List project tasks and identify any specific project deliverables. Also, list milestones for major tasks that mark the completion of a work package or phase.
 - Who is responsible for what tasks: Discuss the roles and responsibilities of agency staff and consultant contractors.
 - When the work is to be done: Provide schedule information for the services that will be required.
- B. Project Schedule (see page 31 in the Transportation Planning Grant Guide for a sample Project Schedule). The Project Schedule must be in a Microsoft Excel format and include: (10 points)**
- Timing, responsibilities, cost, cost distribution, and deliverables of all tasks in the Scope of Work. For CBTP and EJ applications, all project schedules should reflect a start date of February 2011.

Attach Scope of Work and Project Schedule to the application.

**Fiscal Year 2010-11
TRANSPORTATION PLANNING GRANT
APPLICATION**

If selected for funding, the information contained in this application will become the foundation of the contract with Caltrans.

To the best of my knowledge, all information contained in this proposal is true and correct. If awarded a grant with Caltrans, I agree that I will adhere to the requirements and guidelines specified in this grant application.

Signature of Executive Director (Applicant)

Print Name

Title

Date

Signature of Authorized Official (Sub-recipient)

Print Name

Title

Date

INCLUDE THE FOLLOWING DOCUMENTS

- Signed Application (PDF format)
- Scope of Work (Microsoft Word format – see sample on Page 28 in the Transportation Planning Grant Guide)
- Project Schedule (Microsoft Excel format – see sample on Page 31 in the Transportation Planning Grant Guide)
- Local Resolution (CBTP and EJ only – see Page 12 in the Transportation Planning Grant Guide)
- Map of Project Area
- Digital Photographs of Project Area (when applicable)
- Four hard copies and two CDs with electronic copies of the Application (PDF Format), Scope of Work (Microsoft Word), Project Schedule (Microsoft Excel), and all other supporting documentation.

Scanned applications will not be accepted.

Note: Failure to include any of these required documents will result in a reduced application score.

SAMPLE SCOPE OF WORK

Blank Project Scope of Work format (required) can be found at
http://www.dot.ca.gov/hq/tpp/offices/ocp/ej_cbtp_toolbox_files/SOW_Template.doc

ACME (CAD) Community Action Plan, Streetscape, Parking, and Circulation Plans

Task 1: Project Startup

Task 1.1: Meet with Caltrans to review the approved application and discuss expectations.

Task 1.2: Prepare RFP to include charrettes, a public forum, and expected deliverables emphasizing public participation and outreach.

Task 1.3: Conduct a kick-off meeting with the consultant, THECOG, and other stakeholders in order to refine final details of the project.

<i>Deliverable</i>	Documentation
Signed contract between ABC Design Group and THECOG	Copy of signed contract
Conduct kick-off meeting	Meeting notes

Task 2: Ongoing Community and Stakeholder Outreach

Task 2.1: Promote/Advertise charrettes through a multi media campaign (including use of newspaper and radio) and through the Community Advisory Committee and other stakeholders.

Task 2.2: Conduct 2 to 3 charrettes to gain public involvement and refine concepts to incorporate into the plans.

Task 2.3: Conduct Technical Advisory Group (TAG) and Community Advisory Committee (CAC) meetings to ensure community and stakeholder participation throughout the project, including document review.

<i>Deliverable</i>	Documentation
Promote and advertise charrettes	Copies of advertisements and promotional materials
Conduct charrettes	Meeting notes and/or summary of outcomes
Conduct TAG & CAC meetings	Meeting notes

SAMPLE

Task 3: Develop Plan Components

Task 3.1: Develop Parking Plan

- Gather existing information and inventory available parking.
- Analyze future parking needs resulting from recommended downtown improvements and future development.
- Identify improvements from a range of options developed by community and stakeholders to best meet community goals, improve parking, and facilitate bicycle circulation.

Task 3.2: Develop Circulation Plan

- Analyze data and opportunities for circulation improvements identified previously in the process.
- Consider safety and connectivity of bicycle and pedestrian network in relation to circulation.
- Identify improvements from a range of options developed by the community to best meet community goals to improve circulation. Include suggested information on road width and levels of public improvements.

Task 3.3: Develop Streetscape Plan

- Analyze and evaluate the non-motorized circulation network connecting to downtown ACME. Analyze existing data gathered and problems identified in Phase I of the CAP.
- Select improvements for specific locations from a range of options developed previously in the process to best meet the goals of the community and create a cohesive downtown area.
- Provide graphic representations and basic specifications of specific improvements recommended.

Task 3.4: Develop Funding Strategy

- Develop basic preliminary cost estimates for recommended improvements.
- Identify potential funding sources for recommended improvements.
- Recommend strategy for obtaining funding.

Task 3.5: Provide draft plans to TAG and CAC and present to community at a public meeting.

<i>Deliverable</i>	Documentation
Develop Parking Plan	Copy of draft Parking Plan
Develop Circulation Plan	Copy of draft Circulation Plan
Develop Streetscape Plan	Copy of draft Streetscape Plan
Develop Funding Strategy	Copy of draft Funding Strategy (may be incorporated into other plan components)
Present draft plans at meetings	Meeting notes and TAG recommendations

SAMPLE

Task 4: Final Plan Preparation & Hearings

Task 4.1: Prepare final plans based on TAG, CAC and community input.

Task 4.2: Present final plans at a public hearing before the THECOG Board for acceptance.

<i>Deliverable</i>	Documentation
Preparation of final plan(s) for hearing	Copy of final plan(s)
Presentation of plans to THECOG	Meeting minutes

Task 5: Administration

Task 5.1: Monitor ongoing progress of project and prepare and provide quarterly reports as required. Oversee ongoing contract management.

Task 5.2: Act as fiscal manager for project, including providing invoicing and ensuring proper documentation of expenditures and timely use of funds. Report quarterly on milestone completion to District project manager.

<i>Deliverable</i>	Documentation
Monitoring of project and contract management	Provide complete quarterly reports to District project manager
Act as fiscal manager	Copies of invoices

Task 5.3: Report quarterly on milestone completion to District project manager.

California Department of Transportation
 Transportation Planning Grants
 Fiscal Year 2010-2011

SAMPLE PROJECT SCHEDULE

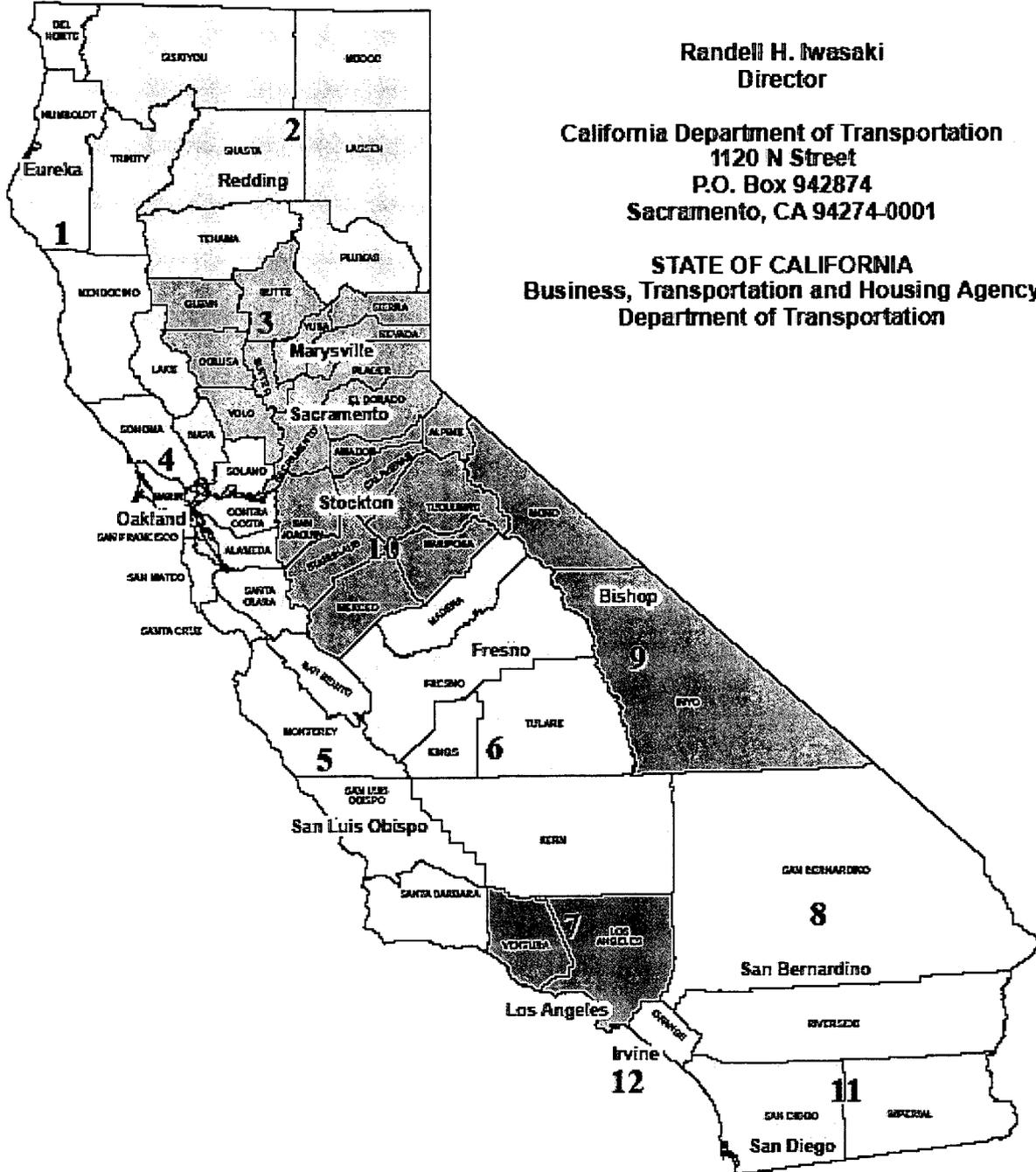
Project Title		ACME CAP, Streetscape, Parking & Circulation Plans						Grantee THE Council of Governments																			
Task Number	Tasks	Responsible Party	Fund Source				Fiscal Year 2010/11						FY 2011/12						Deliverable								
			Total Cost	Grant	Local	In-kind	Other	J	A	S	O	N	D	J	F	M	A	M		J	J	A	S	O	N	D	J
1.0	Pre-contracting conference	THECOG/CT																								Meeting notes	
1.1	RFP Preparation	THECOG	\$500	\$400	\$50	\$50																				Prepare Contract	
1.2	Kick-off Meeting	THECOG/ABC	\$500	\$400	\$50	\$50																				Conduct Kick-off meeting	
<i>Ongoing Community & Stakeholder Outreach</i>																											
2.1	Promote/Advertise Charettes	ABC	\$20,000	\$18,000	\$2,000																					Charettes promotional material	
2.2	Conduct Charettes	ABC	\$10,000	\$9,000	\$1,000																					Charettes notes	
2.3	Conduct TAG and CAC meetings	ABC	\$10,000	\$9,000	\$1,000																					TAG & CAC meeting notes	
<i>Develop Plan Components</i>																											
3.1	Develop Parking Plan	ABC	\$16,000	\$14,400	\$1,600																					Parking Plan	
3.2	Develop Circulation Plan	ABC	\$16,000	\$14,400	\$1,600																					Circulation Plan	
3.3	Develop Streetscape Plan	ABC	\$16,000	\$14,400	\$1,600																					Streetscape Plan	
3.4	Develop Funding Strategy	ABC	\$16,000	\$14,400	\$1,600																					Funding Strategy	
3.5	Provide draft plans to TAG, CAC & public	ABC	\$16,000	\$14,400	\$1,600																					Draft plans and presentations	
<i>Final Plan Preparation</i>																											
4.1	Prepare final plans based on input received	ABC	\$7,600	\$6,750	\$750																					Final plan(s) for hearing	
4.2	Present final plan at THECOG public hearing	THECOG/ABC	\$7,600	\$6,750	\$750																					Present plan(s) to THECOG at public hearing, meeting minutes	
<i>Administration</i>																											
5.1	Project monitoring & contract management	THECOG	\$7,000	\$6,300	\$350	\$350																				Monitoring project and contract management	
5.2	Submit info for Quarterly reports	THECOG	\$0	\$0	\$0	\$0																				Project status information	
5.3	Fiscal management	THECOG	\$7,000	\$6,300	\$350	\$350																				Invoices	
TOTALS			\$150,000	\$134,600	\$14,300	\$600	\$0																				

This completion timeline is for illustrative purposes only. Your scope of work and timeline may include different tasks under different headings.

Blank Project Schedule format (required) may be found at
http://www.dot.ca.gov/hq/tp/offices/ocp/ej_cbrp_toolbox_files/Timeline_Template.xls

SAMPLE PROJECT SCHEDULE

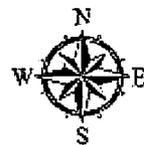
CALTRANS DISTRICT OFFICES



Randell H. Iwasaki
Director

California Department of Transportation
1120 N Street
P.O. Box 942874
Sacramento, CA 94274-0001

STATE OF CALIFORNIA
Business, Transportation and Housing Agency
Department of Transportation



CALIFORNIA

Metropolitan Planning Organizations (MPOs) and Regional Transportation Planning Agencies (RTPAs)



California Department of Transportation
 Division of Transportation Planning
 October 2009

Caltrans Transportation Planning Grant Contact List

DISTRICT	CONTACT	MPO/TRPA
DISTRICT 1 1656 Union Street Eureka, CA 95501 (P.O. Box 3700) Eureka, CA 95502	All Planning Grant Programs - Rex Jackman (707) 445-6412	<ul style="list-style-type: none"> • Del Norte LTC • Humboldt CAOG • Lake APC • Mendocino COG
DISTRICT 2 1657 Riverside Drive (P.O. Box 496073) Redding, CA 96049-6073	All Planning Grant Programs - Michelle Millette (530) 229-0517	<ul style="list-style-type: none"> • Lassen LTC • Tehama LTC • Modoc LTC • Trinity LTC • Plumas LTC • Siskiyou LTC • Shasta LTC
DISTRICT 3 703 B Street P.O. Box 911 Marysville, CA 95901	All Planning Grant Programs - Beatriz Gonzalez (530) 741-5173	<ul style="list-style-type: none"> • Butte CAG • Sierra LTC • Colusa LTC • Glenn LTC • El Dorado LTC • Nevada LTC • Placer LTC • Sacramento Area COG • TRPA – Tahoe Basin • Tahoe Metropolitan Planning Organization
DISTRICT 4 111 Grand Avenue P.O. Box 23660 Oakland, CA 94623-0660	CBTP- Beth Thomas (510) 286-7227 EJ- Blesilda Gebreyesus (510) 286-5575 FHWA and FTA - Becky Frank (510) 286-5536	<ul style="list-style-type: none"> • Metropolitan Transportation Commission
DISTRICT 5 50 Higuera Street San Luis Obispo, CA 93401-5415	All Planning Grant Programs - Dan Herron (805) 549-3510	<ul style="list-style-type: none"> • Monterey LTC • Santa Cruz LTC • San Benito COG • Association of Monterey County Bay Area Governments • Santa Barbara CAG • San Luis Obispo COG

Caltrans
Transportation Planning Grant Contact List (Continued)

DISTRICT	CONTACT	MPO/RTPA
DISTRICT 6 1352 West Olive Drive P. O. Box 12616 Fresno, CA 93728-2616	All Planning Grant Programs - Randy Treece (559) 488-4153	<ul style="list-style-type: none"> • Fresno COG • Tulare COG • Kern COG • Kings CAG • Madera LTC
DISTRICT 7 100 South Main Street Los Angeles, CA 90012	CBTP- and EJ - Wilford Melton (213) 897-1344 FHWA & FTA- DiAnna Watson(213) 897-9140	<ul style="list-style-type: none"> • Southern California Association of Governments
DISTRICT 8 464 West Fourth Street Sixth Floor San Bernardino, CA 92402	CBTP - John Chiu (909) 388-7139 EJ - Lorna Foster (909) 383-4936 FHWA and FTA - Lorna Foster (909) 383-4936	<ul style="list-style-type: none"> • Southern California Association of Governments
DISTRICT 9 500 South Main Street Bishop, CA 93514	CBTP - and EJ - Miya Edmonson (760) 872-0735 FHWA and FTA - Forest Becket (760) 872- 0659	<ul style="list-style-type: none"> • Inyo LTC • Mono LTC
DISTRICT 10 1976 East Charter Way P. O. Box 2048 Stockton, CA 95201	All Planning Grant Programs - Dan Brewer (209) 948-7112	<ul style="list-style-type: none"> • Alpine LTC • Amador LTC • Calaveras COG • Mariposa LTC • Merced CAG • Tuolumne COG • San Joaquin COG • Stanislaus COG
DISTRICT 11 4050 Taylor Street Mail Station 240 San Diego, CA 92110	CBTP- and EJ- Connery Cepeda (619) 688-6968 FHWA and FTA - Mike Kent (619) 688-6822	<ul style="list-style-type: none"> • San Diego Association of Governments
DISTRICT 12 3347 Michelson Drive Suite 100 Irvine, CA 92612-0611	All Planning Grant Programs - Damon Davis (949) 440-3487	<ul style="list-style-type: none"> • Southern California Association of Governments