

California Department of Transportation
Transportation Planning Grants and
Special Studies Assessment and
Recommendations

Final Report

June 30, 2009

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California Department of Transportation
(Caltrans)

Transportation Planning Grants and
Special Studies Assessment and
Recommendations

Final Report

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Executive Summary

The California Department of Transportation (Caltrans) is a leader in encouraging research and implementation of planning processes and projects that help to guide California’s development in a sustainable and equitable manner. A primary means for promoting this effort is through their Transportation Planning Grants and Transportation Planning Special Studies programs:

- Community-Based Transportation Planning (CBTP) Grants
- Environmental Justice: Context Sensitive Planning (EJ) Grants
- Transportation Planning Special Studies (TPSS)

With 149 planning grants and 67 special studies awarded from FY 2000/2001 to 2005/2006, Caltrans is now in a strategic position to determine the extent to which the contracted scopes of work of funded projects have been completed and how those projects are being used. By acquiring a comprehensive understanding of how program funding has been used, Caltrans can better determine the value that resulting projects have provided the state and the range of impacts that projects have had on California’s communities. Additionally, an assessment of final products can provide insight into how to efficiently and effectively expand the capacity of funding programs to be responsive to California’s future transportation needs.

In 2008, Caltrans contracted ICF International (ICF) to conduct a thorough review and analysis of a sample of funded planning grants and special studies awarded from FY 2000/2001 to FY 2005/2006.

Table 1. Number of Sampled Projects Evaluated

Grant or Award Program	Total Projects*	Sampled Projects
Community-Based Transportation Planning (CBTP) Grants	69	17
Environmental Justice: Context Sensitive Planning (EJ) Grants	80	17
Transportation Planning Special Studies (TPSS)	67	5
Total	216	39

*Total projects includes the following: CBTP projects funded from FY 2000/2001 to FY 2005/2006; EJ projects funded from FY 2001/2002 to FY 2005/2006; TPSS projects funded from FY 2003/2004 to FY 2005/2006

The purpose of this assessment project was to 1) determine whether funded projects achieved or intended to achieve state planning goals, 2) determine how funded products currently are being used, and 3) develop recommendations for how to improve the administration and overall success of implementation of final products funded by grant and award monies. To meet these objectives, ICF conducted the following five tasks:

1. **Product Inventory**—ICF conducted a product inventory to compile project-related information about EJ/CBTP and TPSS projects to assist Caltrans with identifying the sample of products for ICF to assess for this project.
2. **Online Surveys**—ICF administered and assessed results from two surveys to acquire a status update on the results of the funded projects and suggestions for improving the application and planning grant and award process.

3. **Interviews with Stakeholders**—ICF conducted over 50 interviews with transportation planning grant and TPSS award stakeholders (e.g., recipients; sub-recipients; Division and District staff) to determine the current status of the funded project, whether the scope of work was completed, identify strategies for how final products may be moved to the implementation phase, and gather feedback about the overall successes and challenges associated with the planning grant and award programs.
4. **Focus Groups**—ICF garnered first-hand perspectives about the successes and challenges of administering, developing, and implementing the grant project from three focus groups consisting of EJ and CBTP grant funding stakeholders.
5. **Product Review**—ICF reviewed and assessed a total of 39 EJ/CBTP and TPSS products in order to determine the current status of funded products, the extent to which final products were completed within the contracted scope of work, whether final products meet or promote transportation planning goals, and specific successes and challenges associated with each of the products. Successes and challenges were supplemented with input acquired from in-depth interviews, survey results, and focus groups (when applicable) conducted with stakeholders associated with each of the funded projects.

This report summarizes the key findings that ICF captured from an assessment of 39 products reflecting information about the current status of products, the extent to which final products were completed within the contracted scope of work, whether final products meet or promote transportation planning goals, and specific successes and challenges associated with the administration, development, and implementation of each of the products. ICF supplemented the product assessment with findings garnered from online surveys, in-depth interviews, and focus groups. Based on these findings, ICF developed recommendations for how Caltrans can improve the management, development, and implementation of final products.

Organization of Report

This report is comprised of five chapters that are organized as follows:

- **Chapter 1**—Discusses the objective of the study and the purpose of the report.
- **Chapter 2**—Presents the team’s methodological approach to assessing the sampled products.
- **Chapter 3**—Summarizes the key findings of the assessment as acquired from 86 survey responses, 52 in-depth interviews, and three focus groups. This chapter includes summary profiles for each of the 39 assessed products that reflect information about the current status of products, the extent to which final products were completed within the contracted scope of work, whether final products meet or promote transportation planning goals, and specific successes and challenges associated with each of the products, as garnered from in-depth interviews and focus group input.
- **Chapter 4**—Provides recommendations for how Caltrans can improve the management and implementation of final products, based on the team’s findings.
- **Chapter 5**—Concludes the report with a summary of ICF’s approach for conducting the planning grants and special studies assessment. It also summarizes the recommendations that the team developed based on its research (surveys; interviews; focus groups) and analysis of completed products. Recommendations aim to support Caltrans in its efforts to ensure the planning programs operate efficiently and effectively while supporting the program’s on-going capacity to be responsive to California’s current and future transportation needs.

Key Findings

ICF evaluated transportation planning grants and special studies awards using the following assessment methods:

Table 2. Assessment Methodology and Number of Stakeholder Responses

Assessment Method	Count
Online Survey (EJ/CBTP and TPSS)	86 survey respondents
In-depth Interview	52 interviewees
Focus Group	3 focus groups (approx. 8-15 attendees per group)
Product Review	39 products reviewed

Overall, ICF found that the sampled transportation planning grants were successful in promoting livability through community-based design that emphasized concepts such as transit-oriented development and the integration of locally-defined solutions aimed at enhancing transportation safety. In particular, ICF found that the most common constituencies served by the planning grants were pedestrians, low-income individuals, and transit users. ICF also found that a common motivation driving the application for planning grants was the opportunity to develop stronger partnerships with the community.

Although project implementation is not a requirement for the provision of funding of planning grants and special studies awards, it is an important component of an effective funding investment process. ICF found that a general lack of funding for improvements, bureaucratic hurdles, and the complexity of technical issues were primary reasons preventing implementation of completed projects. Other barriers to implementation included a perceived lack of trained personnel, limited funding, and resistance to technological changes.

Key findings from ICF's assessment are highlighted below.

Survey

In coordination with Caltrans, ICF developed two online surveys: one for EJ/CBTP planning grants recipients and one for TPSS awards recipients. Online surveys enabled ICF to easily collect, organize, and analyze qualitative data from a range of stakeholders. The surveys contained self-identifying questions, multiple-choice questions, and open response fields.

As participation in the survey was self-selected, survey results are not intended to provide statistically significant results. Rather, the survey results provide qualitative input reflecting stakeholder opinions and perceptions about the successes and challenges of applying for, developing, and implementing EJ/CBTP and TPSS projects. The following tables highlight key findings captured from the online surveys.

Table 3. EJ/CBTP Survey

Respondent Characteristics

- Caltrans District office staff and grantees/applicants accounted for 93% of respondents with 53% and 40% of respondents respectively.
 - Fifty-three percent of respondents had applied more than once for a Caltrans transportation planning grant.
-

Program Marketing and Application Process

- The top five ways respondents' organizations learned about the planning grants program were through a Caltrans email (50% of respondents), the Caltrans website (27% of respondents), a Caltrans flyer (23% of respondents), the local government/transportation commission (21% of respondents), and another local agency (11% of respondents).
 - Respondents rated the following options as the top five most effective marketing methods in descending order: presenting planning grants and projects at related conferences; hosting a collaborative workshop to showcase funded projects; a page on the Caltrans website; guidebooks and manuals; and TV/film profiles.
 - Respondents rated community vision or pre-existing need in the community, funding availability, and an opportunity to develop stronger partnerships with community as the highest factors motivating the respondent to apply for a planning grant. Local political pressure had the least influence in motivating respondents' organizations to apply for a planning grant.
 - More than 50% of the respondents had a favorable opinion of the application process, believed the intention and mission of the program is clear, found the time frame between the application notice and due date adequate, and thought the availability of Caltrans staff during the application process was good or adequate.
 - Sixty-five percent of the respondents had a completely positive or generally positive opinion of the program application process.
 - Common critiques of the application process included "complicated" and "time-consuming." Respondents cited multiple times that the most difficult part of the application process was coordinating efforts between multiple agencies.
 - Responses cited multiple times that the most helpful aspect of the application process was the availability of Caltrans staff.
-

Public Involvement

- The most common constituencies served by respondents' project were, in descending order, pedestrians, low-income individuals, transit users, people of color/minorities, and the general population.
 - Respondents cited community support, involvement, and participation the most often when asked what standard they use to measure the impact of their project on the intended community.
-

Project Implementation

- All respondents answered their projects completed their scope of work. Respondents cited timing issues as a common reason why a scope of work changed.
 - Ten percent of respondents' projects had been fully implemented. Twenty-four percent of the respondents' projects had been completed, but no progress has been made toward implementing the plan.
 - When asked how the project functioned as a catalyst for other community improvement projects, respondents answered "increased community involvement and participation" most often.
 - No respondents rated their projects as unsuccessful.
-

Best Practices and Barriers to Success

- Respondents cited high community involvement, meeting a community need, and ability to be funded, as the top three characteristics of a successful project.
 - Respondents identified, in descending order, lack of funding for improvements, bureaucratic hurdles, and complexity of technical issues as the top barriers in preventing implementation of the completed project.
-

Table 4. TPSS Survey

TPSS Survey: Respondent Characteristics

- Caltrans staff accounted for 80% of the survey respondents and 65% of respondents worked for a State HQ division – the most common being the Environmental Division.
 - More than half of the respondents were either Caltrans senior leadership or Caltrans project managers and had applied more than once for a TPSS award.
-

TPSS Survey: Project Implementation

- Eighty-nine percent of respondents rated their project as “completing the original Scope of Work submitted in the application,” and 73% believed their project was a success.
 - Eighty-five percent of respondents’ projects were “making progress” toward implementation of the plan.
-

TPSS Survey: Best Practices and Barriers to Success

- Common characteristics of a successful project cited by respondents included the project being implementable, the ability of the target community to use the project, and the project being delivered on time and in budget.
- Respondents cited the top barriers to implementation of the completed project as being a lack of trained personnel, limited funding, and resistance to technological changes.
- Below are examples of answers respondents provided in answer to questions regarding strategies which did not work well.

What approaches did NOT work and should be avoided when implementing the original project funded by the TPSS program?

Responses

- Management of targeted staff should have given firm direction on a transition to new system.
- Relying upon third party monitoring providers for our data.
- Consultant team made suggestions for highway modifications that were unacceptable to Caltrans.

What approaches did NOT work and should be avoided when implementing the recommendations resulting from the original project?

Responses

- The original team was not re-engaged for implementation.
 - There are no recommendations that did not work since we had a Caltrans team closely directing the consultants.
 - Relying upon third party monitoring providers for our data.
 - Getting recommendations that are not practical but look nice in slide shows.
-

Product Reviews, In-depth Interviews and Focus Groups

ICF reviewed and assessed 39 final products. ICF developed product profiles based on 1) a thorough review of each of the funded project’s program materials (e.g., application, final product, and post-evaluation when available) and 2) in-depth interviews and focus groups.

Product profiles include:

- An assessment of whether the project’s contracted scope of work was completed;
- An assessment of whether the project achieved State and, if applicable, Federal transportation planning goals for the project’s grant cycle;
- A summary of the current status of the project; and,

- Successes of and challenges to the administration, development, and implementation of final products funded by the planning grants and special studies awards.

In-depth interviews (IDIs) provided ICF with the opportunity to determine the current status of funded projects and discuss whether the scope of work was completed, identify strategies for how final products may be moved to the implementation phase, and gather feedback from grant and award stakeholders about the overall successes and challenges associated with the planning grant and award programs. ICF contacted 80 potential interviewees and was able to successfully conduct a total of 52 IDIs with EJ/CBTP grantees, TPSS awardees, and other Caltrans Division and District staff. ICF conducted all interviews by telephone. ICF integrated key findings from IDIs into associated product reviews where applicable.

Focus groups allowed ICF to capture additional information from planning grant recipients involved in the development of the funded project, as well as gather perspectives from those community members impacted by the funded project. Specifically, ICF conducted focus groups with stakeholders associated with three funded projects to acquire detailed information about the project development process and to determine the types of impacts projects have had on various communities. In each focus group, ICF facilitated the project stakeholders through an evaluation of the successes and challenges of their EJ or CBTP grant project. ICF integrated key findings from focus groups into associated product reviews where applicable.

Key findings from product reviews (including in-depth interview and focus group findings) are highlighted below.

Key Findings: CBTP Planning Grant Product Assessment

- **Success:** Overall, the community outreach process that grantees conducted for their projects were quite successful. Workshops and meetings tended to be well-attended, and some project teams employed innovative methods to encourage participation and collaboration such as hosting design fairs, using live-voting technology, and conducting walking tours.

Both the Hoopa Valley and Yurok Tribes have been recipients of transportation planning grants. Both tribes reported that key outcomes of their projects were increased knowledge about transportation planning on reservations and stronger collaboration with surrounding community groups, especially other tribes. With their formation of the Humboldt County Tribal Transportation Commission, the Hoopa Valley and Yurok Tribes are playing leadership roles in transforming the region's transportation infrastructure to improve mobility and safety.

- **Success:** Some planning projects have served as a catalyst for development in the project area even prior to their implementation. To increase community support for their projects, developers have incorporated policies from draft plans into their project design.
- **Challenge:** Recipients repeatedly noted having difficulty obtaining capital funding to implement their plan's recommendations.
- **Challenge:** Recipients proposing context-sensitive solutions to main streets which also functioned as state highways experienced difficulty in obtaining approval from Caltrans for design modifications.

In 2005, the Los Angeles County Bike-Transit Center Implementation Plan won an American Planning Association Award. The Plan has been successful in providing a blueprint for cities to follow and implement bike transit centers in the Los Angeles region. A sub-recipient of a 2002/2003 CBTP planning grant, Bikestation led the development of the Plan that establishes a baseline of design and operation recommendations for bike-transit centers aimed at creating a unified network of bicycle-parking facilities throughout the L.A. Metro's transportation system.

Key Findings: EJ Planning Grant Product Assessment

- **Success:** Non-profit sub-recipients with close ties to the community were successful in involving traditionally underrepresented communities in the planning process.
- **Success:** EJ funding provided opportunities for smaller communities to participate in a visioning process, a planning activity they normally do not have the resources to perform.
- **Challenge:** Recipients repeatedly noted they had difficulty obtaining funding to implement their plan's recommendations.
- **Challenge:** Some non-profit sub-recipients did not have adequate planning experience which hampered their ability to fully participate throughout the planning process.

The Central City Neighborhood Partners, the sub-recipient of a 2002/03 EJ grant, received accolades for its Central City Community Participation and Transportation Plan. In 2007, the Plan won two Planning Excellence Awards from the American Planning Association (APA)—one local and another national—for the Plan's community-driven approach to improving access to transportation in the Westlake community of Los Angeles.

Key Findings: TPSS Award Product Assessment

- **Success:** TPSS products tended to be shared widely with stakeholders and other interested parties. This was primarily achieved through dissemination of final reports or resulting tools amongst colleagues.
- **Success:** TPSS awardees tended to find the funding process transparent and straight-forward.
- **Challenge:** The limited availability of IT personnel (at headquarters) to assist with software implementation hampered the success of one project. The project team had based their funding request on the assumption they would have IT support from headquarters personnel.
- **Challenge:** Awardees noted a need for improved technical assistance from the Office of State Planning in how to monitor project success as many project managers overseeing funded TPSS projects have limited experience managing contractors.

The following table lists the products that ICF assessed.

Table 5. List of Assessed Products

Community-Based Transportation Planning
<ul style="list-style-type: none"> • Baechtel Road—Railroad Avenue Corridor Community Design Study • City of Santa Rosa Creeks Master Plan • Coachella Valley Design for Healthy Living • Corridor Study for Evaluating Transit Priority Measures • Cutler-Orosi Charrette • Downtown to the Waterfront Reconstruction Project Phase 1 • Envision La Brea: A Community Driven Future • Jack London BART Feasibility Study • Los Angeles County Bike-Transit Center Implementation Plan • Northeast Line Light Rail Stations

- PLACE3S Modeling Technology
 - Robert J. Cabral Station Neighborhood: A Plan for Revitalizing East Downtown Stockton
 - Santa Fe Depot Specific Plan Update
 - Scenario Planning for California's Great Central Valley
 - South Broad Street Corridor Plan
 - Swanston Station Area Infrastructure Needs Assessment and Urban Design Plan
 - Transit-Oriented Development Factors for Success in Western Riverside County
-

Environmental Justice

- All Congregations Together (ACT) Planning for Unsubsidized Community-Based Transportation
 - Community Bus Service Planning Study
 - Central City Community Participation and Transportation Plan
 - City of Bell Origins and Destination Study
 - Eastside Light Rail/Bicycle Interface Plan
 - Fruitvale Alive! Community Transportation and Safety Plan
 - Highway 33 & Downtown Firebaugh Linkage Study: Context Sensitive Planning for Community Revitalization
 - Hoopa Traffic Calming and Safety Plan
 - I-210 Corridor Enhancement Plan
 - Manila Community Transportation Plan—Phase II
 - Multi-Lingual Transit and Alternative Modes of Public Information and Outreach Program for the SACOG Region
 - North Richmond Truck Route Study
 - Revive Chinatown: Community Transportation Plan
 - Southeast Asian Transit Awareness Project
 - Strawberry Manor Infill Circulation Plan / Norwood Area Circulation and Infrastructure Plan
 - Taking Back a Traditional Trail: Yurok Tribe Transportation Plan
 - Update Orange County Area Plan for Adult Day Health Care Services (Transportation Element of Plan)
-

Transportation Planning Special Studies

- 2004/2005 State Highway Congestion Monitoring Program (HICOMP)
 - Collaborative Planning for Highway 99, San Joaquin Valley Phase I
 - Collision Reporting, Diagramming and Investigation Tracking
 - Economic Impact of Delays at the Border to Freight Movement and Trade
 - University Transportation Center (UTC) Project
-

Summary of Recommendations

Table 6 summarizes the recommendations that ICF developed based on findings from survey, interview, and focus group participants involved in the EJ and CBTP planning grants program. Based on these findings, ICF developed recommendations for how Caltrans can improve the administration of the planning grant program, support grantee efforts in developing the funded projects, and more effectively promote the product implementation process.

Table 6. Summary of Recommendations – EJ/CBTP Planning Grants

Grant Phase	Recommendation
Administration	<ul style="list-style-type: none"> • Clarify Program Management Policies and Procedures and HQ/District Staff Roles and Responsibilities Before Each Award Cycle • Consolidate Redundant Questions in Grant Applications • Enhance Marketing and Outreach Efforts, Before and After Award • Streamline Contracting Process • Standardize Project Monitoring Guidelines • Refine Year-End Close-Out Process and Recordkeeping
Project Development	<ul style="list-style-type: none"> • Require Approval to Modifications in Scope of Work • More Effectively Balance Organizational Capacity and Project Work Load • Incorporate Capacity Building About the Transportation Planning Process into Planning Grants Program • Bridge the Knowledge Gap in Transportation Funding • Build Off of Past or Current Projects to Maximize Momentum • Use Product for Public and Community Exposure • Encourage Management of Community Expectations – Emphasize Short-term and Mid-term Goals • Encourage Concise and Innovative Community Engagement Strategies • Create a GIS-based Map and Database
Implementation	<ul style="list-style-type: none"> • Develop Guidebook of Case-Study Strategies for Integrating Local Planning with Caltrans Policies • Require Applicants to Include Implementation Strategies in Application and Final Report • Expedite Permits for Funded Projects • Foster Linkages to State Funding • Promote Advocacy of the Project Among Stakeholders • Clarify Role of Each Stakeholder in Implementing the Funded Project

Table 7 summarizes the recommendations based on findings from survey and interviews with awardees (i.e., Caltrans staff) involved in the TPSS award program. Based on these findings, ICF developed recommendations for how Caltrans can improve the administration of the award program, support awardees’ efforts in developing the projects, and more effectively promote the product implementation process.

Table 7. Summary of Recommendations – TPSS Awards

Award Phase	Recommendation
Administration	<ul style="list-style-type: none"> • Clarify Program Policies and Procedures and Staff Roles and Responsibilities Before Each Award Cycle • Clearly Define What Qualifies as a Fundable Project and Provide Examples • Enhance Marketing and Outreach Efforts, Before and After Award • Consider Leveraging SPR Part I and Part II Funds for Joint Projects • Streamline Contracting Process • Improve Technical Assistance Related to Monitoring • Refine Year-End Close Out Process And Recordkeeping
Project Development	<ul style="list-style-type: none"> • Advise Applicants on Availability of IT Support
Implementation	<ul style="list-style-type: none"> • Consider Increasing Funding Preference for Studies that Have Been Tested or Already Initiated

1. Introduction

California's growing and diverse population presents a host of opportunities and challenges to how transportation planning decisions will be made over the coming years. The projected growth in population will help to support the State's economic growth. At the same time, it will require significant investments in the transportation system in order to maintain the State's high standards of mobility, access, and safety, while minimizing negative environmental impacts.

The California Department of Transportation (Caltrans) recognizes the need to balance the opportunities and challenges that expected growth will provide when making transportation investment and land-use decisions at the statewide, regional, and local levels. In particular, Caltrans has been a leader in encouraging research and implementation of planning processes and projects that guide development in a sustainable and equitable manner through its Transportation Planning Grants and Transportation Planning Special Studies programs:

- Community-Based Transportation Planning (CBTP) Grants
- Environmental Justice: Context Sensitive Planning (EJ) Grants
- Transportation Planning Special Studies (TPSS)

With 149 planning grants and 67 special studies awarded from FY 2000/2001 to 2005/2006, Caltrans is in a strong position to determine the extent to which the contracted scopes of work of funded projects have been completed and how completed projects are being used.

1.1. Purpose of Report

In 2008, Caltrans contracted ICF International (ICF) to conduct a thorough review and analysis of a sample of funded planning grants and special studies awarded from FY 2000/2001 to FY 2005/2006.

Table 8. Number of Sampled Projects Evaluated

Grant or Award Program	Total Projects*	Sampled Projects
Community-Based Transportation Planning (CBTP) Grants	69	17
Environmental Justice: Context Sensitive Planning (EJ) Grants	80	17
Transportation Planning Special Studies (TPSS)	67	5
Total	216	39

*Total projects includes the following: CBTP projects funded from FY 2000/2001 to FY 2005/2006; EJ projects funded from FY 2001/2002 to FY 2005/2006; TPSS projects funded from FY 2003/2004 to FY 2005/2006

The purpose of this assessment project was to 1) determine whether funded projects achieved or intended to achieve state planning goals, 2) determine how funded products currently are being used, and 3) develop recommendations for how to improve the administration and overall success of implementation of final products funded by grant and award monies. To meet these objectives, ICF conducted the following five tasks:

1. **Product Inventory**—ICF conducted a product inventory to compile project-related information about EJ/CBTP and TPSS projects to assist Caltrans with identifying the sample of products for ICF to assess for this project.
2. **Online Surveys**—ICF administered and assessed results from two surveys to acquire a status update on the results of the funded projects and suggestions for improving the application and planning grant and award process.
3. **Interviews with Stakeholders**—ICF conducted over 50 interviews with transportation planning grant and TPSS award stakeholders (e.g., recipients; sub-recipients; Division and District staff) to determine the current status of the funded project, whether the scope of work was completed, identify strategies for how final products may be moved to the implementation phase, and gather feedback about the overall successes and challenges associated with the planning grant and award programs.
4. **Focus Groups**—ICF garnered first-hand perspectives about the successes and challenges of administering, developing, and implementing the grant project from three focus groups consisting of EJ and CBTP grant funding stakeholders.
5. **Product Review**—ICF reviewed and assessed a total of 39 EJ/CBTP and TPSS products in order to determine the current status of funded products, the extent to which final products were completed within the contracted scope of work, whether final products meet or promote transportation planning goals, and specific successes and challenges associated with each of the products. Successes and challenges were supplemented with input acquired from in-depth interviews, survey results, and focus groups (when applicable) conducted with stakeholders associated with each of the funded projects.

Based on the team's research findings, the report provides recommendations for how Caltrans can improve grant and award program administration, assist grantees and awardees with project development, as well improve success of moving projects to the next phase of implementation.

1.2. Organization of Report

This report is comprised of five chapters that are organized as follows:

- **Chapter 1**—Discusses the objective of the study and the purpose of the report.
- **Chapter 2**—Presents the team's methodological approach to assessing the sampled products.
- **Chapter 3**—Summarizes the key findings of the assessment as acquired from 86 survey responses, 52 in-depth interviews, and three focus groups. This chapter includes summary profiles for each of the 39 assessed products that reflect information about the current status of products, the extent to which final products were completed within the contracted scope of work, whether final products meet or promote transportation planning goals, and specific successes and challenges associated with each of the products, as garnered from in-depth interviews and focus group input.
- **Chapter 4**—Provides recommendations for how Caltrans can improve the management and implementation of final products, based on the team's findings.
- **Chapter 5**—Concludes the report with a summary of ICF's approach for conducting the planning grants and special studies assessment. It also summarizes the recommendations that the team developed based on its research (surveys; interviews; focus groups) and

analysis of completed products. The recommendations aim to support Caltrans in its efforts to ensure the planning programs operate efficiently and effectively while supporting the program's on-going capacity to be responsive to California's current and future transportation needs.

1.3. Overview of Transportation Planning Grants

For the last eight years, Caltrans' transportation planning grants, administered by the Division of Transportation Planning, have been an important tool for promoting the State's transportation planning goals aimed at strengthening the economy, advancing social equity, and encouraging efficient development practices.

From FY 2000/2001 to FY 2005/2006, Caltrans awarded nearly \$22.3 million in CBTP and EJ grants. These grants, ranging in size from \$18,000 to \$300,000, have funded planning projects throughout the state.

The CBTP program began in FY 2000/2001 and has awarded 69 grants through FY 2005/2006. Caltrans' CBTP grants fund transportation and land-use planning projects that support livable community concepts, such as transit-oriented development or traffic-calming measures.

The EJ grant program began in FY 2001/2002 and has awarded 80 grants through FY 2005/2006. Caltrans' EJ grants fund projects that promote public participation and context-sensitive planning, such as safety enhancements for a predominantly Tribal community or transit station improvements for low-income populations.

1.4. Overview of Transportation Planning Special Studies

The Office of State Planning created the TPSS grant program in 2004 for District and Division Offices to conduct one-time transportation planning special studies. These special studies are intended to improve statewide or regional transportation planning processes, focusing on the five transportation goals defined by Caltrans, as well as goals set forth in the California Transportation Plan or the Strategic Growth Plan. Since its inception in FY 2003/2004 to FY 2005/2006, the TPSS program has awarded funding to 67 special studies. TPSS project activities may include:

- Engineering and economic surveys and investigations.
- Planning of future highway programs and local public transportation systems, including metropolitan and statewide planning.
- Development and implementation of management systems.
- Studies of economy, safety, and convenience of highway usage and the desirable regulation and equitable taxation thereof.
- Activities related to planning of real-time monitoring elements.

1.5. Summary of Recommendations

Table 9 summarizes the recommendations based on findings from survey, interview, and focus group participants involved in the EJ and CBTP planning grants program. ICF assessed and summarized stakeholders' feedback about Caltrans' administration of the grant program, as well

as individual perspectives on the successes and challenges of completing the funded projects and moving them toward implementation.

Table 9. Summary of Recommendations – EJ/CBTP Planning Grants

Grant Phase	Recommendation
Administration	<ul style="list-style-type: none"> • Clarify Program Management Policies and Procedures and HQ/District Staff Roles and Responsibilities Before Each Award Cycle • Consolidate Redundant Questions in Grant Applications • Enhance Marketing and Outreach Efforts, Before and After Award • Streamline Contracting Process • Standardize Project Monitoring Guidelines • Refine Year-End Close-Out Process and Recordkeeping
Project Development	<ul style="list-style-type: none"> • Require Approval to Modifications in Scope of Work • More Effectively Balance Organizational Capacity and Project Work Load • Incorporate Capacity Building About the Transportation Planning Process into Planning Grants Program • Bridge the Knowledge Gap in Transportation Funding • Build Off of Past or Current Projects to Maximize Momentum • Use Product for Public and Community Exposure • Encourage Management of Community Expectations – Emphasize Short-term and Mid-term Goals • Encourage Concise and Innovative Community Engagement Strategies • Create a GIS-based Map and Database
Implementation	<ul style="list-style-type: none"> • Develop Guidebook of Case-Study Strategies for Integrating Local Planning with Caltrans Policies • Require Applicants to Include Implementation Strategies in Application and Final Report • Expedite Permits for Funded Projects • Foster Linkages to State Funding • Promote Advocacy of the Project Among Stakeholders • Clarify Role of Each Stakeholder in Implementing the Funded Project

Table 10 summarizes the recommendations based on findings from survey and interviews with awardees (i.e., Caltrans staff) involved in the TPSS award program. ICF assessed and summarized awardees’ input about the administration of the award program, as well as individual perspectives on the successes and challenges of completing the awarded projects and moving them toward implementation.

Table 10. Summary of Recommendations – TPSS Awards

Award Phase	Recommendation
Administration	<ul style="list-style-type: none"> • Clarify Program Policies and Procedures and Staff Roles and Responsibilities Before Each Award Cycle • Clearly Define What Qualifies as a Fundable Project and Provide Examples • Enhance Marketing and Outreach Efforts, Before and After Award • Consider Leveraging SPR Part I and Part II Funds for Joint Projects • Streamline Contracting Process • Improve Technical Assistance Related to Monitoring • Refine Year-End Close Out Process And Recordkeeping
Project Development	<ul style="list-style-type: none"> • Advise Applicants on Availability of IT Support
Implementation	<ul style="list-style-type: none"> • Consider Increasing Funding Preference for Studies that Have Been Tested or Already Initiated

2. Methodology

ICF evaluated the Caltrans planning grants and planning special studies through the following assessment methods:

Assessment Method	Count
Online Survey (EJ/CBTP and TPSS)	86 survey respondents
In-depth Interview	52 interviewees
Focus Group	3 focus groups (approx. 8-15 attendees per group)
Product Review	39 products reviewed

This section provides a discussion of how the project team carried out each of these research activities. Research results from surveys, in-depth interviews, and focus groups are provided as appendices in this report. Findings from the product review are included in Section 3.3 of this report.

2.1. Product Inventory

The objective of this task was to compile project-related information about EJ, CBTP and TPSS projects. To accomplish this task, ICF worked from the Caltrans' Sacramento (headquarters) office over a period of three days to collect and document the following information for EJ grants, CBTP grants, and TPSS awards:

- Grant Cycle
- Contract Number
- District
- Grant Recipient
- Project Title
- County Project Description
- Grant Award
- Form of Deliverables (electronic; hard copy)
- Product Title
- Contact Information of Grant Recipient
- Collection of Grantee Contact Information.

During ICF's site visit to conduct the product review, Caltrans informed ICF that the scope of the report was being revised to encompass a review of projects funded in FY 2000/2001 to FY 2004/2005 as the products for FY 2005/2006 and FY 2006/07 were not yet due to Caltrans when ICF performed the product inventory. Because Caltrans included those projects that were awarded both FY 2004/2005 and FY 2005/2006 funds in FY 2004/2005 grant files, ICF reviewed these files as well. Caltrans later decided to include some projects funded solely in FY 2005/2006 in the product review task.

ICF reviewed the electronic files of each available CD and DVD associated with a funded project to ensure that files were not corrupted or damaged. Corrupted items were noted in the inventory spreadsheets. ICF also copied these products onto ICF computer hard drives for subsequent review. Diskettes were not reviewed as they can only be opened with older disk drives that neither ICF nor Caltrans currently operates.

ICF also organized EJ grant files based on guidelines provided by the EJ Grant Project Manager. This primarily included separating awarded and non-awarded files into different file cabinets to improve efficiency of staff access.

ICF organized the data into Excel spreadsheets and submitted the results to Caltrans in a detailed memo.

2.2. Online Surveys

The objective of this task was to obtain information from EJ/CBTP grantees and TPSS awardees using an online survey. ICF conducted the survey using an Internet-based tool (www.surveymonkey.com) which enabled ICF to easily collect and analyze qualitative data.

In coordination with Caltrans, ICF developed two surveys, one for EJ/CBTP planning grants recipients and one for TPSS awards recipients. The surveys contained self-identifying questions (in order to categorize responses appropriately depending on the stakeholder's involvement in the grants/special studies process), multiple-choice questions, and open response fields. ICF sought to obtain the following information from survey respondents:

- A snapshot of the impact the grants are having on communities throughout California.
- A status update on the results of the studies.
- Models for other communities to replicate when pursuing future EJ/CBTP and TPSS projects.
- Effective strategies for motivating and ensuring community participation to address local transportation issues.
- Suggestions for improving the application and grant process.

ICF created the survey email distribution lists from information collected during the product inventory review. ICF collected recipient, sub-recipient, and project consultant emails from grant/awards applications, final products, and other documents contained in Caltrans EJ, CBTP, and TPSS files.

Caltrans sent the survey to all of the recipient, sub-recipient, and project consultant emails ICF collected. The EJ/CBTP distribution list consisted of 118 emails. Sixty-five stakeholders participated in the EJ/CBTP survey. The TPSS distribution list consisted of 80 emails. Twenty-one stakeholders participated in the survey. Because Caltrans emailed the survey invitations, ICF could not obtain the number of emails which bounced back. Both surveys were open for three months.

As respondents self-selected to participate in the survey, the survey was not intended to provide statistically significant results. Rather, the survey results provided qualitative project team opinions and perceptions.

Section 3.2 provides a summary of survey results. Appendix A provides the complete survey results.

2.3. Product Reviews

The objective of this task was to review sample projects selected by Caltrans to create a project summary, determine if the project's scope of work was completed, assess if the project achieved State and, if applicable, Federal transportation planning goals for the project's grant cycle, present the status of the project, and note any challenges and successes associated with project. ICF used information obtained from the project's application, the final product, and in-depth interviews with funding and award recipients and/or Caltrans District staff to supplement the product assessment. ICF also used feedback obtained from three focus groups to augment the reviews of three sample projects.

ICF obtained State and Federal transportation planning goals for each grant cycle by reviewing grant applications. Caltrans could not locate a blank application for the FY 2000/2001 grant

cycle. ICF reviewed completed applications included with sample projects for this grant cycle and inferred from the application answers that projects were not required to meet federal and state transportation goals this fiscal year.

ICF created profiles summarizing the results of the assessment. Product profiles are included in Section 3.3 of this report.

2.4. In-Depth Interviews

The objective of this task was to collect nuanced information specific to each of the sampled products included in the assessment. To this end, the project team contacted 80 potential interviewees and was able to successfully conduct a total of 52 in-depth interviews (IDIs) with EJ/CBTP grantees, TPSS awardees, and Caltrans Division and District staff. ICF conducted all interviews by telephone. Interviews lasted between 45 minutes and 70 minutes. IDIs provided the project team with the opportunity to determine the current status of the funded project, and discuss whether the scope of work was completed, identify strategies for how final products may be moved to the implementation phase, and gather feedback from grant and award stakeholders about the overall successes and challenges associated with the planning grant and award programs.

Because a range of stakeholders have been involved in each of the grants and special studies, the potential interviewees were determined in consultation with Caltrans. Given the time lapse between the project's completion and turn-over at agencies and organizations, the team was unable to locate and secure interviews with a number of the project stakeholders. In those cases, more than one interview was held for the same project to ensure that a substantial amount of individuals were engaged in discussion about funded projects.

ICF interviewed a range of individuals involved with planning grants and award projects:

Table 11. Grant and Award Recipients

Planning Grant or Award Role	EJ/CBTP Planning Grants	TPSS Award
Caltrans Headquarters Planning Grant and TPSS Program Staff	✓	✓
Caltrans District Staff (Contract Managers; Project Mangers)	✓	✓
Caltrans Grant/Award Project Managers	✓	✓
Project/Program Staff	✓	✓
Project Consultants	✓	

Below is the general approach that the project team followed in scheduling and conducting telephone interviews:

- Developed three interview questionnaires, according to the type of role an interviewee played in the funded project. Interview questions were based on survey questions, but were open-ended to allow for more in-depth responses from interviewees. All questionnaires included questions that sought to capture information about the following:

- The extent to which contracted scopes of work and Caltrans state goals were accomplished.
- How final products are currently being used.
- Strategies for improving the management and implementation of final products.
- Lessons learned related to successful approaches for managing projects and implementing final products.
- Challenges associated with managing projects and implementing final products.
- Perspectives on how products may have lead to practical, next steps, such as further funding or adoption of the project into local, regional, or State plans or programs.
- Called and/or sent project-specific interview invitations to stakeholders, requesting participation in one-hour telephone interviews.
- Conducted telephone interviews and took notes of participants' input during each interview.
- Compiled interviewee's information to be used for analysis and to support the development of recommendations.

Key findings from interviews are summarized in the “successes and challenges” portion of the product profiles found in Section 3.3 of this report.

In-Depth Individual Interviews (EJ/CBTP)

The team contacted 72 potential interviewees and successfully conducted a total of 46 IDIs for its assessment of EJ and CBTP planning grants.

The following tables summarize all individuals contacted for interviews, as well as those who participated in interviews.

Table 12. EJ Grant Stakeholders: Interview List

Project Title	Name	Organization	Interviewee Type	Interview Conducted
All Congregations Together Planning for Unsubsidized Community Based Transportation	Jane Clough-Riquelme	San Diego Association of Governments (SANDAG)	Recipient	Yes
Better Access for Low Income and Minority Residents Through Transportation Planning	Sharon Sprowls	Odyssey	Sub-Recipient	No
Better Access for Low Income and Minority Residents Through Transportation Planning	Barbara Goodwin	Council of Fresno County Governments	Direct Recipient	No
Central City Community Participation and Transportation Plan	Veronica Olmos McDonnell	Central City Neighborhood Partners	Sub-Recipient	Yes
City of Bell Origins and Destination Study	Annette Peretz	City of Bell	Direct Recipient	Yes
Community Bus Service Planning Program/ City of Sacramento	Jim Brown	Sacramento Area Council of Governments (SACOG)	Direct Recipient	Yes
Eastside Light Rail/Bike Interface	James Rojas	Los Angeles County MTA	Direct Recipient	Yes
Eastside Light Rail/Bike Interface	Ron Milam	Los Angeles County Bicycle Coalition	Sub-recipient	No
Fruitvale Alive! Fruitvale District Community Transportation Plan	Marsha Murrington	Unity Council	Sub-recipient	Yes
Fruitvale Alive! Fruitvale District Community Transportation Plan	Jason Patton	City of Oakland, Community and Economic Development Agency	Direct Recipient	No
Highway 33 and Downtown Firebaugh Linkage Study: Context-Sensitive Planning for Community Revitalization	Jose Antonio Ramirez	City of Firebaugh	Direct Recipient	No
Highway 33 and Downtown Firebaugh Linkage Study: Context-Sensitive Planning for Community Revitalization	Stefan Pellegrini	Opticos Design	Consultant/Partner	Yes
Highway 33 and Downtown Firebaugh Linkage Study: Context-Sensitive Planning for Community Revitalization	Paul Zykofsky	Local Government Commission	Sub-recipient	Yes
Interstate 210 Corridor Enhancement Plan	Terri Rahhal	City of San Bernardino	Direct Recipient	No

Methodology

Project Title	Name	Organization	Interviewee Type	Interview Conducted
Mixed-Used, Transit-Oriented School Centered Neighborhoods	Mott Smith	Civic Enterprise Associates	Consultant/Partner	No
Mixed-Used, Transit-Oriented School Centered Neighborhoods	Sam Mistrano	Jamboree Housing Corporation	Consultant/Partner	No
Mixed-Used, Transit-Oriented School Centered Neighborhoods	Jane Blumenfeld	City of Los Angeles	Direct Recipient	No
Multilingual Transit and Alternative modes Public Information and Outreach Program in Sacramento Area Council of Governments (SACOG) Region	Jim Brown	Sacramento Area Council of Governments (SACOG)	Direct Recipient	Yes
Manila Community Transportation Plan-Phase II	Spencer Clifton	Humboldt County Association of Governments	Direct Recipient	Yes
Non-Emergency Medical Transportation Coordination	Alison Kellen	County Medical Services Program Governing Board	Sub-recipient	No
Non-Emergency Medical Transportation Coordination	Pam Couch	Modoc County Transportation Commission	Direct Recipient	No
Non-Emergency Medical Transportation Coordination	Dan Newton	Lassen County Transportation Commission	Consultant/Partner	No
Non-Emergency Medical Transportation Coordination	Martin Byrne	Plumas County Transportation Commission	Consultant/Partner	No
North Richmond Truck Route Project	D'Andre Wells	Contra Costa Redevelopment Agency	Direct Recipient	Yes
Revive Chinatown	Jennie Ong	Oakland Chinatown Chamber of Commerce	Sub-recipient	No
Revive Chinatown	Julia Liou	Asian Health Services	Sub-recipient	Yes
Southeast Asian Transit Ridership Awareness Project	Wangyee Vang	Lao Veterans of America Institute	Sub-recipient	Yes
Southeast Asian Transit Ridership Awareness Project	Judith Nishi	City of Fresno	Direct Recipient	No
Strawberry Manor Infill Circulation Plan	Sparky Harris	City of Sacramento	Direct Recipient	Yes
Taking Back a Traditional Trail – Yurok Tribe Transportation Plan	Peggy O'Neill	Yurok Tribe Transportation Department	Direct Recipient	Yes

Transportation Planning Grants and Special Studies Assessment and Recommendations
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Project Title	Name	Organization	Interviewee Type	Interview Conducted
Traffic Calming and Safety Enhancement in the Hoopa Valley Indian Reservation	Warren Temerius	Hoopa Valley Indian Reservation Roads Department	Direct Recipient	Yes
Update Orange County Area Plan for Adult Day Health Care Services (transportation element)	Dana Wiemiller	Orange County Transportation Authority	Direct Recipient	Yes
Update Orange County Area Plan for Adult Day Health Care Services (transportation element)	Pam Mokler	Orange County Transportation Authority	Direct Recipient	No
Update Orange County Area Plan for Adult Day Health Care Services (transportation element)	James Sebben	Medical Transportation Management, Inc	Consultant/Partner	No
Update Orange County Area Plan for Adult Day Health Care Services (transportation element)	Marc Futterman	CIVIC Technologies	Consultant/Partner	No
Total Number of Potential Interviewees Contacted				35
Total Number of Interviews Conducted				17

Table 13. CBTP Grant Stakeholders: Interview List

Project Title	Contact	Organization	Interviewee Type	Interview Conducted
Baechtel Road-Railroad Avenue Corridor Community Design Study	Allen Falleri	City of Willits	Direct Recipient	Yes
Coachella Valley Design for Healthy Living	Catherine McMillan	Coachella Valley Association of Governments	Direct Recipient	No
Coachella Valley Design for Healthy Living	William Cipes	TLUC	Sub-recipient	No
Corridor Study for Evaluating Transit Measures within San Diego Urban Villages	Miriam Kirshner	San Diego Association of Governments (SANDAG)	Project Manager – Funds transferred from Direct Recipient to SANDAG	Yes
Corridor Study for Evaluating Transit Measures within San Diego Urban Villages	Samir Hajjiri	City of San Diego	Direct Recipient	Yes
Cutler and Orosi State Route 63 Design Charrette	Jim Brown	County of Tulare	Direct Recipient	Yes
Cutler and Orosi State Route 63 Design Charrette	Paul Zykofsky	Local Government Commission	Sub-recipient	Yes
Cutler and Orosi State Route 63 Design Charrette	Dan Burden	Walkable Communities	Consultant/Partner	No
Downtown to the Waterfront Reconnection Project, Phase 1	Sparky Harris	City of Sacramento	Direct Recipient	No
Downtown to the Waterfront Reconnection Project, Phase 1	Wendy Hoyt	The Hoyt Company	Consultant/Partner	No
Downtown to the Waterfront Reconnection Project, Phase 1	Greg Chew	Parsons Brinckerhoff Quade and Douglas, Inc.	Consultant/Partner	No
El Camino Real (State Route 82) Corridor Study	Virginia Warheit	City of Palo Alto	Direct Recipient	No
Envision La Brea: A Community Driven Future	Anthony Loui	Los Angeles Metropolitan Transportation Authority	Direct Recipient	No
Envision La Brea: A Community Driven Future	Steve Henley	Los Angeles Metropolitan Transportation Authority	Direct Recipient	No
Envision La Brea: A Community Driven Future	William Cipes/Perez	TLUC	Sub-recipient	No

Methodology

Project Title	Contact	Organization	Interviewee Type	Interview Conducted
Jack London District Infill BART Feasibility Study	Val Menotti	Bay Area Rapid Transit (BART)	Direct Recipient	Yes
La Brea Light Rail Station Area Plan	Anthony Loui	Los Angeles Metropolitan Transportation Authority	Direct Recipient	No
La Brea Light Rail Station Area Plan	Steve Henley	Los Angeles Metropolitan Transportation Authority	Direct Recipient	No
La Brea Light Rail Station Area Plan	William Cipes/Perez	TLUC	Sub-recipient	No
Los Angeles County Bike Transit Center Implementation Plan	Lynne Goldsmith	Los Angeles County	Direct Recipient	No
Los Angeles County Bike Transit Center Implementation Plan	Andrea White	Bikestation Coalition	Sub-recipient	Yes
Northeast Line Light Rail Station	Sparky Harris	City of Sacramento	Direct Recipient	Yes
Northeast Line Light Rail Station	Daniel Iacofano	Moore Iacofano Goltsman	Sub-recipient	No
Northeast Line Light Rail Station	Les Clark	Nolte Associates	Consultant/Partner	No
Northeast Line Light Rail Station	Matt Kowta	Bay Area Economics	Consultant/Partner	Yes
Northeast Line Light Rail Station	Steve Pyburn	Kimley-Horn and Associates	Consultant/Partner	No
Place's Modeling Technology	Steve Devencenzi	San Luis Obispo Council of Government (SLOCOG)	Direct Recipient	Yes
Santa Fe Depot Specific Plan	Anna Pehoushek	City of Orange	Direct Recipient	Yes
Santa Rosa Citywide Creek Master Plan	Sheri Emerson	City of Santa Rosa, Department of Public Works	Direct Recipient	Yes
Scenario Planning for California's Great Central Valley	Carole Whiteside	Great Valley Center	Sub-Recipient	No
Scenario Planning for California's Great Central Valley	Robyn Whitehead	Stanislaus Council of Governments	Direct Recipient	Yes
Smart Growth Livability Footprint	Ken Kurky	Association of Bay Area Governments (ABAG)	Direct Recipient	No

Methodology

Project Title	Contact	Organization	Interviewee Type	Interview Conducted
Smart Growth Livability Footprint	Steve Heminger	Metropolitan Transportation Commission (MTC)	Direct Recipient	No
South Broad Street Corridor Enhancement Plan	Jeff Hook	City of San Luis Obispo	Direct Recipient	Yes
Robert J. Cabral Station Neighborhood: A Plan for Revitalizing East Downtown Stockton	Brian Schmidt	San Joaquin Regional Rail Commission	Direct Recipient	No
Robert J. Cabral Station Neighborhood: A Plan for Revitalizing East Downtown Stockton	Cealy Lein	San Joaquin Regional Rail Commission	Sub-recipient	No
Robert J. Cabral Station Neighborhood: A Plan for Revitalizing East Downtown Stockton	Paul Zykofsky	Local Government Commission	Consultant/Partner	Yes
Robert J. Cabral Station Neighborhood: A Plan for Revitalizing East Downtown Stockton	Sharon Sprowls	Odyssey	Consultant/Partner	Yes
Swanston Station Infrastructure Needs Assessment and Urban Design Plan	Sparky Harris	City of Sacramento	Direct Recipient	Yes
Transit-Oriented Development Factors for Success in Western Riverside County	Danielle Coats	Western Riverside Council of Governments	Direct Recipient	Yes
Total Number of Potential Interviewees Contacted				37
Total Number of Interviews Conducted				18

Summary notes taken during interviews are included in Appendix B.

Table 14. Caltrans Staff: Interview List

Interviewee	Program Association	Department/Division
John Chiu	CBTP	District 8
Marta Frausto	CBTP	District 6
Marlon Flournoy	EJ	Headquarters; Division of Transportation Planning
Dan Herron	CBTP	District 5
Stuart Mori	EJ and CBTP	Headquarters; Division of Transportation Planning
Tom Neumann	CBTP	Headquarters; Division of Transportation Planning
Horacio Paras	TPSS	Headquarters; Division of Transportation Planning
Ed Philpot	CBTP	Headquarters; Division of Transportation Planning
Chris Ratekin	CBTP	Headquarters; Division of Transportation Planning
Nathan Smith	Chief	Headquarters; Office of State Planning
Joan Sollenberger	Division Chief	Headquarters; Division of Transportation Planning
Total Number of Interviews Conducted		11

In-Depth Individual Interviews (TPSS)

The team contacted eight potential interviewees and successfully conducted a total of six in-depth interviews (IDIs) for its assessment of TPSS awards. In discussing the approach for reviewing TPSS projects, ICF uses the term "project review" in lieu of "product review" since the team was not able to review products for two of the funded projects due to logistical reasons (e.g., TPSS funding went toward supporting multiple research projects; the team was not provided access to an internal Caltrans database).

For the TPSS product review, Caltrans provided ICF with the names of five key Caltrans staff who were associated with the TPSS Program, and the names of nine additional Caltrans staff associated with the Program. From this staff list, ICF initially contacted six Caltrans staff located in Divisions throughout California. Three of these contacts were associated with projects provided by Caltrans and reviewed by ICF. ICF was not able to conduct one of the six scheduled interviews due to scheduling conflicts with the award recipient.

ICF then contacted two more potential interviewees. These interviewees were associated with the two remaining products that ICF reviewed. ICF was not able to conduct one of the two scheduled interviews due to scheduling conflicts with the award recipient.

The table below provides the staff who ICF contacted for interviews, as well as those who participated in interviews, each individual's position, their district/division, and their associated project.

Table 15. TPSS Award Stakeholders: Interview List

Interviewee	Title	Department/ Division	Project	Interview Conducted
Not Available*	Not Available*	Headquarters; Division of Transportation System Information	Collision Reporting, Diagramming and Investigation Tracking	Yes
Katie Benouar	Chief, Senior Environmental Planner	Headquarters; Division of Transportation Planning	Collaborative Planning for Hwy 99, San Joaquin Valley, Phase I	Yes
Nancy Chinlund	Chief	Headquarters; Division of Research and Innovation	University Transportation Center (UTC)	Yes
Rex Cluff	Associate Transportation Planner	District 51; Division of Traffic Operations	2004/2005 State Highway Congestion Monitoring Program (HICOMP)	Yes
Bruce DeTerra	Chief	District 3; Division of Planning and Local Assistance	N/A	No
Beth Landrum	Associate Transportation Planner	District 11	Economic Impacts of Delays at the border on Freight Movement and Trade	No

Interviewee	Title	Department/ Division	Project	Interview Conducted
Meg Rife	Resource Manager	Headquarters; Division of Transportation System Information	N/A	Yes
Sally Yokoi	Project Manager	Headquarters Division of Environmental Analysis	N/A	Yes
Total Number of Potential Interviewees Contacted				8
Total Number of Interviews Conducted				6

* The “Not Available” entry represents a Caltrans staff who requested to be identified as anonymous.

Interview notes are included in Appendix B.

2.5. Focus Groups

The objective of this task was to capture additional information from planning grant recipients involved in the development of the funded project, as well as to capture perspectives from those community members impacted by the funded project.

ICF conducted focus groups with stakeholders from three different projects in order to capture detailed information about the project development process and project impacts on communities. In each focus group, ICF facilitated the project stakeholders through an evaluation of the successes and challenges of their EJ or CBTP grant project.

ICF worked with Caltrans to select the set of three priority projects—best representative of the wide array of grant project types—that would be chosen for in-depth review. In a memo to Caltrans, ICF proposed nine projects from the EJ and CBTP programs for in-depth review. Caltrans staff reviewed and prioritized that list, and then ICF performed a final review to identify three projects that represented diverse project types and communities and had project team members and community members who were interested in participating in a focus group.

The three grant projects that were selected in consultation with Caltrans for focus groups were:

Name	Grant Type	Fiscal Year	Grant Amount
Fruitvale Alive! Community Transportation Plan for the Fruitvale District, Oakland	EJ	2002-2003	\$190K
Citywide Creeks Master Plan, Santa Rosa	CBTP	2004-2005	\$180K
Traffic Calming and Safety Enhancement in the Hoopa Valley Indian Reservation, Hoopa	EJ	2002-2003	\$63K

ICF developed an agenda for the focus group that focused on collecting feedback from focus group participants on their experience with the grant process and the success of their project. ICF used information garnered from online surveys and telephone interviews with the grantees to develop a focus group protocol that included a series of questions to guide discussion and capture feedback on key issues. Each focus group discussion was specifically tailored to the

project, but common to all three focus groups were discussions related to four key themes: Project Impetus, Planning Process, Community Outreach, and Impact. ICF asked participants to confirm findings from the telephone and online surveys; make specific recommendations on how to improve the grant process; discuss how the project's final products are being used; and what the consequent impact on the community has been.

In summary, ICF's overall approach for planning and conducting the focus groups was as follows:

- Submitted a list of potential focus group projects for Caltrans to review and prioritize and for ICF to finalize.
- Drafted and finalized an interview protocol to serve as focus group agenda.
- Work with grantees of the three focus group projects to organize logistics for focus groups.
- Collaborated with grantees to invite and manage focus group participants by creating draft invitations that were distributed to approximately 20 targeted participants for each focus group.
- Conducted the focus groups, including traveling to the location, facilitating the focus groups, taking detailed notes (see Appendix C), and incorporating focus group feedback into final recommendations to Caltrans.

The focus groups were successful in providing candid responses from individuals intimately involved with or impacted by the development of a Caltrans planning study. Each focus group consisted of approximately 8-15 participants and lasted approximately two hours. Importantly, there was strong participation among those groups traditionally under-represented in the transportation planning process, such as low-income, minority, and tribal communities. To further enhance this feedback loop, ICF recommended that a Caltrans representative attend each focus group. Caltrans staff was in attendance at the Fruitvale and Hoopa focus groups.

3. Key Findings

3.1. Inventory

The organization of EJ, CBTP, and TPSS project files varied among the programs. Before ICF began the inventory process, Caltrans staff had already recognized the need to better organize their files and had taken steps to create a new filing system. At the conclusion of this task, ICF and Caltrans staff discussed the following suggestions for improving the filing system:

- Create a master format to be followed for every grant file for each of the three programs to ensure consistency
- Create a checklist for required file elements (e.g., signed contract, survey, important communications, electronic version of deliverable, hard copy version of deliverable, etc.) and attach to file folder
- Use multi-segment file folders with clips or fasteners to maintain a consistent order of file contents and to ensure that contents do not fall out of folders
- Maintain an electronic database of project and contact information to facilitate follow-up communications
- Create an index with all the grants and products and post it adjacent to the files and products
- Separate awarded and non-awarded grants
- Obtain more storage space for paper files

3.2. Surveys

In coordination with Caltrans, ICF developed two surveys, one for EJ/CBTP planning grants recipients and one for TPSS awards recipients. The surveys contained self-identifying questions (in order to categorize responses appropriately depending on the stakeholder's involvement in the grants/special studies process), multiple-choice questions, and open response fields. ICF sought to obtain the following information from survey respondents:

- A snapshot of the impact the grants are having on communities throughout California.
- A status update on the results of the studies.
- Models for other communities to replicate when pursuing future EJ/CBTP and TPSS projects.
- Effective strategies for motivating and ensuring community participation to address local transportation issues.
- Suggestions for improving the application and grant process.

The following is a summary of key findings from the EJ/CBTP survey and TPSS survey, presented by topic area. All survey questions and responses are presented in table format in Appendix A.

EJ/CBTP Survey

EJ/CBTP Survey: Respondent Characteristics

- Survey respondents reported working throughout California's 58 counties. Respondents from organizations/agencies serving Fresno County were the most represented in the survey (15.9% of total responses). Respondents from organizations/agencies serving Alameda County (13% of total responses) and San Francisco (13%) were the second highest represented.
 - Caltrans District Office staff and grantees/applicants accounted for 93% of respondents with 53% and 40% of respondents respectively.
 - Seventy-two percent of the respondents had six or more years of experience in their professional field. Respondents with more than 15 years of experience in their professional field were the most represented in the survey with 32.8% of respondents.
 - Respondents whose organizations received EJ grants or who were impacted by EJ grants were the most represented in the survey with 55% of respondents. CBTP grantees or respondents who were impacted by CBTP grants accounted for 41% of respondents.
 - Fifty-three percent of respondents had applied more than once for a Caltrans transportation planning grant.
-

EJ/CBTP Survey: Program Marketing and Application Process

- The top five ways respondents' organizations learned about the planning grants program were through a Caltrans email (50% of respondents), the Caltrans website (27% of respondents), a Caltrans flyer (23% of respondents), the local government/transportation commission (21% of respondents), and another local agency (11% of respondents).
 - Respondents rated the following options as the top five most effective marketing methods in descending order: presenting planning grants and projects at related conferences; hosting a collaborative workshop to showcase funded projects; a page on the Caltrans website; guidebooks and manuals; and TV/film profiles.
 - Respondents rated community vision or pre-existing need in the community, funding availability, and an opportunity to develop stronger partnerships with community as the highest factors motivating the respondent to apply for a planning grant. Local political pressure had the least influence in motivating respondents' organizations to apply for a planning grant.
 - The survey asked for respondents' opinions of the planning grants program application process.
 - More than 50% of the respondents had a favorable opinion of the application process, believed the intention and mission of the program is clear, found the time frame between the application notice and due date adequate, and thought the availability of Caltrans staff during the application process was good or adequate.
 - More than 50% of the respondents believe the time frame between the application due date and the grant award date is too long.
 - Sixty-five percent of the respondents had a completely positive or generally positive opinion of the program application process.
 - Common critiques of the application process included "complicated" and "time-consuming." Respondents cited multiple times that the most difficult part of the application process was coordinating efforts between multiple agencies.
 - Responses cited multiple times that the most helpful aspect of the application process was the availability of Caltrans staff.
-

EJ/CBTP Survey: Public Involvement

- Respondents who managed projects affecting a rural area were the most represented in the survey at 32% of respondents.
 - The most common constituencies served by respondents' project were, in descending order, pedestrians, low-income individuals, transit users, people of color/minorities, and the general population.
 - Respondents cited community support, involvement, and participation the most often when asked what standard they use to measure the impact of their project on the intended community.
 - The most common public involvement strategies used by project were in descending order stakeholder meetings, public workshops/town hall meetings Technical Advisory Committee (TAC) meetings, visioning process/charrette, steering committee meetings, and neighborhood walks.
-

EJ/CBTP Survey: **Project Implementation**

- All respondents answered their projects completed their scope of work. Respondents cited timing issues as a common reason why a scope of work changed.
 - Ten percent of respondents' projects had been fully implemented. Twenty-four percent of the respondents' projects had been completed, but no progress has been made toward implementing the plan.
 - When asked how the project functioned as a catalyst for other community improvement projects, respondents answered "increased community involvement and participation" most often.
 - No respondents rated their projects as unsuccessful.
-

EJ/CBTP Survey: **Best Practices and Barriers to Success**

- Respondents cited high community involvement, meeting a community need, and ability to be funded, as the top characteristics of a successful project.
- Respondents identified in descending order lack of funding for improvements, bureaucratic hurdles, and complexity of technical issues as the top barriers in preventing implementation of the completed project.
- Below are examples of answers respondents provided in answer to questions regarding strategies which did not work well:

What did NOT work and should be avoided when completing the plan funded by the Caltrans grant?

Responses

- Make sure that all the right people are involved in the project from the beginning. Even though representatives from agencies are involved, the project needs to be discussed with high-level agency partners.
- The planning effort took longer than we anticipated and consideration should be given to the timing of the grant award and the expiration of funds.
- The agency should have a back up project manager who can take over the responsibilities of the assigned manager if he/she is absent for a long period of time.
- Consultants from outside the area were experts in their field, yet unfamiliar with rural issues/communities.
- The grantee postponed project commencement and required a deadline extension.

Once the plan was completed, what did NOT work when implementing the plan's recommendations?

Responses

- The County spearheaded a cross-jurisdictional traffic model and copies were made for multiple agencies. However, the jurisdictions have not put in an agreement into effect to govern the use of the model.
 - Inability to gain sufficient support for funding.
 - Some of the consultant's guidance and recommendations were not practical or the consultant did not have experience working with Caltrans.
-

TPSS Survey

TPSS Survey: **Respondent Characteristics**

- Caltrans staff accounted for 80% of the survey respondents and 65% of respondents worked for a State HQ division – the most common being the Environmental Division.
 - More than half of the respondents were either Caltrans senior leadership or Caltrans project managers and had applied more than once for a TPSS award.
 - Sixty-eight percent of respondents had 11 or more years of experience in their professional field.
-

TPSS Survey: **Project Implementation**

- Eighty-nine percent of respondents rated their project as “completing the original Scope of Work submitted in the application,” and 73% believed their project was a success.
 - Eighty-five percent of respondents’ projects were “making progress” toward implementation of the plan.
-

TPSS Survey: **Best Practices and Barriers to Success**

- Common characteristics of a successful project cited by respondents included the project being implementable, the ability of the target community to use the project, and the project being delivered on time and in budget.
- Respondents cited the top barriers to implementation of the completed project as being a lack of trained personnel, limited funding, and resistance to technological changes.
- Below are examples of answers respondents provided in answer to questions regarding strategies which did not work well.

What approaches did NOT work and should be avoided when implementing the original project funded by the TPSS program?

Responses

- Management of targeted staff should have given firm direction on a transition to new system.
- Continuing the status quo.
- Relying upon third party monitoring providers for our data.
- Consultant team made suggestions for highway modifications that were unacceptable to Caltrans.

What approaches did NOT work and should be avoided when implementing the recommendations resulting from the original project?

Responses

- The original team was not re-engaged for implementation.
 - There are no recommendations that did not work since we had a Caltrans team closely directing the consultants.
 - Relying upon third party monitoring providers for our data.
 - Getting recommendations that are not practical but look nice in slide shows.
-

3.3. Product Profiles

ICF reviewed and assessed 39 final products. This section presents the results of this assessment by individual product profile summaries. The team developed product profiles based on 1) a thorough review of each of the funded project’s program materials (e.g., application, final product, and post-evaluation when available) and 2) in-depth interviews, survey results, and three focus groups with stakeholders associated with each of the funded projects.

Product profiles include:

- An assessment of whether the project’s contracted scope of work was completed;
- An assessment of whether the project achieved State and, if applicable, Federal transportation planning goals for the project’s grant cycle;
- A summary of the current status of the project; and,
- Successes of and challenges to the administration, development, and implementation of final products funded by the planning grants and special studies awards.

ICF obtained State and Federal transportation planning goals for each grant cycle by reviewing grant applications. The table below lists the State and Federal Transportation Planning goals for each funding cycle.

Table 16. State and Federal Transportation Planning Goals by Fiscal Year*

FY	Federal Planning Emphasis Area	Governor's Transportation Initiative Goals or Caltrans Goals
2000-2001	Caltrans could not locate a blank application for the FY 2000/2001 grant cycle. ICF reviewed completed applications included with sample projects for this grant cycle and inferred from the application answers that projects were not required to meet federal and state transportation goals this fiscal year.	
2001-2002 2002-2003	<p>Transportation safety: Safety in transportation</p> <p>Environmental Streamlining Transportation System Management and Operations Title VI</p> <p>Coordination of Non-Emergency Transportation Services</p>	<p>Relieve gridlock: Reliving gridlock in congested commuter corridors</p> <p>Road safety: Increasing the safety of roads</p> <p>Regional connections: Providing connections between cities and regions</p> <p>Transportation connections: Providing connections between different modes of transportation</p> <p>Efficient goods movement: Moving goods and products more quickly and efficiently</p>
2003-2004	<p>Transportation planning safety: Safety and security in the transportation planning process</p> <p>Integrated planning: Integrated planning and environmental processes</p> <p>Management and operations: Consideration of management and operations within planning processes</p> <p>Local official consultation</p> <p>Technical capacity enhancement: Enhancing the technical capacity of planning processes.</p>	<p>Safety: Achieve the best safety record in the nation</p> <p>Reliability: Reduce traveler delays due to roadwork and incidents</p> <p>Performance: Deliver record levels of transportation system improvements</p> <p>Flexibility: Make transit a more practical travel option</p> <p>Productivity: Improve the efficiency of the transportation system</p>

Transportation Planning Grants and Special Studies Assessment and Recommendations
Key Findings

FY	Federal Planning Emphasis Area	Governor's Transportation Initiative Goals or Caltrans Goals
2004-2005 2005-2006	Projects were not required to meet federal planning goals for these fiscal years.	Strengthen the economy Infill development: Promote infill development Social equity Environmental protection Efficient development practices: Encourage efficient development practices Jobs and affordable housing balance: Promote jobs and affordable housing balance Housing, transport, land-use linkages: Link housing, transportation and land-use planning Community livability: Increase community livability (by creating an attractive, safe and cohesive community)

*Abbreviations used to refer to goals achieved in the project profiles are in bold. This table lists goals and explanations, when available, as they are stated in the applications.

Product Profiles

Community-Based Transportation Planning

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Transportation Planning Special Studies

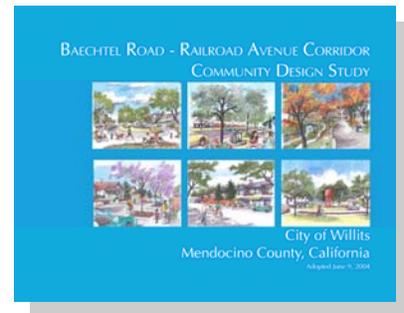
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Baechtel Road—Railroad Avenue Corridor Community Design Study

Grant Award Amount:
\$108,000

Grant Cycle:
2001/2002

Recipient: City of Willits



Summary of Project

The purpose of the Baechtel Road/Railroad Avenue Corridor Community Design Study is to prepare a conceptual community design for the construction of a road that would connect Baechtel Road and Railroad Avenue on the east side of the City. The function of this road would be to improve the distribution of local traffic within the eastern half of the City of Willits and to help relieve the existing congestion on Main Street. There are no other properly designed streets on the east or west side of Main Street that can easily distribute the local traffic off of Main Street. The lack of any other through route has resulted in poor traffic distribution and circulation, requiring nearly all traffic to use Main Street to go north and south through and within the City. The Baechtel Road/Railroad Avenue Corridor Community Design Study also serves as a feasibility study that will help facilitate the infill development of a large area of unimproved land, development of a parkway that connects Baechtel Road and Railroad Avenue, a creekside trail with pedestrian and bicycle traffic that would be integrated into a Citywide network, and provide a link connecting the housing, employment and recreational facilities on the east side of the City.

Population Served

City of Willits residents

Scope

The scope of the project, as stated in the application, was to conduct:

- Surveys and a six day public workshop.
- Conceptual level design work for roadway and intersection improvements.
- Cost estimates for construction and identify funding sources.
- Administrative draft of corridor study and public review.
- First draft and public review.
- Final draft and public hearing.
- Final product.

Through a comparative review of the application, final product, and in-depth interview with the grant recipient, ICF determined that the contracted scope of the project was completed.

Goals Addressed by Funded Project

✓ Transportation Safety ✓ Environmental Streamlining ✓ Relieve Gridlock ✓ Road Safety ✓
Transportation Connections ✓ Efficient Goods Movement

Perspectives on Implementing the Project and its Impacts

ICF captured the following findings through an in-depth interview with the planning grant recipient.

Project Status

As of early 2009, the status of the project is as follows:

- The City adopted the community design study on June 9, 2004. Funding and issues with purchasing private property have stalled the plan's implementation.
- The City has had difficulty locating funding to complete the next steps, which are design and environmental review.
- There is a large piece of land between Baechtel Road and Railroad Avenue that the City needs to create the Baechtel Road/Railroad Avenue corridor. When the City applied for the grant and during the planning process, the property's owners indicated they were open to the City purchasing the land. Given the economic downturn, they are now not as willing to sell the property.

Challenges

- Community members who participated in the planning process were disappointed by the delay in project implementation caused by the lack of funds. The City will be clearer in the future about the difficulties they may face in implementing planning recommendations.

Successes

- The project's workshops, tours, and meetings were well attended by the public. The City and the volunteer steering committee coordinated a comprehensive outreach process. They worked with the Chamber of Commerce to advertise project events to the business community and with the Environmental Center to advertise to the environmental community. The City also put up posters in public places and worked with the local paper to publish articles about the project. Students also worked with the City to flier door to door and conduct a community survey.
- The project involved notable experts in the field of pedestrian-friendly design. Dan Burden, from Walkable Communities, and Michael Wallwork, a roundabouts expert, consulted on the project. Their participation generated public interest in the project. They provided a tour that focused on the opportunities for pedestrian-friendly improvements that was considered a great success by participants.

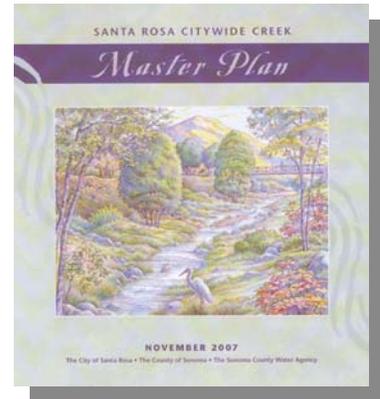
City of Santa Rosa Creeks Master Plan

Grant Award Amount:
\$180,000

Grant Cycle:
2004/2005

Recipient

City of Santa Rosa Public Works Department



Summary of Project

The purpose of the study was to utilize a CBTP grant to fund the recreational component of Santa Rosa's Citywide Creek Master Plan. The recreational component consists of improvements and/or additions to bicycle and pedestrian trails that run along the various creeks within the city. There was a high level of outreach citywide for this study. In addition, the study convened a Technical Advisory Committee of various stakeholder agencies. The priority components of the plan have already moved into the early phases of implementation.

Population Served

City of Santa Rosa residents, visitors, and other users of the trails adjacent to the city's creeks.

Scope

The scope of the project, as stated in the application, was to complete a comprehensive Creeks Master Plan for the city that would include a recreational component to address trail development and restoration. The project sought to:

- Continue an extensive public participation process through communication with project partners and regular public meetings.
- Evaluate existing conditions along creeks in Santa Rosa to determine the status of the transportation system.
- Develop recommendations from comments gathered at public meetings related to transportation issues.
- Develop an implementation strategy by evaluating the extent of effort and estimated implementation cost of each recommendation.
- Conduct an environmental review process that ensures the plan complies with CEQA and NEPA regulations.

Through a comparative review of the application, final product, and in-depth interview with the grant recipient, ICF determined that the contracted scope of the project was completed.

Goals Addressed by Funded Project

✓ Environmental Protection ✓ Community Livability ✓ Housing, Transport, Land-use Linkages

Perspectives on Implementing the Project and its Impacts

ICF captured the following findings through an in-depth interview with the planning grant recipient, as well as from feedback from stakeholder who participated in a 2-hour focus group.

Project Status

As of early 2009, the status of the project is as follows:

- The Citywide Creeks Master Plan was formally adopted by the City Council in 2007, and the priorities identified by the plan are now being implemented in phases depending on funding and/or urgency.

Challenges

- Although the creeks planning community process was lauded by participants for its inclusiveness and breadth, it was difficult to engage Santa Rosa's large Spanish-speaking community. Project leaders made attempts to hold events and to produce informational materials in Spanish but still did not have a critical mass of participants. The outreach may not have been sufficiently neighborhood-based, or creek planning may not have been prioritized by the community. Nonetheless, focus group participants reported that the Spanish-speaking community is one that is heavily using the newly enhanced creek trails.
- The Technical Advisory Committee (TAC) experienced "turf" issues. The TAC consisted of a wide variety of individuals, each representing various stakeholder positions that were sometimes adversarial. It appears, however, that the TAC was able to overcome some earlier adversarial positions to work collaboratively and effectively.
- The creeks planning process is complex because of the large variety of creek types in Santa Rosa—some are underground, some flow through flood control cement culverts, and others cross through residential backyards. Also, the complexity of the planning was evident in the array of expertise required by the plan, including plant and water scientists, wildlife experts, flood control planners, and trail and recreation planners.

Successes

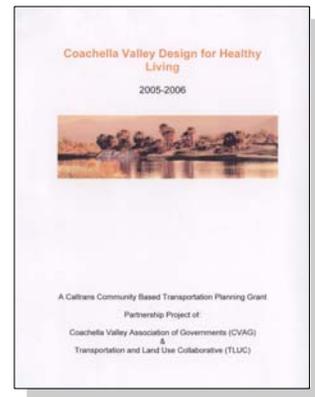
- The Creeks Master Plan has become a repository for all previous policies and information related to creeks. It is a baseline of information, a key reference point for new creeks projects, and is utilized extensively by committees, planners, decision-makers, and the community.
- Though the vast majority of plan priorities will be implemented over the course of 20 years, the city has already implemented several priority projects. With new federal stimulus funding currently available, the city is in a ready position to solicit funding for “shovel ready” creek projects.
- Initially, this project began with planning activities for only one creek segment downtown, not funded by Caltrans. Momentum built, and the city sought funding to plan for the entire creek system. The early planning of downtown has already produced a significant change; the revitalized creek and a new walking path have reconnected the City’s downtown area, previously bisected by Highway 101. Once abandoned and inhabited by homeless, the new walking path includes benches and public art along the creek, and now connects a new convention center and historic Railroad Square.
- The Creeks Plan was created with a very strong and wide public participation process. As noted above, the process included the formation of a Technical Advisory Committee, as well as creek tours, educational hikes, and neighborhood meetings where large crowds gathered and interest was raised.
- The City of Santa Rosa went on to apply to the Rivers and Trails Program of the National Parks Service (NPS), a program that assists communities to conserve water, preserve open space, and develop trails and greenways. NPS was able to send staff to provide technical assistance as Santa Rosa developed its Creeks Plan.
- The Creeks Plan allowed the Public Works Department and the Parks Department to jointly acquire property near two of the City’s main creeks in the southwest area of the city. This type of collaboration was made possible because the master plan was in place, and priorities and projects had already been vetted by the various stakeholders.

Coachella Valley Design for Healthy Living

Grant Award Amount:
\$158,000

Grant Cycle
2003/2004

Recipient: Coachella Valley Association of Governments
Sub-Recipient: Transportation & Land Use Collaborative
of Southern California



Summary of Project

The purpose of the study was to develop a civic and public education and outreach program in the Coachella Valley to introduce concepts and policies of mixed-use and transit-oriented development, infrastructure conservation, and efficient deployment of public transportation, and to provide policy guidelines and an implementation resource guide for local jurisdictions and civic leaders. The education effort was intended to ensure that members of key stakeholder groups in the Coachella Valley sub-region—as well as historically underserved and disenfranchised constituencies—were made aware of community design, land use planning, and transportation issues applicable to the approximately 150,000 developable acres in and around the nine cities in the Coachella Valley. A key component of this project was an educational program consisting of a series of five symposia that targeted local decision makers to participate in discussions about healthy communities. The series of symposia concluded with a Community Public Forum to which residents from throughout the Coachella Valley were invited.

Population Served

The Coachella Valley is located in the eastern portion of Riverside Valley, surrounded by mountains, with two highways—Interstate 10 and State Route 111, which transverses the Valley. The Valley is 891 square miles, containing about 367,000 residents, with both the poorest and wealthiest of the county residing in the region. The Coachella Valley is comprised of nine cities, county incorporated areas, and Indian tribes.

Scope

The scope of the project, as stated in the application, was to:

- Stage local educational planning events in the Coachella Valley region.
- Enhance Coachella Valley participation in multi-community educational planning workshops.
- Increase coverage of growth issues and the planning process in local media.
- Make presentations on growth issues, the planning process, and challenges specific to the Coachella Valley to key stakeholder groups throughout the sub-region.
- Garner the participation of at least 600 Coachella Valley residents and stakeholders in educational planning events.

Through a comparative review of the application and final product, ICF determined that the contracted scope of the project was completed.

Goals Achieved by and/or Promoted by Grant

✓ Integrated Planning ✓ Local Official Consultation ✓ Performance ✓ Flexibility ✓ Productivity

Perspectives on Implementing the Project and its Impacts

ICF was not able to secure an in-depth interview despite several attempts to contact the project recipient and sub-recipient. Based on a review of the final product, ICF identified the following information about the project's status, challenges, and successes.

Project Status

As of early 2009, the Coachella Valley Design for Healthy Living was complete; a total of nearly 200 copies of the Resource Kit (summary sheets reflecting key content from education symposia) were planned to be produced at the end of the project.

Challenges

- The public that attended the community forum primarily consisted of retired residents, although the project was seeking to draw a more diverse representation of Coachella Valley residents.

Successes

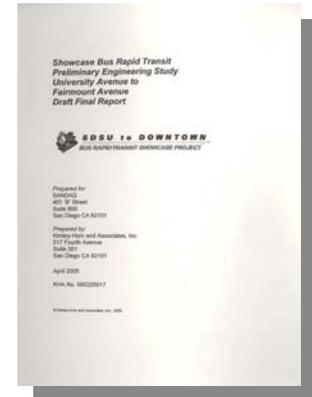
- The project Steering Committee remains active and continues to meet on a regular basis. Members of the Committee are available to make presentations to other cities about strategies that contribute to viable urban planning.
- The symposia successfully drew a broad depth of stakeholders from the business community and municipalities (e.g., community leaders and decision makers), although public attendance was primarily by retired residents.
- The average symposium attendance was 80 participants, surpassing the initial goal of 50 participants per event. The attendance at the final event surpassed 200 attendees. The goal of involving 600 people over the life of the grant was successfully achieved.
- The project fostered new attitudes and understandings about urban growth and planning. This is believed to play an important role in encouraging and promoting land use patterns that can support transit in growing areas of the state.
- A Coachella Valley Design for Healthy Living Project website was developed to provide residents access to the project and its associated activities (www.cvhealthyliving.org).

Corridor Study for Evaluating Transit Priority Measures

Grant Award Amount:
\$240,000

Grant Cycle
2001/2002

Recipient: City of San Diego—Project managed by San Diego Association of Governments (SANDAG)



Summary of Project

The purpose of the study was to conduct a corridor study to identify opportunities to link existing and future mixed-use Urban Villages, through transit, to each other and to major attractions in San Diego. The study focused on evaluating various transit priority measures to ensure high-speed operations that provide a time-competitive alternative to the automobile. The types of measures that were evaluated included modifying parking, utilizing traffic signals, striping to accommodate multi-modal uses through the corridor, and adding street lights and bike lanes to enhance bicycle and pedestrian activity along the corridor.

Population Served

The population targeted by the study was all City of San Diego residents and community members, with a focus on transit riders, bicyclists, and pedestrians.

Scope

The scope of the project, as stated in the application, was to:

- Collect data, review existing data, and conduct field investigations with the goal of identifying transit routes, intersections, links, and other issues to be studied.
- Coordinate with the Metropolitan Transit Development Board (MTDB) on its proposed Transit First services in the corridor.
- Perform intersection and corridor analysis; evaluate and identify recommended transit priority options, including: signal priority treatments, intersection queue jumps, and transit-only lanes; and strategize options for enhanced transit, bicycle, and pedestrian access.
- Meet with community planning groups, MTDB, and other stakeholders.
- Create draft and final document.

The project area was revised from a Mission Valley to downtown San Diego corridor to a San Diego State University to downtown San Diego corridor. SANDAG shifted the project area to the San Diego State University to downtown San Diego corridor since other funds had already been committed to the project and SANDAG considered the corridor a higher priority planning project than the Mission Valley to downtown San Diego corridor. The project tasks remained essentially the same. Through a comparative review of the application and final product, ICF determined that the contracted scope of the project was completed.

Goals Achieved by and/or Promoted by Grant

✓ Transportation Safety ✓ Transportation System Management and Operations ✓ Coordination of Non-Emergency Transportation Services ✓ Relieve Gridlock ✓ Transportation Connections ✓ Regional Connections ✓ Road Safety

Perspectives on Implementing the Project and its Impacts

ICF captured the following findings through an in-depth interview with the planning grant project manager.

Project Status

As of early 2009, the project team had completed preliminary design for the center segment of the project and completed a Transit Signal Priority technology survey and treatment plan. Since that time, SANDAG has advanced the project further by extending the area of preliminary design, completing an environmental document, developing a Signal Priority Procurement Plan, and applying for federal funds to build the project.

Challenges

- The Mid-City Rapid project requires small changes to the street system, including lane striping, signal phasing, and on-street parking, which can be controversial.

Successes

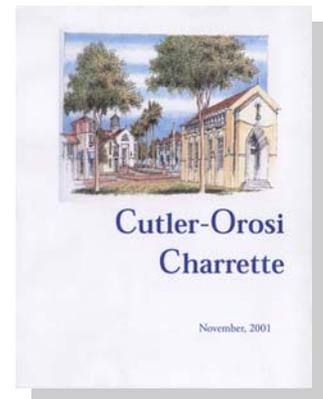
- The public outreach process was extensive. During the planning process, the project team worked with a project working group that included members from affected community groups. The project team held two community-wide Open Houses and attended numerous community planning group meetings.

Cutler-Orosi Charrette

Grant Award Amount:
\$52,000

Grant Cycle
2000/2001

Recipient: Tulare County Redevelopment Agency
Sub-Recipient: The Local Government Commission



Summary of Project

The purpose of the project was to conduct a 5-day charrette—meetings, workshops and design sessions involving the public and a skilled design team—to create a broad, community-based vision for the design of future industrial, commercial, and retail development along Highway 63 and its intersecting streets in downtown Cutler-Orosi and to improve pedestrian, bicycle, and auto safety and access. The charrette employed focus groups, community pedestrian audits, hands-on planning sessions, and community meetings. The goal was to create a conceptual plan for improvements for all roadway users along State Highway 63 and the intersecting main streets of Cutler-Orosi. In general, the charrette participants envisioned safe and clean streets, civic spaces such as libraries and recreation, a strong economy, and more police enforcement. Many also envisioned more opportunities for the young, especially those who offered their comments in Spanish.

Population Served

Approximately 12,500 community residents of the towns of Cutler and Orosi located in the San Joaquin Valley, about 15 miles north of Visalia. Cutler is the poorest community in California. The poverty level for the two communities is around 75%. According to the State of California Economic Development Department, Cutler has 27% unemployment, and Orosi has 33% unemployment.

Scope

The scope of the project, as stated in the application, was two primary tasks:

- Facilitate a community vision for the economic future of Cutler and Orosi and the design of its existing and new commercial and industrial areas.
- Conduct the outreach for, and facilitate, a bilingual 5-day charrette for community members, including school children.
- Develop a final document that serves as a strategic plan, evaluating the community visioning process. The report includes recommendations that could be implemented immediately to address serious safety issues, make some immediate aesthetic improvements, lower costs, as well as incrementally enhance the community, as resources permit.

Through a comparative review of the application, final product, and in-depth interview with the grant sub-recipients, ICF determined that the contracted scope of the project was completed.

Goals Achieved by and/or Promoted by Grant

Caltrans could not locate the application questions for the FY 2000/2001 grant cycle. Therefore, ICF reviewed completed applications included with sample projects and inferred from application responses that projects were not required to meet federal and state transportation

goals for this fiscal year. ICF assumed that projects were required to meet only the objectives of the Office of Community Planning, as stated in the application:

✓ Foster and Support Community Participation ✓ Provide Caltrans with the Opportunity to Further Develop Their Own Skills in Community-Based Planning ✓ Create a Model for Caltrans to Leverage Its Resources and Expertise with the Social Capital of Economically Struggling Rural Communities.

Perspectives on Implementing the Project and its Impacts

ICF captured the following findings through in-depth interviews with the planning grant District 6 Liaison and the sub-recipient:

Project Status

As of early 2009, the status of the project is as follows:

- The project resulted in a comprehensive action plan that details specific strategies aimed at improving livability of downtown Cutler-Orosi with the funding opportunities that the cities can pursue to achieve the community's vision. The plan provides specific recommendations (e.g., sidewalk completion; curb extensions at critical crossings; narrowing of State Road 63; location of tree plantings) that could be implemented immediately, as well as mid- and long-term strategies (e.g., construction of a truck bypass that rerouted commuter traffic off of State Road 63) that would support a pedestrian-friendly town center.
- Additionally, resulting recommendations can be integrated into the Cutler-Orosi Commercial Development Plan, which aims to provide a market analysis that can help guide private investment in the community and incorporate the recommendations of this report.

Challenges

- The fact that Cutler and Orosi were both unincorporated towns meant that neither town had the staffing that is usually required to take strategies to the implementation phase. Therefore, it was challenging to develop recommendations that could be feasibly implemented, recognizing the lack of general resources such as a City Manager or City Developer.

Successes

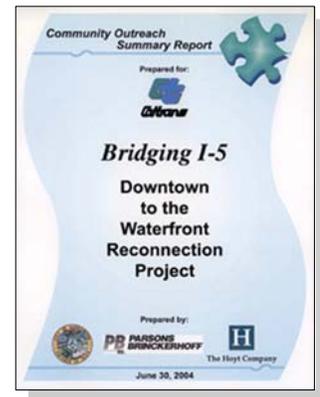
- The outreach conducted for this project was aimed at community and political leaders, church groups, and students, and included the use of a Caltrans roadway electronic message board listing meeting details in Spanish. The outreach efforts resulted in attendance at the first meeting by more than 130 residents.
- The Cutler-Orosi project developed a visioning and advocacy committee that was responsible for maintaining the planning process throughout the project. This committee subsequently became the basis for a local non-profit formed in May 2003 that addresses other local community and social issues.

Downtown to the Waterfront Reconstruction Project Phase 1

Grant Award Amount:
\$300,000

Grant Cycle:
2001/2002

Recipient: City of Sacramento's Transportation Department
and Development Service Department



Summary of Project

The purpose of this project was to begin the waterfront development process with a preliminary technical and economic feasibility study that examined the possibility of reconnecting Sacramento's Downtown and waterfront areas over the depressed section of Interstate 5 (I-5) between Capitol Mall and R Street. This project, Phase 1 of the Downtown to the Waterfront Reconstruction Project, consisted of: 1) educating the community about the transportation, urban design, land use, economic, environmental, and other issues associated with reconnecting Downtown, the waterfront, and Old Sacramento, and 2) working closely with local residents and community-based organizations to solicit their comments, concerns, and expectations for any future reconnection project, based on a review of the preliminary technical and economic feasibility study. The public process began with an education component to build common knowledge of the issues surrounding the project area and determine the needs of its key stakeholders. The process also solicited ideas for a reconnection project by asking stakeholders to generate visual renderings. The process developed a broad list of alternatives for reconnection that meet the needs of the stakeholders. This project is the first step in a broader planning process that will involve an environmental assessment and preliminary design.

Population Served

The population living within Sacramento's urban core, with particular focus on people dependent on transit and other non-auto forms of transportation. Key stakeholders include local residents, community-based organizations, local businesses, Caltrans, the Crocker Art Museum, local developers, and a broad array of local government agencies.

Scope

The scope of the project, as stated in the application, consisted of three primary tasks:

- **Set the Stage:** Identify key stakeholders and target community groups; develop public outreach materials, and plan community-wide public outreach process.
- **Solicit Ideas (Qualitative and Quantitative Research):** Conduct outreach throughout the community to inform the public of the project and gather input from stakeholders about their concerns and needs related to reconnecting Downtown Sacramento to the Sacramento River waterfront.
- **Document Results:** Document the outcomes of the public outreach process in a final report.

Through a comparative review of the application and final product, ICF determined that the contracted scope of the project was completed. The project resulted in a report that documents

the outcomes of the public process that can be used to help prioritize approaches as the project development process moves to the next stage.

Goals Achieved by and/or Promoted by Grant

- ✓ Regional Connections
- ✓ Transportation Connections

Perspectives on Implementing the Project and its Impacts

ICF was not able to secure an in-depth interview despite several attempts to contact the project recipient. Based on a review of the final product, ICF identified the following information about the project's status, challenges, and successes:

Project Status

- As of early 2009, the Downtown to the Waterfront Reconstruction Project (Phase 1) was complete. The status of Phase 2 is unknown.

Challenges

- Unknown

Successes

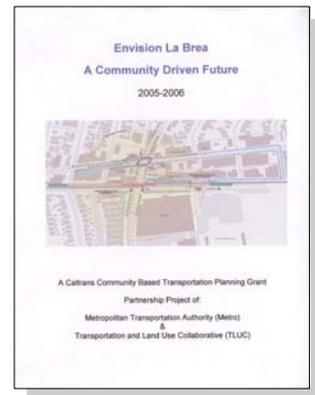
- The public outreach conducted under this project served to educate the community and foster a continuing public dialogue that should help increase the likelihood of future project implementation.
- A stakeholder database of more than 2,100 contacts was developed through the course of the project. The database can be used and supplemented over time, and is a future resource for quick identification of key Sacramento stakeholders.
- A total of 17 stakeholder outreach meetings were conducted by the conclusion of the project.
- The project team created four separate fact sheets to help educate the community about general and specific elements of the project. In addition, a briefing summary fact sheet was produced upon request for the Governor's Office of Planning and Research.

Envision La Brea: A Community Driven Future

Grant Award Amount:
\$191,636

Grant Cycle
2003/2004

Recipient: Los Angeles County Metropolitan Transportation Authority
Sub-Recipient: Transportation and Land Use Collaborative
of Southern California



Summary of Project

The purpose of this project was to address critical transportation and land-use planning issues within a quarter-mile radius of the proposed La Brea Avenue Station on the planned Exposition Light Rail Line. The area in the immediate vicinity of the station is predominantly served by commercial, light industrial, and residential uses. Through community and municipal collaboration, an educational program was developed to introduce new planning concepts related to transit linkages, pedestrian amenities, and development alternatives that would complement the development of the area surrounding the proposed La Brea transit station. Community residents came together for five community workshops to learn about the planning opportunities and contribute to the development of a vibrant public/private place in a unique location that could ideally link the surrounding communities with transportation, housing jobs, retail, and recreation. The project included the development of a series of community events (media outreach, website, meetings, and workshops) that focused on educating residents about these new planning techniques and allowing the community to contribute to the planning of the area around the station.

Population Served

The project area is home to about 14,000 people, the majority of whom are City of Los Angeles residents living in apartments (2000 census data). This population is economically and ethnically diverse. Approximately 78 percent of local residents are Hispanic or Latino, African-American, or Asian. According to the U.S. Census data, the median income in the project area's census tract is less than \$20,000 and fewer than 35 percent of the people are employed, implying a population that is heavily dependent on public transportation.

Scope

The scope of the project, as stated in the application, was to:

- Develop a working partnership between Metro and the Transportation & Land Use Collaborative to execute the grant.
- Create a project steering committee.
- Conduct community outreach meetings/workshops.
- Create an internal advisory committee.
- Accept public review and comment on the project plan.

Through a comparative review of the application and final product, ICF determined that the contracted scope of the project was completed. However, the toolkit concept was not created as

a result of the project, and the Envision La Brea project was originally intended for a different station along the Expo Rail corridor.

Goals Achieved by Grant

- ✓ Transportation Planning Safety
- ✓ Integrated Planning
- ✓ Local Official Consultation
- ✓ Safety
- ✓ Performance
- ✓ Flexibility
- ✓ Productivity

Perspectives on Implementing the Project and its Impacts

ICF was not able to secure an in-depth interview despite several attempts to contact the project recipient. Based on a review of the final product, ICF identified the following information about the project's status, challenges, and successes:

Project Status

- As of early 2009, the Envision La Brea project was complete; it resulted in a report that includes planning concepts related to transit linkages, pedestrian amenities, and development alternatives.

Challenges

- The recipient and sub-recipient experienced some challenges in executing this grant program in the midst of Metro seeking federal and local approval of the Environmental Impact Statement for the Exposition Light Rail system.

Successes

- By the conclusion of the project, several key agencies were positioned to initiate planning and redevelopment. The Southern California Association of Governments planned to study the redevelopment potential of land parcels surrounding the stations beginning in the fall of 2006. Los Angeles Department of Transportation planned to evaluate pedestrian connectivity to the station platforms, using a similar public involvement framework implemented by the Envision La Brea project.
- Community awareness of the opportunities provided by the La Brea transit station was increased through community workshops. Workshops were considered successful in that participants were engaged and interested in learning more about the station, the transit connections offered by the system, and the redevelopment potential of the project.
- Community meetings were held to promote the collaborative development of a planning vision. Input was provided from impacted community members and various public agencies in the process of identifying the transportation amenities and redevelopment opportunities within a quarter-mile radius of the La Brea transit station.
- A La Brea Station Area Plan website was developed to provide residents access to the project and its associated activities (www.envisionlabrea.org).

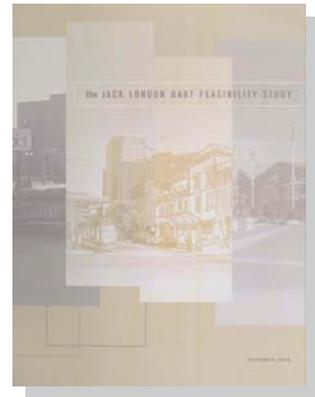
Jack London BART Feasibility Study

Grant Award Amount:
\$300,000

Grant Cycle
2002/2003

Recipient: City of Oakland, Community and Economic Development Agency (CEDA)

Sub-Recipient: Bay Area Rapid Transit (BART)



Summary of Project

The purpose of the study was to determine the feasibility of developing an infill rail Bay Area Rapid Transit (BART) station at the Jack London District in Oakland, and to investigate alternatives for connecting to Jack London District by transit to the existing 12th Street BART Station in Downtown Oakland. The transit connection is of pivotal importance for the region because it would better link the regional rail system with other major systems such as Amtrak, ferries, and Capitol Corridor trains. Rider demand for the connection was projected to increase as a result of the 10K Initiative's goal to attract 10,000 new residents to the city's historic core through development housing units, including several in the Jack London and adjacent Warehouse Waterfront districts.

Population Served

Residents, merchants, and visitors of Jack London Square District in Oakland, California.

Scope

The scope of the project, as stated in the application, was to consider the viability of an in-fill station on the existing nearby BART tracks. However, once that was shown to be infeasible, the study sought to understand the viable alternatives. The project vetted the various options with stakeholders and concluded that the streetcar was the most viable and cost effective option. The process included:

- Studying engineering options for the infill BART station at Jack London District.
- Analyzing several modes of transit and design concepts, including automated monorail prototypes, distinctive and rapid buses, and underground rail shuttles.
- Leveraging the Jack London-to-BART connection as a possible first phase of a broader downtown-only "circulator" or "spine."
- Coordinating a multi-phase outreach process that included focus groups and community meetings with merchants, residents, policy advisors, and planners from various agencies.

Through a comparative review of the application, final product, and in-depth interview with the grant recipient, ICF determined that the contracted scope of the project was completed.

Goals Achieved by and/or Promoted by Grant

✓ Transportation Systems Performance ✓ Regional Connections ✓ Transportation Connections

Perspectives on Implementing the Project and its Impacts

ICF captured the following findings through an in-depth interview with the planning grant sub-recipient.

Project Status

As of early 2009, the status of the project is as follows: The study determined that the track alignment and grade made an infill BART station infeasible at Jack London. The Jack London-to-12th-Street-Station transit options analyzed by the study fall outside of the purview of BART and have been conceptualized but not implemented to any degree. See

http://www.sfcityscape.com/maps/oakland_streetcars.html

Challenges

- The feasibility study portion of the project resulted in the Jack London BART Station being rendered a non-starter and infeasible.
- Several alternatives to connect Jack London District emerged but most, if not all, were determined to be non-BART options.
- One significant challenge in the study was the disconnect between the planning study results and the implementation. Since the Jack London BART Station was determined to be a non-starter, the other transit alternatives were not BART solutions and, if implemented, would not be planned or operated by BART.
- BART has received several Caltrans grants to address a variety of planning projects, but BART has cited the challenge in the lack of communication from Caltrans and lag time between grant application and actual funding. The Caltrans funding schedule is such that it takes a year before grant funding is secured, and therefore makes it infeasible to use Caltrans grants for short-term needs.
- Because the final recommendation of the study was a non-BART option, BART did not have a role in pursuing any level of implementation. It was suggested that, to improve the effectiveness of the planning grants, funding and organizational support be tied to implementation.

Successes

- Because the original project goal of an in-fill BART station proved to be infeasible, the study became a catalyst of ideas for various alternatives to connect JLS to BART, including the possibility of a transit circulator for downtown Oakland.
- The project successes included the partnership between the various stakeholders. From the perspective of BART, the project was a success because it helped the agency address a priority issue for one of its partner communities.
- For BART, the study was useful as a long-term transit strategy. It helped the agency better understand the community's needs and reframe the discussion around transit. Initially the solution was thought to be more BART-related capital improvement, but once this study found that technical obstacles were too severe for an infill station, the question was reframed to identify alternative solutions that did not involve BART technology.
- The study was conducted in a manner that valued stakeholder collaboration and guidance. The study started by addressing the initial question about feasibility of an infill station, but then gathered stakeholder input on transit alternatives. With each step, stakeholder input and logic into the study were documented and described.

Los Angeles County Bike-Transit Center Implementation Plan

Grant Award Amount:
\$171,000

Grant Cycle
2002/2003

Recipient: Los Angeles County Metropolitan Transportation Authority

Sub-Recipient: Bikestation Coalition



Summary of Project

The purpose of the project was to lay the groundwork for the development of a network of four bike-transit centers along Metro transit lines and throughout the County of Los Angeles. Bike-transit centers are facilities that provide at least twenty fee-based secure bicycle parking spaces adjacent to a transit stop in an effort to encourage bike-to-transit connections. The project resulted in a tool kit that can be used by Metro, cities, and other agencies to develop bike-transit centers in other locations; the project also resulted in four implementation plans for bike-transit centers—Pasadena, Norwalk, Los Angeles (North Hollywood), and Santa Monica. The development of bike-transit centers can reduce vehicular emissions and congestion, improve mobility, and enhance the livability of Los Angeles County.

Population Served

Los Angeles County

Scope

The scope of the project, as stated in the implementation plan, was to:

- Create project goals, methods, and timeline.
- Form a Technical Advisory Committee and local sub-committees comprised of representatives from each of the communities, project partners, and technical experts.
- Conduct multiple meetings with representatives of each committee, conduct end-user demand and pricing surveys at 3 Metro stations, and lead a focus group in Santa Monica.
- Conduct bicycle parking survey of 15 different transit agencies and municipalities countrywide.
- Prepare the L.A. County Bike-Transit Center Network Plan and the Implementation Plans for the four communities involved in the project: Pasadena, Norwalk, Los Angeles (North Hollywood), and Santa Monica.
- Develop the Tool Kit tool kit so that other communities in the greater L.A. area who were not selected to participate in this study could easily plan and implement their own bike-transit centers.

Through a comparative review of the application, final product, and in-depth interview with the grant sub-recipient, ICF determined that the contracted scope of the project was completed.

Goals Achieved by and/or Promoted by Grant

- ✓ Coordination of Non-Emergency ✓ Transportation Services ✓ Relieve Gridlock ✓ Regional
- ✓ Connections ✓ Transportation Connections

Perspectives on Implementing the Project and its Impacts

ICF captured the following findings through an in-depth interview with the planning grant sub-recipient.

Project Status

As of early 2009, the status of the project is as follows:

- Although the scope changed slightly around the four locations initially identified in the application, the project resulted in the development of bike-transit center implementation plans for the four communities involved in the project: Pasadena, Norwalk, Los Angeles (North Hollywood), and Santa Monica.
- Specifically, the project team (including the grant recipient, Los Angeles County Metropolitan Transportation Authority) decided to focus the development of bike transit centers near each of the Metro lines as a way to demonstrate that such projects could be implemented across a range of different types of areas: Blue Line (Long Beach), Green Line (Norwalk), Red Line (N. Hollywood) Gold Line (Pasadena).
- In 2005, the project won the American Planning Association Award. The plan has been successful in getting cities to follow through with the envisioned bike transit centers and actually implement the facilities for bike-transit centers—Pasadena, Norwalk, Los Angeles (North Hollywood), and Santa Monica. The only city where there has been no move toward implementation is Norwalk, and it was known at the time that Norwalk was the least likely to implement the transit center because the city is located in an urban sprawl zone, making it more difficult to connect transportation systems with the promotion of bicycle/pedestrian initiatives.

Challenges

- Caltrans does not provide a standard for final products funded under this grant, making it difficult to gauge the level of resources that should be set aside to ensure that a high-quality deliverable be produced.

Successes

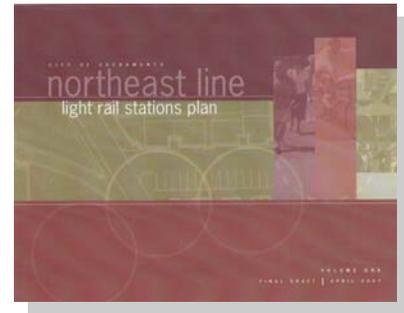
- This assessment established a baseline of research, location, design, and operation recommendations for bike-transit centers to create a unified network of bicycle-parking facilities throughout Metro's transportation system.
- This project also created standards and a process (e.g., Tool Kit) that can be used by Metro, cities, and other agencies to develop bike-transit centers in other locations.
- The resulting plan now acts as the framework that Bikestation uses for all of its bike-transit projects. Even if the projects are not focused on transit center development, Bikestation often indirectly connects several of their approaches to the Bikestation plan.
- Overall, this plan has helped elevate knowledge about how to develop bike transit centers, from community engagement to conducting needs assessment, to identifying and addressing issues to consider in the development of bike-transit centers.
- The sub-recipient of the project commented that on a scale from 1-10, she would give the success of the project a 6 or 7. However, considering the broader set of goals and the fact that this project resulted in a methodological framework that has helped to catalyze the implementation of these four facilities, the sub-recipient would rate the overall success as an 8 or 9. Additionally, the project was successful in that it helped to fortify relationships among MTA, the community, and the cities.

Northeast Line Light Rail Stations

Grant Award Amount:
\$250,000

Grant Cycle:
2004/2005
and 2005/2006

Recipient: City of Sacramento
Sub-Recipient: None



Summary of Project

The purpose of the project was to provide a long-range, urban design/streetscape plan for the Northeast Line Light Rail Stations. Infrastructure and economic analysis will guide improvements in a quarter-mile radius around the Globe, Arden/Del Paso, and Royal Oaks Light Rail Stations. The study impact area is bounded by Highway 160 on the south, El Camino Avenue on the north, railroad lines on the east, and Traction Avenue and the railroad lines on the west.

Population Served

The project area encompasses a quarter-mile radius around the following three Regional Transit Light-Rail Stations: Globe, Arden/Del Paso, and Royal Oaks. The Northeast Light Rail Stations are located approximately 2.5 miles northeast of the downtown Sacramento, in the community plan area of North Sacramento. The combined station areas contain approximately 1,605 dwelling units and 3,702 employees. An estimated 65 percent of households within quarter-mile of the Northeast Light-Rail Stations earn less than \$35,000 per year; or less than 80 percent of the median income for the City of Sacramento. These households fall in the low-income category, which is 50–80 percent of the median income figure for the City. The project area is characterized by both physical and economic blight.

Scope

The scope of the project, as stated in the application, was to:

- Develop the overall vision for three of Sacramento's Regional Transit Light-Rail Stations: Globe, Arden/Del Paso, and Royal Oaks. The vision is based on an analysis of existing opportunities and challenges, land use and urban design recommendations, and development guidelines that will encourage transit-oriented development, increase pedestrian and bicycle movement in the area, and create vibrant urban villages.

Through a comparative review of the application, final product, and in-depth interview with the grant recipient and sub-recipient, ICF determined that the contracted scope of the project was completed.

Goals Achieved by Grant

✓ Strengthen the Economy ✓ Infill Development ✓ Environmental Protection ✓ Efficient Development Practices ✓ Housing, Transport, Land-Use Linkages ✓ Community Livability

Perspectives on Implementing the Project and its Impacts

ICF captured the following findings through in-depth interviews with the planning grant recipient and a consultant:

Project Status

As of early 2009, the status of the project is as follows:

- The plan has been completed for Globe, Arden/Del Paso, and Royal Oaks Light Rail Stations. The City of Sacramento has received capital grants funds to make streetscape improvements south of Arden Way, and an environmental analysis had been completed along Del Paso Boulevard for the consideration of preliminary engineering required for infrastructural improvements.
- Not much has happened on the ground for the Globe Station in regard to the suggestions defined in the vision plan. A redevelopment agency that was involved in the vision planning process has purchased properties close to Globe Station.

Challenges

- In general, a major challenge with the visioning projects is that implementation often depends on receiving adequate funding for environmental analysis, re-zones, or modifications to the General Plan. Once the vision has been developed, the environmental analysis is often the next big hurdle that needs to be overcome, but it is very difficult to secure funds for environmental analysis to allow for any significant land use changes.
- For projects proposing significant land-use changes around three stations, a longer-term perspective (e.g., five years at a minimum) is needed when analyzing economic and social impacts. Because of this, institutional and stakeholder knowledge before it comes time to assess the impacts of the project.
- For visioning plans proposing land-use changes (e.g., streetscape improvements surrounding light rail stations), a longer-term perspective (e.g., five years at a minimum) is needed when retroactively assessing the economic and social impacts of a project. Consequently, both institutional and stakeholder knowledge specific to the project is at risk of being lost, making it difficult to reach a comprehensive impact assessment that determines the impacts on regional transit.
- Although the support of an agency (e.g., a local jurisdiction) as a grant recipient can be critical to driving the development of the vision plan, this support has to be balanced with a commitment to follow through with implementation based on defined needs in the plan, as opposed to the objectives of the agency helping to drive the plan.

Successes

- The resulting plan provided approaches for satisfying infrastructure and public improvement needs, cost estimates (including streetscape costs), and implementation strategies and guidelines to realize the community's vision. Plans included suggestions for improving pedestrian, bicycle, and automobile circulation, as well as improving access to the three light rail stations.
- The plan provided the City with a comprehensive economic analysis of existing conditions in the project area.
- According to one of the interviewees, the successful implementation of a project often requires a three-pronged process that includes a technical analysis and community outreach (capturing community input into the planning process), combined with political leadership.

PLACE³S Modeling Technology

Grant Award Amount:
\$200,000

Grant Cycle
2000/2001



Recipient: San Luis Obispo Council of Governments

Summary of Project

The purpose of the project was to provide better information with which to make informed decisions regarding livable community principles. The ultimate goal of the project was to provide a clear analysis of transportation, energy, and air quality issues as they relate to development with a collaborative planning process. The primary focus in the first phase of the project was developing a comprehensive GIS database to be used in the visioning and public participation components to be conducted under Phase II of the project.

Population Served

The population targeted by the study was the residents living within the San Luis Obispo Council of Governments jurisdiction.

Scope

The scope of the project, as stated in the application, was to:

- Assemble a county-wide GIS database.
- Develop local indicators which involve the following: adapting the GIS PLACE³S software to measure issues critical to local planning decisions and to localize the data and formulas to support the software; performing technical work to adapt predictive indicators to local conditions; and programming Arcview for local indicators.
- Develop county-wide existing conditions and base case future.

Through a comparative review of the application and final product, ICF determined that the contracted scope of the project was partially completed. Unevenness of available GIS data prevented the completion of the GIS database by the project deadline.

Goals Achieved by and/or Promoted by Grant

Caltrans could not locate the application questions for the FY 2000/2001 grant cycle. Therefore, ICF reviewed completed applications included with sample projects and inferred from application responses that projects were not required to meet federal and state transportation goals for this fiscal year. ICF assumed that projects were required to meet only the objectives of the Office of Community Planning, as stated in the application:

- ✓ Efficient Movement of People, Goods, and Services
- ✓ Safe and Healthy Community
- ✓ Public and Stakeholder Participation
- ✓ Pedestrian, Bicycle, and Transit Mobility and Access

Perspectives on Implementing the Project and its Impacts

ICF captured the following findings through an in-depth interview with the planning grant recipient.

Project Status

As of early 2009, Caltrans had awarded SLOCOG a second CBTP grant in FY 2003-2004 to complete Phase II, which consisted of visioning and public participation components to demonstrate PLACE3S to the community.

Challenges

- All of the local governments within the SLOCOG jurisdiction have not dedicated resources to the project. Most local governments do not prioritize funding resources for abstract planning considerations like analyzing the relationship between land use patterns and traffic patterns.
- Rapid advances in technology have affected the project's progress. When the project was first conceived, the software was designed as a desktop program, but the program's memory requirements meant it needed to be used on a computer with high processing power. Not all local government at the time had those resources, so the project team decided to modify the program so that it was intent-based.
- GIS data from jurisdictions within SLOCOG varied in availability and methods of measurement.

Successes

- The project team succeeded in the base mapping of parcels.
- The project team demonstrated the tool in Phase II of the project at highly-attended public workshops. The purpose of the workshops was to have participants provide their ideas about where growth should occur between 2025 and 2050 and then received feedback on the transportation impacts of their proposals. The participants placed chips representing different kinds of development on zoning maps. These changes to zoning were entered into PLACE3S computer mapping technology in order to estimate the resulting population and traffic changes, which were immediately reported back to workshop participants.

Robert J. Cabral Station Neighborhood: A Plan for Revitalizing East Downtown Stockton

Grant Award Amount:
\$155,814

Grant Cycle:
2003/2004

Recipient: San Joaquin Regional Rail Commission
Sub-Recipient: None



Summary of Project

The purpose of the project was to engage the community in a planning process to identify a vision for the neighborhood that reflects the goals of neighborhood residents, businesses, local agencies, community leaders, and other stakeholders. The project resulted in a development framework using four design principles specific to the context of the project area. The final report included: proposals for improvements, tools for revitalization including street improvements and infill building types, strategies for new retail in the neighborhood, and suggested approaches to phasing and implementation.

Population Served

The population within the station area is predominantly Latino (86%), with a high proportion of youth (36% under age 17). The area has a very high poverty rate: 43% of the individuals residing in the area lived below the poverty line as compared to 24% in the City of Stockton and 14% statewide. The median household income is \$11,856, compared to \$35,453 for the city and \$47,493 statewide.

Scope

The scope of the project, as stated in the application, was to:

- Conduct a community scan to identify key stakeholders and establish a project steering committee composed of key institutional, business, and neighborhood stakeholders that meets regularly to advise on the course of the project.
- Solicit initial community input through interviews with social service providers, neighborhood groups and community leaders, and other stakeholders.
- Solicit community input through neighborhood meetings to identify community interests in potential neighborhood improvements.
- Prepare and conduct a five-day charrette.
- Develop draft options for transit-oriented development/neighborhood design based on the community consensus from a) initial interviews, b) neighborhood meetings, and c) charrettes.
- Identify potential public and private funding sources to pursue projects identified by the community.
- Present options to the community for comment and finalize community plan and identify funding opportunities.

Through a comparative review of the application, final product, and in-depth interview with project consultants, ICF determined that the contracted scope of the project was completed.

Goals Achieved by Grant

✓ Local Official Consultation ✓ Performance ✓ Flexibility ✓ Productivity

Perspectives on Implementing the Project and its Impacts

ICF captured the following findings through in-depth interviews with project consultants:

Project Status

As of early 2009, the status of the project is as follows:

- Two years after the Caltrans planning grant financed the development of the Cabral Station Neighborhood Plan, the grant recipient (San Joaquin Rail Commission) hired Opticos Design firm to complete an update plan to expand the boundaries of the project area and explore opportunities to improve pedestrian and bicycle access to the station in an effort to create a more direct link between the station and downtown Stockton.
- According to interviewees, the Cabral Station Neighborhood Plan is believed to have helped the Rail Commission secure additional funds from the Federal Transit Administration. The Rail Commission is now conducting a \$4 million neighborhood improvement project, which includes purchasing dilapidated, deserted Victorian-era homes in the area for office use, as well as purchasing and redesigning the area surrounding the Western Pacific Plant that sits across from the station.
- An interviewee reported that, since the completion of the planning project, the grant recipient had completed streetscape improvements (e.g., completion of sidewalks leading to the station) and created an aesthetically-pleasing and inviting entry way to the rail station.

Challenges

- The community surrounding the station consisted predominantly of homes that were in foreclosure and abandoned, making community engagement very difficult. Best efforts were made to engage community members through door-to-door outreach conducted in Spanish, and bilingual fliers were distributed.

Successes

- According to two interviewees, the Cabral Station Neighborhood Plan project helped to lay the groundwork for further development and financial investments by the Rail Commission (grant recipient).
- The neighborhood surrounding the rail station was comprised of primarily Latino residents, many of whom seemed to be very uncomfortable with the planning process occurring in the neighborhood because they believed that the goal of the planning project was to raze all of the homes in the area. However, through one-on-one outreach (e.g., bi-lingual door-to-door canvassing), the project team was able to disseminate up-to-date, consistent information and help residents become comfortable with the idea of attending meetings. Consequently, residents and business owners attended meetings to provide input on basic issues such as identifying desired locations for transit stops. This outreach-input feedback loop helped to build trust among community participants and the Rail Commission.
- Given the high poverty level around the station, an interviewee noted that a discussion about how to encourage affordable housing development emerged as an additional element to the plan (Note: One interviewee shared his perspective that the resulting plan seemed primarily focused on connecting the depot to downtown opportunities, and less on developing residential opportunities because the residential area is “so transient and poor.”)
- Various community members were invited into every stage of the planning process. There was a non-residential group of stakeholders that included the City and County staff who participated in meetings. A database of meeting attendees was developed that the grant recipient can use in subsequent phases of implementation.

Perspectives on Implementing the Project and its Impacts

ICF captured the following findings through an in-depth interview with the planning grant recipient.

Project Status

- As of early 2009, the project team has completed the plan updates and conducted a public outreach process including a series of workshops on the updates. The team has prepared a refined land use alternative which has not been presented to the public yet because the team needs to perform a traffic circulation analysis. The City is also assessing the potential for an historic building in the region to be adaptively re-used.
- The City received a separate grant to cover the cost of the EIR. The grant was originally administered by the Orange County Council of Governments, but the agency had some auditing issues and had to transfer grant administrator responsibilities to Caltrans. The City and Caltrans had a miscommunication regarding how much of the EIR costs the grant would cover—the City was under the impression the grant would cover all of the costs, while Caltrans believes the grant should cover about 80 percent. The City had to delay completion of the EIR until it could identify other funds to fill the gap. This has also contributed to a delay in the City's implementation of the Plan. The next step is to release the complete updated plan to the community.

Challenges

- The community involved in the planning process requested three more community meetings than were originally budgeted. Some of the community groups, particularly those oriented toward historic preservation, were initially distrustful of any changes to the status quo, and requested the City provide scaled designs of what certain proposed densities would look like. The project team realized they needed to provide more information about land use designations and set up a community walking tour to describe the zoning street-by-street and point out problem areas that could be addressed by changes in zoning or other improvements.
- A variety of outside issues emerged during the course of the project that required response from planning staff and resulted in delay in project progress. For example, OCTA made funds available to local governments to develop a parking structure at transit sites, and though the City was aware the funds were going to be available, OCTA had moved up the funding allocation date, so the City had to focus its planning efforts on identifying a parking structure site in order to receive the funds. During the project planning process, the City also received funding to prepare a pedestrian connection city around the translink station.

Successes

- The community living in the area understands that the City is prioritizing neighborhood improvement, and the community has gained more knowledge of transit-orientated development practices.
- The planning process has attracted sophisticated developers who know how to leverage funds to respond to certain components of the plan.

Scenario Planning for California's Great Central Valley

Grant Award Amount:
\$236,254

Grant Cycle:
2002/2003

Recipient: Stanislaus Council of Governments (STANCOG)
Sub-Recipient: Great Valley Center



Summary of Project

The purpose of the study was to undertake a scenario planning exercise to demonstrate the role of individual local decisions in the long-term goals of a healthy and prosperous Central Valley. The project was intended to serve as a visioning process to get a variety of stakeholder agencies involved in planning the future of the Central Valley. A key tool in scenario planning is the process of creating different scenarios that connect future potential outcomes with decisions that are made in the present. These scenarios each represent alternative futures in the year 2025.

Population Served

Residents, businesses, and visitors of the various communities within California's Great Central Valley.

Scope

The scope of the project, as outlined in the final report to Caltrans, was to:

- Elevate the dialogue concerning regional goals, investments, and possibilities.
- Engage a larger audience in issues of infrastructure and long-range planning.
- Present new information about the impact of current decision-making on the region's future.
- Build a regional foundation that could support a statewide transportation planning process.
- Create a set of future scenarios that help inform the current statewide planning process.
- Support decision-makers in questioning their broadest assumptions.

Through a review of the final product and in-depth interview with the grant recipient, ICF determined that the contracted scope of the project to conduct extensive outreach was completed.

Goals Addressed by Funded Project

✓ Transportation Systems Management and Performance ✓ Transportation Connections ✓
Relieve Gridlock ✓ Efficient Goods Movement

Perspectives on Implementing the Project and its Impacts

ICF captured the following findings through an in-depth interview with the planning grant recipient and through a review of the final product.

Project Status

As of early 2009, the status of the project is as follows:

- The process resulted in a series of scenarios for the Central Valley's future development that were presented in the final project report. These later resulted in a publication entitled "Urban Development Futures in the San Joaquin Valley."
- The outreach also led to the development of "The Valley Futures Project" website that details the scenarios and functions as a resource and information clearinghouse for scenario planning in the Central Valley.

Challenges

- Project goals were ambitious, and progress toward those goals is difficult to measure. It is hoped that in the coming years public support creates a foundation for large-scale, long-term infrastructure planning.
- As an outreach project, scenario planning was very successful, but by its very nature scenario planning is intended as a "discussion starter" because the long-term discussion precedes any short-term priorities or implementation.
- Regarding grant administration, STANCOG reported some difficulty with this grant because of its status as a discretionary grant. Normally, STANCOG is accustomed to standardized templates for reporting, invoicing, and other interdepartmental materials from its funding sources. Since the Caltrans grant was a first of its kind, STANCOG grant managers reported some difficulty adjusting to yet another system, and had to create many documents without a template or guide.

Successes

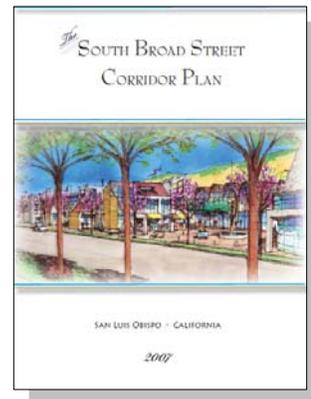
- An array of products and activities were created, including booklets printed in English and Spanish, a new website called www.valleyfutures.org, a film, DVD, and youth curriculum. Community workshops were also conducted.
- An estimated 2,000 people participated in 53 workshops and presentations.
- Over 60 articles or letters to the editor were generated in 11 different newspapers.
- Approximately 120 people listened to a presentation about the Valley Futures Project during the Sacramento Valley Forum.
- Five panel sessions or workshops were held for the scenario planning at the Great Valley Center Conferences in 2003 and 2004.
- Once the outreach phase was completed, a loose coalition of stakeholders continued the scenario planning by developing a Blueprint Planning Process for the Central Valley. The Caltrans-funded outreach effectively functioned as a seed for ongoing community discussions and planning.

South Broad Street Corridor Plan

Grant Award Amount:
\$110,000

Grant Cycle:
2004/2005

Recipient: City of San Luis Obispo



Summary of Project

The purpose of the study was to improve the South Broad Street Corridor area's transportation safety, encourage mixed land uses, increase affordable housing, and enhance the area's appearance as a major City gateway. The Plan implemented two General Plan policies—the Land Use Element Program and the Housing Element. To address policies in the Land Use Element Program, the City intends to accomplish the following: 1) Choose appropriate land uses for the planning area in connection with an area plan and form-based codes; 2) design the uses to address specific needs for improved public facilities, including streets, sidewalks, utilities and bike paths; and 3) encourage innovative design concepts that help revitalize and beautify the area. To address policies in the Housing Element Program, the City intends to “re-create” and revitalize the South Broad Street Corridor area that has been somewhat isolated and overlooked in terms of public and private improvement. The corridor is ideally situated to implement now widely-accepted transit-oriented development principles.

Population Served

Approximately 5,500 people live within one-half mile of the Broad Street corridor, between High Street and Orcutt Road, mostly on the west side of Broad Street. English and Spanish are the primary languages spoken at home, according to data from the 2000 Census. The area includes a cross-section of neighborhoods, housing types and incomes, and is representative of the demographics found in the City as a whole.

Scope

The scope of the project, as stated in the application, was to:

- Host a kick-off public workshop.
- Select a consultant.
- Build an advisory committee.
- Distribute a public opinion survey.
- Collect and organization data on key factors such as planning, transportation, land use, and other factors.
- Analyze collected data on key factors.
- Develop alternative design concepts.
- Hold public forums to discuss alternative concepts.
- Prepare Draft Report on Preliminary Findings.
- Prepare Final Report and Village Plan.
- Print and distribute final report to the public.

Through a comparative review of the application, final product, and in-depth interview with the grant recipient, ICF determined that the contracted scope of the project was completed.

Goals Addressed by Funded Project

✓ Strengthen the Economy ✓ Infill Development ✓ Social Equity ✓ Jobs and Affordable Housing Balance ✓ Housing, Transport, Land-Use Linkages ✓ Community Livability

Perspectives on Implementing the Project and its Impacts

ICF captured the following findings through an in-depth interview with the planning grant recipient.

Project Status

As of early 2009, the status of the project is as follows:

- The Planning Commission is scheduled to review the plan in June 2009. The Plan will go to the City Council for action by Fall 2009. The first draft developed in May 2007 is the one funded by the Caltrans planning grant. That version received several comments, including requests for additional information and reformatting.

Challenges

- Meeting project deadlines and budgets was a challenge because the project had a public hearing process that was longer than anticipated. The reasons for the extended public hearing process included requests by Caltrans for the City to conduct studies that would show how the proposed changes would affect traffic circulation, and requests by active community members who suggested new changes to the study.

Successes

- The project team used innovative community engagement methods, including live-voting technology, which allowed project team members and meeting attendees to receive immediate feedback on proposed designs.
- The planning process has served as a catalyst for the development of two mixed-use housing projects. The developers have incorporated policies from the draft plan into the design of their projects in order to increase community support.

Swanston Station Area Infrastructure Needs Assessment and Urban Design Plan

Grant Award Amount:
\$300,000

Grant Cycle
2003/2004

Recipient: City of Sacramento



Summary of Project

The purpose of the study was to prepare an infrastructure needs assessment and urban design plan to promote transit-oriented development at the Swanston Light Rail Station in North Sacramento. The project goal was to foster development of vacant and underutilized sites with higher density housing, mixed-use, retail, civic, and community uses based on community input and priorities. With input obtained from an extensive public participation process, the project identified and evaluated facilities upgrades necessary to implement transit-orientated development in the Swanston Station Area and provided urban design and streetscape recommendations to enhance the area and encourage pedestrian access to the light rail.

Population Served

In 2000, at least 72% of the households within one mile of the Swanston Light Rail Station earned less than \$45,000 per year; or less than 80% of the median income for the City of Sacramento. 39% were White, 28% were of Hispanic origin, 14% were Asian, 10% were African-American, 8% were designated as an “other” ethnic minority, and 2% were Native American. The area was characterized by both physical and economic characteristics of blight.

Scope

The scope of the project, as stated in the application, was to:

- Perform infrastructure needs assessment and data collection.
- Host at least three community workshops.
- Use information collected during the previous tasks to create an Urban Design/Streetscape Plan.

ICF reviewed the final product for Phase II of the project which also contained the deliverables for Phase I. Through a comparative review of the application and final product, ICF determined that the contracted scope of the project was completed.

Goals Achieved by and/or Promoted by Grant

- ✓ Transportation Planning Safety ✓ Integrated Planning ✓ Management and Operations
- ✓ Local Official Consultation ✓ Productivity ✓ Flexibility ✓ Performance ✓ Reliability ✓ Safety

Perspectives on Implementing the Project and its Impacts

ICF captured the following findings through an in-depth interview with the planning grant recipient.

Project Status

As of early 2009, both Phase I and Phase II of the study had been completed. The City of Sacramento received an additional CBTP grant in FY 2006/2007 to complete Phase II of the project. A draft version of the plan has been completed and the EIR is circulating for public review. The comment period closes in April 2009.

Challenges

- One challenge the City experienced was staff turnover; the original project manager left, and as the City was experiencing a difficult budget situation, the Planning Department was not able to fill the vacant position. Other planning staff had to take on the project in addition their own projects.
- Another challenge the City encountered was disagreement with the consultant's preliminary recommendations. The City and consultant eventually came to an agreement, but discussions caused a delay in the planning process.
- The state contracting process also delayed the original project timeline.

Successes

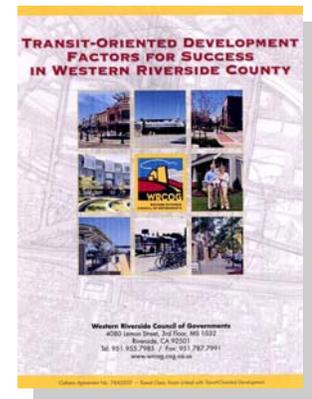
- The project team developed an extensive outreach process that included forming a technical advisory committee and a policy advisory committee. The project team also sent postcards to all property owners in the area, set up a project website, and maintained an email listserv. The team hosted charrettes and used building blocks to illustrate the scale and height of the developments for meeting attendees, ranging from 20-60 people at each meeting.

Transit-Oriented Development Factors for Success in Western Riverside County

Grant Award Amount:
\$249,070

Grant Cycle
2004/2005

Recipient: Western Riverside Council of Governments
Sub-Recipient: Center for Demographic Research



Summary of Project

The purpose of the study was to examine the benefits of transit-oriented development (TOD) in transit centers in six jurisdictions within Western Riverside County: Corona, Riverside, Perris, Moreno Valley at March Air Reserve Base, Hemet, and Temecula. The goals of the project were to: provide for long-term community and economic development and growth, improve mobility and transportation choices, promote focused growth along transit corridors, increase transit-orientated development, and increase public support for mixed-use development.

Population Served

The population targeted by the study was residents and community members of the six jurisdictions. In 2004, the population in the County tended to be young and was rapidly growing. Riverside County's per capita income of \$24,957 was below Orange County's per capita income of \$34,862. The lower income profile was consistent with the fact that Riverside County was historically an affordable alternative for entry-level renters and homebuyers unable to afford housing in Southern California's coastal counties. Sixteen percent of residents have bachelors or higher degrees, and 27% of the County's workers engaged in management in their professions.

Scope

The scope of the project, as stated in the application, was to:

- Convene a project kick-off meeting.
- Conduct site analysis of each of the quarter-mile station areas along existing and proposed Metrolink and Bus Rapid Transit stations.
- Prepare a market analysis that profiles the growth in population and employment in Western Riverside County.
- Research TOD best practices and prepare a guidebook based on existing guidelines.
- Assess possible barriers to TOD.
- Identify joint development opportunities.
- Develop TOD planning framework.
- Develop TOD design concepts at selected stations.
- Conduct survey research and focus groups.
- Host community workshops with hands-on mapping exercises.
- Host public meetings to elicit feedback and criticism of evolving transit vision concepts.
- Develop demonstration project and community test site workshops at two sites.
- Perform data analysis and prepare draft report.
- Present final report to agency boards.
- Present final report to the community.
- Prepare final report.

Through a comparative review of the application and final product, ICF determined that the contracted scope of the project was completed.

Goals Achieved by and/or Promoted by Grant

- ✓ Strengthen the Economy ✓ Jobs and Affordable Housing Balance ✓ Infill Development
- ✓ Housing, Transport, Land-Use Linkages ✓ Efficient Development Practices

Perspectives on Implementing the Project and its Impacts

ICF captured the following findings through an in-depth interview with the planning grant recipient.

Project Status

- As of early 2009, the Transit-Oriented Development Factors for Success in Western Riverside County study was complete. Three of the sites are moving forward with implementing some or all of the study's recommendations. One of the jurisdictions is including the study recommendations into its General Plan and is waiting for a Metrolink station to be developed on the site. Another site requires additional planning and research. The third site is not moving forward with the recommendations because of funding issues.

Challenges

- Caltrans' deadline for project completion was the primary challenge. The project team did not receive the notice to proceed until months after they received the notice that the project had been funded, however, Caltrans still held the team accountable to the timeline provided in the Scope of Work.

Successes

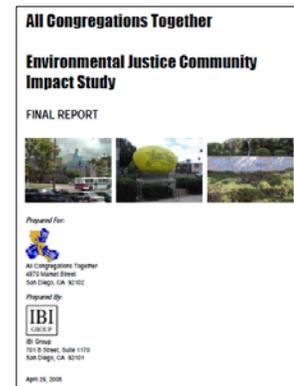
- The project team created a strong committee structure. The committee performed an initial review of the sites and brought their proposal to the public for comment. The public appreciated the City's openness to adapting their proposal to incorporate public feedback.
- The project team used multiple outlets to conduct outreach to the community. This included mailing meeting invitations to all property owners within three miles of the site and providing meeting attendees with earphones that translated presentations into a preferred language.
- The outreach process helped to lessen distrust that residents of lower-income neighborhoods had toward their local government by presenting local government staff with opportunities to introduce themselves and open lines of communication.

All Congregations Together (ACT) Planning for Unsubsidized Community-Based Transportation

Grant Award Amount:
\$157,500

Grant Cycle
2002/2003

Recipient: San Diego Association of Governments
Sub-recipient: All Congregations Together



Summary of Project

The purpose of the study was to identify strategies to improve the transportation services available to low-income communities in Lemon Grove, National City, and the San Diego communities of Webster, Lincoln Park, Oak Park, Chollas View, Emerald Hills, North Encanto, South Encanto, Valencia Park, Mountain View, and Mt. Hope. The study analyzed the travel needs of community residents and compared them to available services to identify gaps and deficiencies. An important part of the study effort was developing the skills and capabilities of ACT staff and community members in performing surveys and developing studies. Proposed improvements included capital project improvements such as sidewalk repairs, curb cuts, and new traffic signals, and planning and operations improvements such as increased security at transit stops, transit operational improvements, and traffic calming measures.

Population Served

The population served by the project resides in communities in southeastern San Diego. In 1990, approximately 60% of residents are Hispanic, 23% were African-American, 5% were Asian, and 11% were White. Most of the target communities are within a designated Enterprise Community. The overall poverty rate was 36.9 percent.

Scope

The scope of the project, as stated in the application, was to:

- Develop survey and focus group instruments.
- Hire and train community members to conduct surveys and focus groups.
- Conduct surveys and focus groups.
- Collate results of surveys and focus groups and include analysis in a report.
- Study feasibility of unsubsidized services and include analysis in a report.
- Develop a business plan for the operation of community-based transportation services that will be sustainable over the long-term.
- Prepare reports for dissemination and publicize report availability.

Through a comparative review of the application and final product, ICF determined that the contracted scope of the project was completed.

Goals Achieved by and/or Promoted by Grant

- ✓ Transportation Safety ✓ Transportation System Management and Operations ✓ Title VI
- ✓ Relieve Gridlock ✓ Road Safety ✓ Regional Connections ✓ Transportation Connections

Perspectives on Implementing the Project and its Impacts

ICF captured the following findings through an in-depth interview with the planning grant recipient.

Project Status

As of early 2009, the study had been completed and SANDAG had received several other grants to implement the study recommendations, which focus on improving low-income minorities' access to different types of transit.

Challenges

- The interviewee joined the project team when the project was nearly completed, so she could not comment on the challenges specific to the project.

Successes

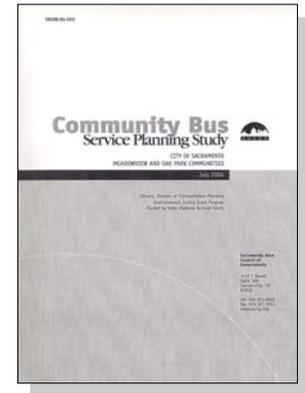
- ACT selected a consultant who had the technical expertise to develop the planning study and the ability to convey technical information to the public. The consultant also understood the facilitation process.
- SANDAG has received several other grants to implement the recommendations which center around assisting low-income minorities to access different types of transit.
- The planning process and study has served as a model for other neighborhoods to follow to conduct their own studies.

Community Bus Service Planning Study

Grant Award Amount:
\$56,000

Grant Cycle
2001/2002

Recipient: Sacramento Area Council of Governments



Summary of Project

The purpose of the study was to conduct a neighborhood-level transit planning and implementation study in two neighborhoods within the City of Sacramento urbanized area. This study resulted in four neighborhood-level transit planning and implementation studies using the Community Bus Service Planning Program. The intent of the study was to bring to the decision-making table the low-income and minority neighborhoods that have traditionally been underserved in the transportation planning process, so that they can help plan for better transit in their communities. This study was to also provide a community-based planning process to identify gaps in the existing transit network and develop a transit improvement plan that would improve mobility opportunities and access in the selected low-income and minority communities. The project implemented an array of outreach techniques to promote environmental justice in the ongoing and coordinated transit planning process. The study evaluated how well the existing transit services provide transportation options within the selected communities, and how well they provide connections to the Regional Transit bus and light rail system.

Population Served

City of Sacramento's Meadowview (32,763 residents) and Oak Park (24,983 residents) communities. The racial mix of Meadowview's population is almost equally distributed among Asian, Black, White, and Other, with the highest proportion Asian (29.7%). Oak Park has a greater proportion of Caucasian/White, with 35% of Oak Park community being of Hispanic ethnicity. Both Meadowview and Oak Park communities have less household income than greater Sacramento County. The median household income in 1990 was \$43,816 in Sacramento County compared to \$31,046 in Meadowview and \$24,502 in Oak Park. The percentage of households that have no available vehicles is substantially greater in Oak Park (24.6%) as compared to Meadowview (11.0%) and Sacramento County (8.7%).

Scope

The scope of the project, as stated in the application, was to:

- Identify potential candidate communities in the Sacramento City area and form Community Advisory Committees of key stakeholders from the appropriate areas.
- Develop methods to engage the target communities in the transportation planning and decision-making process.
- Develop outreach materials and plan and host community outreach events.
- Secure participation and promote activities involving minority and low-income community groups in the transit planning process.
- Provide information and materials to the target communities regarding different transit programs and proposed projects.

- Identify gaps and deficiencies in the existing transit network.
- Identify recommendations that will improve mobility opportunities and access in low-income and minority communities.

Through a comparative review of the application, final product, and in-depth interview with the grant recipient, ICF determined that the contracted scope of the project was completed.

Goals Achieved by and/or Promoted by Grant

✓ Transportation System Management and Operations ✓ Title IV ✓ Coordination with Non-Emergency Transportation Services ✓ Regional Connections ✓ Transportation Connections

Perspectives on Implementing the Project and its Impacts

ICF captured the following findings through an in-depth interview with the planning grant recipient.

Project Status

As of early 2009, the status of the project is as follows:

- The planning project was completed, but funds were not sufficient to support the implementation of the vision plan in expanding transit routes as specified by the Meadowview and Oak Park communities.

Challenges

- The final plan was a success in that it was developed from collaborative input from planners, the impacted community, and the Sacramento Regional Transit District. However, the disappointment for the project was that SACOG was not able to identify sufficient funds to implement the plan. About halfway through the project, SACOG brought regional transit staff into the meetings who, at that point, said that there was a real possibility that there may not be any money to implement the project. Despite this, SACOG continued forward with the transit plan development, suggesting to communities that possibilities still exist for acquiring funding and that the vision planning should be continued through completion.
- Caltrans has expressed their intent to direct planning grants funds to smaller agencies in the community, but these smaller agencies typically do not have the resources to handle the paperwork required to administer state funds. SACOG has worked with staff at these smaller agencies but, to some degree, these efforts have declined. A lot of SACOG's work involves collaborating with community-based organizations. The question remains whether having grant recipients that work with community-based organizations to assist them in administering Caltrans grants, makes the overall grant program more or less effective.

Successes

- There were language barriers that proved challenging early in the project, but the project team found translators for the many different languages that were spoken in the communities. Consequently, the project team built trust with the community by attending existing community meetings and maintaining ongoing potluck meetings at community leaders' homes.
- This study resulted in a final report that includes service and planning process recommendations, as well as potential enhancements to existing transit service and possible neighborhood shuttle options that the Sacramento Regional Transit District may consider when funding is available. The report also provides planning areas for further study.
- The outreach and identification of key issues conducted for the Community Bus Service Study laid the groundwork for SACOG's Caltrans-funded "Multilingual Transit and Alternative Modes Public Information and Outreach Program for the SACOG Region." These outreach approaches have also helped transit agencies build trust in communities where language barriers often prevent full civic engagement.
- Through this study, SACOG learned effective methods for conducting outreach that they could apply to their efforts for developing the Sacramento Region Blueprint and other planning projects.
- Although funds could not be secured to implement new transit routes, the two communities involved in the project learned how government planning works and how transit service is implemented, and how better to present their concerns to regional transit directors and elected representatives.

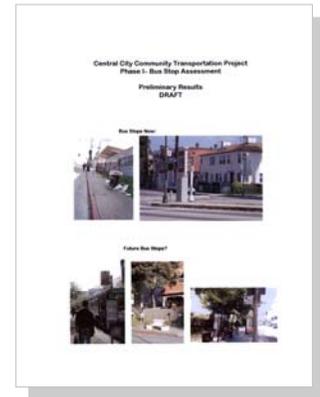
Central City Community Participation and Transportation Plan

Grant Award Amount:
\$173, 400

Grant Cycle
2002/2003

Recipient: City of Los Angeles Mayor's Office,
Project transferred Los Angeles Department of
Transportation

Sub-Recipient: Central City Neighborhood Partners (CCNP)



Summary of Project

The purpose of the study was to create a transportation plan for the central city district of Los Angeles. Central City Neighborhood Partners (CCNP) collaborated with seven community-based organizations, each representing a neighborhood or study area within the Los Angeles Central City District. Each was responsible for resident outreach, surveys, and assessments of community assets within their study area. The aim of this project was to create a community transportation plan that identified priorities and goals that would be responsive to the community's needs.

Population Served

The Central City District encompasses 7 distinct neighborhoods lying to the immediate west of Downtown Los Angeles.

Scope

The scope of the project, as stated in the application, was to complete a five-phase planning project, with five deliverables mentioned below. The tasks were to:

- Assess conditions, infrastructure, safety, and linkages of bus stops.
- Assess transportation options by determining infrastructure and safety needs, and assessing the feasibility of alternative solutions based on their benefits and efficiencies.
- Create an inventory of infrastructure gaps and possible improvements.
- Sustain public participation and create a replicable participation and outreach model.
- Create a series of final products that will document work and recommendations including: Infrastructure assessment product, Community Participation Model, and Neighborhood Revitalization and Transportation Plan.

Through a comparative review of the application and in-depth interview with the grant recipient, ICF determined that the contracted scope of the project was completed. However, ICF learned that the final product submitted to Caltrans and documented through the ICF inventory is not the final product; instead, ICF determined that the reviewed product was the "Draft Phase 1-Bus Stop Assessments." ICF requested the final report from CCNP but it was never received.

Goals Achieved by and/or Promoted by Grant

✓ Transportation Safety ✓ Relieve Gridlock ✓ Transportation Connections

Perspectives on Implementing the Project and its Impacts

ICF captured the following findings through an in-depth interview with the planning grant sub-recipient.

Project Status

As of early 2009, the status of the project is as follows:

- The plan functioned as catalyst for further community development by establishing and documenting community priorities that have been shopped around for funding. Specifically, CCNP replied to four separate call-for-projects from the Metropolitan Transportation Authority (MTA), though none were funded. More recently, CCNP applied for roughly \$4.5 million for transit infrastructure funding from the City of Los Angeles, Safe Routes to School funding, and two other Caltrans grants.
- CCNP received a beautification grant from the City of Los Angeles to beautify and improve 15 bus stops with cleaning and addition of flowers and landscaping.

Challenges

- The priorities identified will take significant time to implement, and the community has become impatient. It was reported that unless the community sees tangible changes, it will be difficult to continue to be inspired and to keep momentum.
- Project administration constituted a significant burden, especially since the majority of the project funding was directed to a network of partner organizations that CCNP employed to conduct the project outreach and district assessments—requiring more staff time than the allocation could cover.
- The final product was completed in the summer of 2006 and was submitted to the City of Los Angeles Department of Transportation (lead agency) and the Caltrans District Office, but it appears that Caltrans Headquarters had not yet received the final product.
- The reimbursement process for grants was reported to be slow. For nonprofits, delays of payment can mean significant financial hardship.
- The delay in grant process from acceptance to contracting to project launch meant that the momentum gained through completion of application diminished to some extent. Even though the contract was executed in April, it took 10 months to get underway, making the administrative timeline to project launch too long.
- “Red tape” was an unforeseen challenge at the implementation phase. Though aware of likely bureaucratic hurdles, CCNP did not anticipate the multiple layers of city and county departments, each with their own agenda and priorities.
- their primary languages and through trusted service providers.

Successes

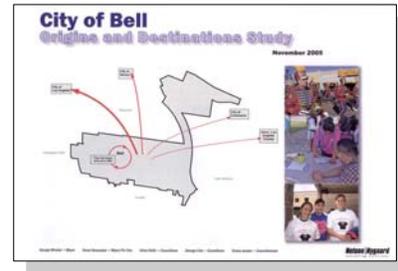
- The demonstration project beautified 15 bus stops with cleaning and addition of flowers and landscaping. Community volunteers collaborated on the improvement and hosted a BBQ.
- The EJ-funded plan functioned as catalyst by establishing and documenting community priorities that could then be shopped around for funding. CCNP replied to four separate call-for-projects from the Metropolitan Transportation Authority (MTA), for instance.
- The Central City Transportation Plan received accolades that brought exposure to CCNP. In 2007, the plan won two Planning Excellence Awards of the American Planning Association (APA)—one local and another national. In 2008, the plan also received an award from the APA's National Grassroots Initiative.
- The community transportation plan built momentum within the organization; it functioned as a rallying point for community enhancement and education.
- It was rewarding for the project team to work with the variety of partner organizations in the community. The various community groups came together as a team to understand community planning—even things as simple as the terminology—and it resulted in a highly-engaged community project.
- A key success was CCNP's engagement of the community in meaningful ways, including engaging the community in

City of Bell Origins and Destination Study

Grant Award Amount:
\$93,960

Grant Cycle:
2002/2003

Recipient: City of Bell



Summary of Project

The purpose of the study was to analyze the travel patterns of Bell residents and employees in order to develop and implement future transportation and community planning policies. The study involved collecting existing Census data, particularly journey-to-work data, as well as soliciting new information from Bell residents and employers through a statistically-sound household telephone survey, public outreach events, and interviews with community leaders.

Population Served

City of Bell residents, employees, shoppers, and other visitors that commute to Bell.

Scope

The scope of the project, as stated in the application, was to understand the travel patterns to and from the City of Bell by completing an Origins and Destination Study that would:

- Study the travel patterns of residents and employers/employees.
- Hold Spanish and English community workshops to review the origins and destination study, and discuss findings.
- Conduct a direct mail survey to households regarding each resident's travel destination, types of trips taken, times of travel, and modes of travel.
- Conduct targeted surveys of local activity centers, churches, parks, schools, and other specific groups to supplement direct mail survey.

Through a comparative review of the application, final product, and in-depth interview with the grant recipient, ICF determined that the contracted scope of the project was completed.

Goals Achieved by and/or Promoted by Grant

- ✓ Transportation Systems Performance
- ✓ Transportation System Management and Operations
- ✓ Regional Connections

Perspectives on Implementing the Project and its Impacts

ICF captured the following findings through an in-depth interview with the planning grant recipient.

Project Status

As of early 2009, the status of the project is as follows:

- The project was completed in 2005, and City staff has used the study as key primary data confirming what was before just anecdotal suspicions about residents' commuting patterns to and from Bell. The study has not been a catalyst for other projects at this point. The City, however, continues to use the study as a basis to inform long-term efforts to improve the transportation system.

Challenges

- The academic and esoteric nature of the study made the process and the resulting plan somewhat inaccessible to the broad majority of the residents and stakeholders. When compared to other clear-cut transportation-related problems, such as traffic safety or bus stop improvements, presenting this study's findings or getting the community to rally behind the study became difficult tasks.
- The study was conducted midway through the decade in 2004/2005, so the most current census information available was based on the 2000 Census. The data was already dated prior to completion of the survey and consequently, makes the study less valid and useful as time goes on.
- A challenge for the study was gathering qualitative information from the community about their impressions of commuting; it was difficult to obtain the nuances and degrees of residents' feelings about travel times.
- In terms of administration, the City reported that the management of the subcontract with the consultant was not as time-efficient as it could have been. It required numerous meetings to frame the purpose and to get the project off the ground.

Successes

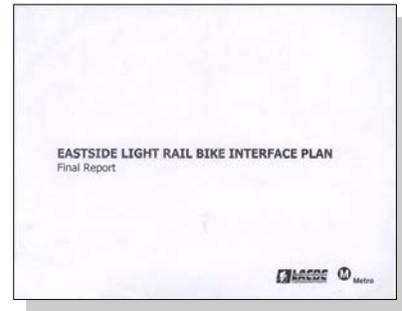
- Project leaders reported "fairly smooth sailing" in administration and processing of the grant.
- A key decision by the City was recognizing that staff didn't have the time, capacity, or skills to conduct the study, and identifying and retaining a strong consulting group to implement. The consulting firm was skilled at listening to and interpreting community and staff goals.
- As the majority of residents in the city are Latino, much of the study's outreach and events were bilingual in English and Spanish, which created a strong sense of trust and connection among the community, especially among older and monolingual Spanish speakers.
- Project outreach was highly effective, utilizing a variety of existing programs as entry points for sharing information and gathering input. Outreach was conducted through recreation programs, neighborhood watch programs, Bell High School, the police department, the Chamber of Commerce, and some of the larger employers in town. Through outreach, the City was striving to create a sense of transparency, and in doing so, they strengthened existing partnerships with community organizations.
- The study's outcome empirically supported long-held anecdotal understandings of the key travel patterns to and from the city. With that information, the City is in a far better position when making decisions related to transportation improvements.

Eastside Light Rail/Bicycle Interface Plan

Grant Award Amount:
\$178,200

Grant Cycle:
2002-2003

Recipient: Los Angeles County
Metropolitan Transportation Authority
Sub-Recipient: Los Angeles County Bicycle Coalition



Summary of Project

The purpose of the study was to engage community residents in developing a bicycle interface plan that incorporates the bicycling needs of residents into the development of the Los Angeles County Metropolitan Transportation Authority's Eastside Light Rail Transit line, which will have six stations that connect downtown Los Angeles to eastern Los Angeles communities. The objective of the Eastside Light Rail/Bicycle Interface Plan was to expand the scope of the Light Rail Transit line by identifying routes and bikeway design options that best fit the communities in the project area. The resulting plan was intended to serve as a guide for implementing the interface plan, and as a marketing tool for building and maintaining support for the project throughout the implementation process. In association with the Light Rail Transit line, the Eastside Light Rail/Bicycle Interface Plan seeks to provide residents with access to a comprehensive, affordable, and environmentally-friendly transit system.

Population Served

Residents of Boyle Heights and East Los Angeles communities.

Scope

The scope of the project, as stated in the application, was to:

- Promote public participation in the development of the plan, through bilingual interviews, various media, presentations, press events, and walking/biking tours around the project area.
- Collect data that describes existing bicycle and rail transportation and community conditions and vehicular traffic patterns in the area, including volumes and auto-bicycle collision locations.
- Conduct needs assessment to summarize bicycle and rail needs and concerns for lower-income and minority communities, with emphasis on reported routes of travel by bicycle.
- Develop community concept that identifies alternate traffic planning options, including the possibilities of changing traffic flow directions, removing automobile lanes, redirecting automobile traffic, and creating bicycle lanes to planned rail stations.

Through a comparative review of the application, final product, and in-depth interview with the grant recipient, ICF determined that the contracted scope of the project was completed.

Goals Achieved by and/or Promoted by Grant

- ✓ Transportation Safety ✓ Title VI ✓ Coordination of Non-Emergency Transportation Services
- ✓ Road Safety ✓ Regional Connections ✓ Transportation Connections

Perspectives on Implementing the Project and its Impacts

ICF captured the following findings through an in-depth interview with the planning grant sub-recipient.

Project Status

As of early 2009, the status of the project is as follows:

- The Eastside Light Rail/Bicycle Interface Plan was completed. Metro is currently applying for funding to implement the development of bike lanes around the rail line, focusing on the acquisition of Proposition 1B funds. The development of the rail line is slated for June, 2009. Normally, light rail design plans focus on pedestrian access within a quarter-mile radius around the station, but the Light Rail Bike Plan expands the scope of the existing Light Rail Transit Line by studying access opportunities for residents who live outside of the quarter-mile project area through the development of cycling options.

Challenges

- None were identified by the interviewee.

Successes

- This project marked the first time in Los Angeles County anyone thought about integrating bike and rail planning into the development of station plans; it is most typical for planning to consider incorporating bicycle plans *after* a transit project is developed or even constructed. Integrating bicycle and pedestrian considerations early in the transit planning process helps advance the synergistic benefits of available alternative transportation options.
- Metro and the sub-recipient, Los Angeles Bike Coalition, engaged the community in bike planning in a very hands-on manner. About 100 people in the community participated in historical tours /and planning bike rides, and together they helped local residents realize what biking on the east side was like by encouraging them to get on a bike (for some, it was their first time) and join historical planning rides that the sub-recipient organized and conducted around the area where the rail stations are slated to be built. These bike rides helped residents witness first-hand the infrastructure complexities in the neighborhoods, as well as voice their specific concerns. For example, the recipient and sub-recipient identified arterials and other biking barriers that have been preventing biking in the area, as well as opportunities for developing supportive biking infrastructure. This was one of the first times this degree of hands-on approach was used in the area.
- This project demonstrated a successful community engagement approach. By integrating geographic and cultural history into the planning process, the project team was able to apply an effective tool for pulling together and engaging a broader population of people in the planning process. The Bike Coalition played a major role in spreading word through social networking outlets that residents trusted. Based on the public turn-out and participation in the bike rides, their outreach methods were successful.

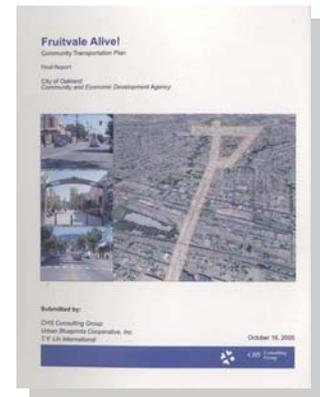
Fruitvale Alive! Community Transportation and Safety Plan

Grant Award Amount:
\$189,900

Grant Cycle:
2002/2003

Recipient: City of Oakland Public Works, Bicycle and Pedestrian Program

Sub-Recipient: The Unity Council



Summary of Project

The purpose of the study was to create a community transportation plan for the Fruitvale District in Oakland, California. Led by a well established and known non profit organization, the Unity Council, this project consisted of extensive outreach and community engagement from a variety of sectors within the neighborhood. The Fruitvale District is an extremely diverse community with Latinos, Asians, African Americans, and Caucasians each comprising significant portions of the population. The project, in effect, sought changes to two principal corridors that would reduce vehicle collisions with bicycles and pedestrians. The plan resulted in a diverse set of recommendations to improve the overall mobility and safety of residents, including repositioning of bus stops, traffic calming elements, and signage and lighting modifications. A few of these changes have recently been implemented.

Population Served

Fruitvale District Residents of Oakland, California

Scope

The scope of the project, as stated in the application, was to involve the Fruitvale community in identifying community-oriented transportation strategies to solve long-standing transportation inequities in the district by bringing together a number of long-term plans and development plans into a consistent master plan. This including the following tasks:

- Partnering with a consultant to implement the project.
- Conducting outreach to the community through schools, churches, health and senior centers, and business organizations through workshops, community meetings, and charrettes.
- Documenting existing conditions by collecting data on traffic counts, accident data, bicycle and pedestrian data, transit ridership study, parking, and signage. Producing the findings in a final circulation study.
- Providing streetscape and circulation options that are reflective of existing conditions and community input, produced in a conceptual plan and, eventually, a master plan, .

Through a comparative review of the application, final product, and in-depth interview with the grant recipient, ICF determined that the contracted scope of the project was completed.

Goals Achieved by and/or Promoted by Grant

✓ Transportation Safety ✓ Transportation Connections

Perspectives on Implementing the Project and its Impacts

ICF captured the following findings through an in-depth interview with the planning grant sub-recipient, as well as from stakeholders participating in a 2-hour focus group.

Project Status

As of early 2009, the status of the project is as follows:

- Some of the priorities suggested by the plan—such as bulb-outs, benches, and better bus shelters—have already been implemented. The community is still engaged and is continuing to implement the plan gradually with other priorities in the pre-construction phase.

Challenges

- Some of the specific changes suggested by plan have encountered unforeseen obstacles. For instance, a bus shelter/stop to be constructed in front of a senior housing center was infeasible because the site functions as a stop for Paratransit.
- At recent community meetings, some groups and/or individuals that were not involved in the creation of the original plan have suggested and pushed for new changes or additional improvements to those laid out in the plan. This has challenged project leaders, who want to be inclusive but also feel the need to respect the extensive process that has taken place.
- Despite the new signaling, pedestrian/automobile collisions continue to be an issue. Recently, a child was killed near a school and senior citizens have had near-fatal incidents. Even though a signal was in place near the corner of the accident, the community tended to overreact and asked for signals “at every corner,” which would be impossible to implement.
- The study did not entirely consider some less tangible aspects of traffic safety. For instance, it did consider cultural driving habits of different immigrant groups or younger individuals within Fruitvale, and/or solutions to re-educate drivers about safety in the community.
- A challenge in implementation from the perspective of the Unity Council is the City’s slow pace in facilitating changes, especially in difficult budget times. The City has its own internal process and does not move as quickly as the private sector, so the community wonders about the reasons that priorities are not implemented. If no changes are evident quickly, the community becomes somewhat disengaged because they feel that their efforts had no official response.

Successes

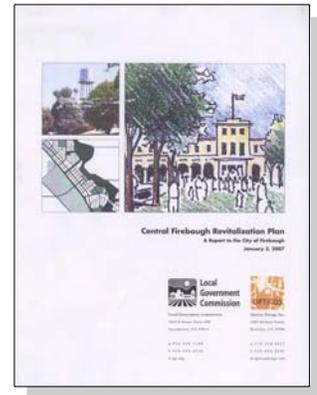
- The project garnered attention from officials and was able to find funding for implementing the top priorities: constructing streetscape changes such as curb bulb-outs, installing new trees and benches, and upgrading bus shelters.
- The plan has reportedly served as a template for bringing the community together that could be used in other areas of the city with similar problems. One such area is the Foothill Boulevard Corridor, where redevelopment money has been committed to conducting a community visioning planning process to address pedestrian and bicycle safety problems.
- Even though collisions have occurred after some of the project priorities have been implemented, Unity Council staff report that they have observed a general slowdown of automobile traffic speeds through the project area.
- The biggest success reported by Unity Council staff was the level and breadth of community engagement for this project, by the various access points through which the community was engaged. The outreach included multilingual events, multiple modes of outreach, and specific considerations for certain constituents within the district such as seniors and children.

Highway 33 & Downtown Firebaugh Linkage Study: Context Sensitive Planning for Community Revitalization

Grant Award Amount:
\$74,412

Grant Cycle:
2004/2005 and 2005/2006

Recipient: City of Firebaugh
Sub-Recipient: Local Government Commission



Summary of Project

The purpose of the study was to organize and engage residents, business owners, and other community members in a five-day charrette in order to develop a visioning plan for a walkable city center. The plan would focus on improving the linkage between downtown and Firebaugh and Highway 33. At the time the study was initiated, the downtown streetscape was barren and poorly connected to Highway 33, and most residents were shopping outside of Firebaugh. The weak connection between downtown Firebaugh and adjacent Highway 33 has contributed to lost economic opportunities and reduced community cohesion. The project aimed to improve the pedestrian environment and facilitate the development of new housing and other land uses to ultimately create a more vibrant downtown.

Population Served

The City of Firebaugh is a rural city in the northern part of Fresno County. The majority of Firebaugh's residents qualify for low-income housing and consist of under-represented, minority communities. More than 80% of the population is Latino and 22% live below the poverty line.

Scope

The scope of the project, as stated in the application, was to:

- Convene community stakeholders to identify key issues.
- Coordinate and conduct a five-day charrette to develop a visioning plan for a walkable city center.
- Conduct publicity and outreach aimed at various sectors of the community, including governments, businesses, religious institutions, and service organizations.
- Develop final report.

Through a comparative review of the application, final product, and in-depth interview with the grant sub-recipients, ICF determined that the contracted scope of the project was completed.

Goals Achieved by and/or Promoted Grant

✓ Strengthen the Economy ✓ Social Equity ✓ Community Livability

Perspectives on Implementing the Project and its Impacts

ICF captured the following findings through in-depth interviews with the planning grant sub-recipients and a design consultant.

Project Status

As of early 2009, ICF learned the following about the project status:

- The final visioning plan was presented to Firebaugh City Council and the Council gave a statement of support of the vision plan, but there was no formal adoption of the plan. However, Opticos Design (a design firm working with the recipient) has learned that the strategies in the plan have recently informed the City's General Plan.
- Since completion of the plan, Jose Ramirez, City Manager, has reported that the City is moving forward with design work (e.g., plans for placement of median improvements) and is currently considering how to implement specific strategies detailed in the final recommendations and visioning report.
- Since completion of the plan, the City Traffic Engineer was consulted about the design and future of P Street, a major north-south route in Firebaugh, which was a major focus of this study. One interviewee who had recently visited Firebaugh reported that it had appeared that P Street had also been re-paved since completion of the plan. However, the City seems not yet to have put in high-visibility cross-walk and bike-lane markings as was recommended in the vision plan.
- A key focus of the vision plan addressed the problem of freight trucks parking along the Highway 33, which had been an ongoing nuisance to residents since the highway is located close to residents home, and residents use the highway as a walking route to daily destinations. Since the completion of the vision plan, the City responded to the recommendation to integrate "quality of life" improvements which entailed the posting and enforcing of "no truck parking" signs along the residential part of Highway 33, and according to the interviewee, it appeared that they were enforcing the rule because no trucks were parked along the highway during the interviewee's recent visit.

Challenges

- Interviewees stated that Caltrans has been increasingly supportive of context-sensitive approaches to addressing mobility and livability issues. However, local needs are still often neglected due to Caltrans' basic highway planning policies. For example, in Firebaugh, Highway 33 is also the town's four-lane main street which is heavily used by pedestrians and bicyclists. There is a need for improvements along this highway to improve the livability and general safety of the route, but existing highway regulations make it very difficult to restructure or implement basic structural alterations (e.g., bulb-outs; curb extensions) that would accommodate bicycling and pedestrian uses.
- Interviewees noted that although Firebaugh has a City Manager who is very proactive and determined to accomplish tangible improvements for the City, the challenge of insufficient human and capital resources (e.g., lack of City Planner) makes it difficult to move to the next stage of implementation. In addition, basic infrastructure is lacking in some areas, and zoning plans and policies are also outdated, making it difficult to integrate solutions that promote newer trends in planning approaches.

Successes

- Although all of the strategies recommended in the report have not yet been implemented in the City, an interviewee commented that the overall planning process has had a positive effect on the community. Primarily, the planning project encouraged community members to think proactively about how to improve their living environment, and the plan provided a forum to voice concerns and experience a final product that reflected solutions to those concerns.
- The planning project, and the broader community, benefited from the volunteered skills of Berkeley graduate design students. Students volunteered to conduct a pre-charrette analysis in Firebaugh around the issues of improving the livability of downtown. Students assisted the community in identifying a range of possible streetscape enhancements, which eventually led to the development of a framework for organizing the charrette that was funded by the Caltrans planning grant. According to an interviewee, the students' efforts helped galvanize the community prior to the charrette and increased the effectiveness of the charrette. The pre-charrette forum that was led and organized by students introduced community members to basic planning concepts and provided the opportunity to begin brainstorming about improvements to the downtown living environment.
- Parallel to the planning grant, the City was making use of a Technical Assistance grant which allowed Applied Development Economics to conduct a retail study. The City also provided funding to businesses on Main Street to do façade improvements.

Hoopa Traffic Calming and Safety Plan

Grant Award Amount:
\$63,320

Grant Cycle:
2002/2003

Recipient: Hoopa Tribe



Summary of Project

The purpose of the study was to plan traffic calming strategies for downtown Hoopa after decades of ongoing collision incidents on State Highway 96, which bisects the town and effectively functions as “Main Street.” After an extensive community engagement process that included a four-day design fair and several walking tours, the project resulted in a set of specific priorities and recommendations to be implemented over a long-range time horizon. These included modifications to highway alignments, establishment of crosswalks and other pedestrian amenities, and creation of signage. Importantly, the project also resulted in the Hoopa Tribe’s rethinking of its community assets, and provided a format in which to envision comprehensive ways to revitalize the downtown area.

Population Served

Hoopa Tribe Reservation Residents.

Scope

The scope of the project, as stated in the application, was to:

- Work with tribal leaders, residents, and businesses in the Hoopa Valley Indian Reservation to develop, publicize, and conduct a design charrette process to gather community input and ideas.
- Create a 20-year transportation plan with a priority list of projects as specified by the Indian Road and Reservations (IRR) of the Bureau of Indian Affairs (BIA).

Through a comparative review of the application, final product, and in-depth interview with the grant recipient, ICF determined that the contracted scope of the project was completed.

Goals Achieved by and/or Promoted by Grant

✓ Transportation Safety ✓ Road Safety ✓ Title VI

Perspectives on Implementing the Project and its Impacts

ICF captured the following findings through an in-depth interview with the planning grant recipient, as well as from stakeholders participating in a 2-hour focus group.

Project Status

As of early 2009, the status of the project is as follows:

- Soon after completion of the Conceptual Plan, the Tribe began dialogue with Regional Transportation Planning Agency (RTPA) to acquire funding, mainly focusing on projects within Hoopa’s downtown area. Construction on some priority projects is slated to begin in 2012. The Tribe is also submitting some its priority projects to receive “shovel-ready” funding through the federal stimulus package.

Challenges

- The original intent of the project was to look at traffic calming and safety, but input from the community resulted in a process and conceptual plan that were stretched to include broader downtown revitalization, which added unanticipated tasks and work for the project team.
- The planning process funded by Caltrans exposed and highlighted the fact that there are limited resources going to Indian country. State funding focuses on Highway 96, the state right-of-way, and the area within 80 feet, but little or no funding is focused on the reservation's other surrounding needs.

Successes

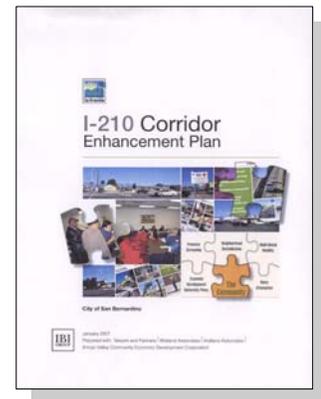
- With the modified planning process described above, the Hoopa Tribe conducted a more honest and true assessment of what was needed for the community. The Tribe utilized existing data from a report by the local medical center related to automobile/pedestrian/bicycle collisions on Highway 96 and working from that, the Tribe sought community input and conducted a variety of assessments to inform the process.
- The most important effort the Tribe made was to extensively engage residents in the decision-making process—they conducted surveys to gather comments, went door-to-door in some instances, and sought input from the various segments of the community.
- The Tribe was flexible and allowed the community to set the direction of the planning process to include a more comprehensive plan for Downtown Hoopa. Feedback from the community forced the Tribe to rethink the project's priority beyond traffic safety, to include broader downtown improvements. As a result, the Conceptual Plan developed into a blueprint for the different visions the Tribe can pursue downtown, with traffic safety remaining the key element.
- The centerpiece of the Tribe's planning process was a four-day Design Fair that consisted of a variety of activities for visioning and engaging community concerns about traffic safety. There was "huge" turnout with over 250 individuals participating and discussing issues from traffic safety to downtown economic activity.
- Key elements that made the Design Fair successful were the Tribe's use of digitally-edited photographs that helped inspire thinking beyond what currently exists. Food and music—both important cultural elements—were also included in the Design Fair, making the event feel more like an extended family gathering than a bureaucratic one.
- A Project Study Report was completed to be included in the State Transportation Improvement Program (STIP). Hoopa was the first tribe to finish. The Project Study Report addressed related issues such as stormwater planning, sources of funding, and implementation strategies. Funds were approved and granted, and construction on priority projects is slated to begin in 2012.
- The Tribe has collaborated with Caltrans more closely in technical support on improvements to the state right-of-way (Highway 96). In doing so, this has become a joint Caltrans/tribal project. Currently, the project is at the pre-environmental review phase and preparing to submit environmental documents. Some preconstruction studies have already been completed.
- The Tribe took advantage of the momentum generated by the planning process; after submitting the completed plan the Tribe continued outreach related to the broader downtown revitalization efforts.

I-210 Corridor Enhancement Plan

Grant Award Amount:
\$250,000

Grant Cycle
2004/2005 and 2005/2006

Recipient: City of San Bernardino



Summary of Project

The purpose of the study was to identify the existing conditions within a defined area around a new I-210 Corridor study area, to assess the impacts that the new freeway might bring, and to make recommendations for alternatives to address the potential impacts. The plan's goal was to capitalize on the economic development opportunities of the new freeway while minimizing potential negative impacts. The planning process focused on five strategy areas: freeway screening, multi-modal mobility, economic development, noise attenuation, and neighborhood revitalization.

Population Served

The population targeted by the study are residents of the Westside of San Bernardino. The 2000 Census and survey data showed that an estimated 19% of Westside households do not own an automobile and depend on transit for transportation. Ninety-one percent of the residents in the area identified as black, Hispanic, or two or more races. The media value of Westside homes was only 43% of the state-wide average in 2000, and the median household income was 49% of the state-wide median income.

Scope

The scope of the project, as stated in the application, was to:

- Conduct background analysis.
- Conduct initial outreach and presentation.
- Host charrettes.
- Prepare draft strategy elements including: Freeway Screen Strategy, Noise Attenuation Strategy, Multi-Modal Mobility Strategy, State Street Corridor Improvement Strategy, Vehicle Trip Reduction Strategy, Economic Development Strategy, Neighborhood Revitalization Strategy, Transit-Oriented Design Strategy, and Public Participation Strategy.
- Prepare and present final plan.

Through a comparative review of the application and final product, ICF determined that the contracted scope of the project was completed.

Goals Achieved by and/or Promoted by Grant

✓ Strengthen the Economy ✓ Infill Development ✓ Social Equity ✓ Jobs and Affordable Housing Balance ✓ Housing, Transport, Land Use Linkages ✓ Community Livability ✓ Environmental Protection

Perspectives on Implementing the Project and its Impacts

ICF was not able to secure an in-depth interview despite several attempts to contact the project recipient. ICF captured the following findings from the survey responses provided by the project consultant.

Project Status

As of early 2009, the I-210 Corridor Enhancement Plan was complete. Due to lack of funds availability, no progress has been made towards implementing the plan's recommendations.

Challenges

- Given constraints in the time available to complete the project work, the project team had to compress the Scope of Work.

Successes

- By laying out a vision for what the impacted community would like to see in the area (increased pedestrian/bicyclist connections, transit-oriented development encouraging a mix of housing and commercial/retail opportunities), the Plan could serve as a significant catalyst for development within the study area.

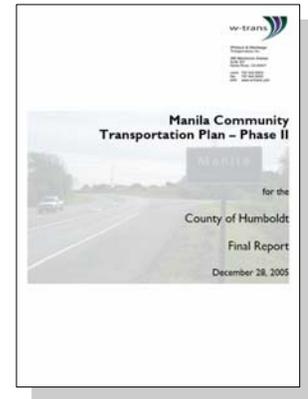
Manila Community Transportation Plan— Phase II

Grant Award Amount:
\$49,500

Grant Cycle
2002/2003

Recipient: Humboldt County Association of Government

Sub-Recipient: Manila Community Service District (MCSD)



Summary of Project

The purpose of the study was to build upon the Manila Community Transportation Plan - Phase I work which focused on a public outreach effort with the following goals: Reduce the speed of traffic on State Route 255 through Manila; provide enhanced pedestrian crossing facilities across State Route 255; and increase accessibility from SR 255 to local streets. The Phase II report documented the technical details for existing and future traffic conditions, as well as the justification for modifications to the highway and local roads.

Population Served

Residents of the City of Manila. Manila is a rural, unincorporated community with a population of approximately 1,000 people. Manila's 1999 median household income was \$29,405 (compared to a County median income of \$31,226). 16.8% of the population was living below the poverty line. Many residents do not own functioning cars, nor have a valid driver's license. They rely on public transportation, walking, hitchhiking, and bicycles for transportation. The location of Manila is removed from work and public services in the larger towns to the north and south.

Scope

The scope of the project, as stated in the application, was to:

- Initiate public participation.
- Research background information, prepare a traffic analysis, and identify key issues.
- Engage in a public participation process.
- Develop conceptual alternatives and a community plan.
- Solicit public input.
- Create a final plan.

Through a comparative review of the application and final product, ICF determined that the contracted scope of the project was completed.

Goals Achieved by and/or Promoted by Grant

- ✓ Transportation Safety ✓ Road Safety

Perspectives on Implementing the Project and its Impacts

ICF captured the following findings through an in-depth interview with the planning grant recipient.

Project Status

As of early 2009, the project team had completed the community plan. However, the Manila Community Service District (MCSCD) and the County have had difficulty obtaining funding to implement the improvements. Since the road identified for traffic calming measures is also a state highway, Caltrans has the ultimate jurisdiction and would need to agree to focus resources in the area. The County has found that, as a small community with low amount of traffic, Manila is not competitive when applying for transportation improvements funds.

Challenges

- The Manila Community Service District (MCSCD) and the County have had difficulty obtaining funding to implement the improvements. As the road identified for traffic calming measures is also a state highway, Caltrans has the ultimate jurisdiction and would need to agree to focus resources in the area. The County has found that, as a small community with low amount of traffic, Manila is not competitive when applying for transportation improvements funds.

Successes

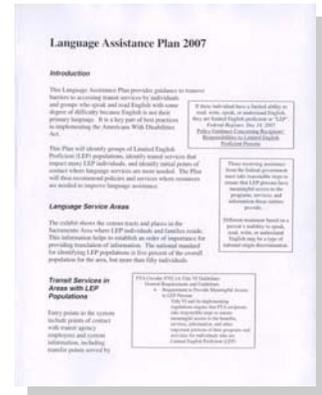
- The planning process was successful because there was strong interagency collaboration among the County, Caltrans, and MCSD.
- The plan has had the added benefit of serving as a framework for the MCSD to develop and implement an overall community improvement plan or a general plan, which it had previously not had the resources to accomplish.

Multi-Lingual Transit and Alternative Modes of Public Information and Outreach Program for the SACOG Region

Grant Award Amount:
\$173, 400

Grant Cycle
2005/2006

Recipient: Sacramento Area Council of Governments (SACOG)



Summary of Project

The purpose of the study was to organize a series of outreach projects with various multilingual communities to understand the specific language barriers and needs within Sacramento-area public transit systems. The project resulted in a Language Assistance Plan that identified and profiled the Limited English Proficient (LEP) populations and their respective geographic areas. The plan also sought to identify points of LEP passenger contact within the system and recommend policies and services to improve language assistance.

Population Served

Transit providers and non-English speaking transit customers of the Counties of El Dorado, Placer, Sacramento, Sutter, Yolo, and Yuba.

Scope

The scope of the project, as stated in the application, was to identify the number of people with language barriers and with few or no translation capacities, and then to outreach to them to understand their specific needs. The process included:

- Working with Paratransit Inc., a provider of transit services to seniors and disabled residents, to function as the lead outreach agency.
- Partnering with other Community Based Organizations within the various communities.
- Holding focus groups with each of the five largest language communities, either through a hired translator or through a community translator, to ask about their community's impediments to using bus and transit services.
- Developing a DVD video in five different languages based on the findings of the focus groups, and providing it to community-based organizations to use as training on understanding the bus system(s).

Through a comparative review of the application, final product, and in-depth interview with the grant recipient, ICF determined that the contracted scope of the project was completed.

Goals Achieved by and/or Promoted by Grant

- ✓ Social Equity ✓ Community Livability

Perspectives on Implementing the Project and its Impacts

ICF captured the following findings through an in-depth interview with the planning grant recipient.

Project Status

As of early 2009, the status of the project is as follows: The Language Assistance Plan spun off into another separate grant application and award, conducting mobility training in multiple languages for seniors and disabled residents.

Challenges

- The project posed specific recommendations that were later found to be untenable. For instance, telephone interpretation was found to be cost-prohibitive and was not pursued.
- When working with community-based organizations, an occasional challenge is a lack of capacity, either technical or administrative. SACOG has done some capacity building in-house with staff. This takes time and effort even before a project is underway, including identifying and assessing administrative capability.
- As is typical when collaborating with various agencies, SACOG encountered some degree of “turf” issues with other transit district staff and community-based organizations. SACOG staff learned to be more sensitive and deferential to their expertise and knowledge of specific language communities or districts.
- One difficulty in the Caltrans process indicated by SACOG is the separation between the workplan and the contract for funding. Many other grant programs include a funding agreement in the overall workplan contract, but Caltrans requires a separate funding agreement. The result is extra administrative work for the grantee. Especially for grantees that submit regular applications and that have established relationships, SACOG suggests attempting to streamline the contracting element by incorporating the funding agreement through an ongoing Memorandum of Understanding.

Successes

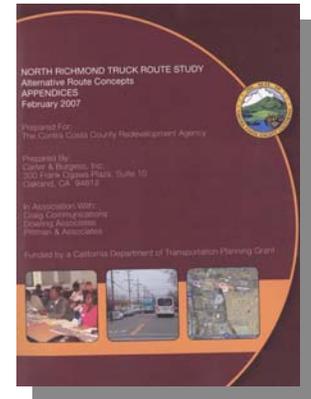
- SACOG extracted value out the outreach process of the project. They were able to identify potential partners and potentially successful projects that could be the basis for future funding applications.
- The plan helped identify that one problem among non-users of transit was a lack of knowledge and a fear of doing something new. The new grant provided funding to hold training sessions that included field trips and assistance reviewing transit materials.
- The DVD that was produced continues to be used as a training tool by both transit operators and the multilingual community.
- Importantly, SACOG reported that the project allowed the agency to impart on the community the tools and methods to influence their government. This empowerment was a key success of the project.
- A key lesson learned by SACOG in this process was that it was not a feasible, cost-effective, or maximum-impact activity to translate into *all* languages in the entire community; rather, the agency focused on the five most commonly spoken languages to maximize impact.
- This project highlighted the increasing diversity of the state and the need for government entities to communicate in a community's language and establish firm partnerships with the community's organizations. SACOG's efforts in multilingualism have been successfully replicated elsewhere in other projects they are pursuing.

North Richmond Truck Route Study

Grant Award Amount:
\$100,913

Grant Cycle:
2005/2006

Recipient: Contra Costa County Redevelopment Agency
Sub-Recipient: (not applicable)



Summary of Project

The purpose of the study was to develop a plan for a new road system for trucks that would link local industries to the Richmond Parkway. The planned system was intended to avoid residential neighborhoods and schools heavily impacted by the increasingly heavy truck traffic. Alternatives to bypassing the area with new or extended streets were to be pursued through a community-based planning effort. The end result was to be a plan that would balance the needs of community while still accommodating truck traffic.

Population Served

Residents of North Richmond (an unincorporated community in western Contra Costa County), truck drivers, and motorists. North Richmond is a residential outpost within an area with history of heavy industrial uses. The streets through North Richmond offer a convenient shortcut for trucks traveling from the nearby Port of Richmond and the Richmond Parkway to the City of San Pablo and the San Pablo Avenue corridor to the east.

Scope

The scope of the project, as stated in the application, was to develop a community-supported plan for creating truck route alternatives while addressing the needs of the community. The tasks were to:

- Retain a transportation planning consultant to facilitate the community discussion and manage the overall project.
- Conduct three community meetings at different stages of the project to introduce the project to the community, refine alternatives, and build consensus on a preferred alternative, respectively.
- Collect data related to automobile, truck, pedestrian, and bicycle traffic.
- Identify, analyze, and vet preliminary alternatives for truck routes.

Through a comparative review of the application, final product, and in-depth interview with the grant recipient, ICF determined that the contracted scope of the project was completed.

Goals Addressed by Funded Project

✓ Transportation Systems Performance ✓ Environmental Review Streamlining

Perspectives on Implementing the Project and its Impacts

ICF captured the following findings through an in-depth interview with the planning grant recipient.

Project Status

As of early 2009, the status of the project is as follows:

- The Contra Costa Redevelopment Agency is now dealing with Phase 2 of implementing changes to the truck route. They are working with the trucking community and various other divisions within the County that will play a role in implementation.
- The Contra Costa Redevelopment Agency is preparing the North Richmond Specific Plan which includes the area surrounding the Truck Route. Currently the plan is under CEQA Review and is intended to develop a new vision for the historically industrial area. The Specific Plan's preliminary vision statement indicates that the intention is to transform a former industrial area into an attractive, safe, and healthy neighborhood with new uses.

Challenges

- The complexity of the project, combined with the amount of paperwork, makes administering a Caltrans project a tedious process at times. Overall, the process needs to be more user-friendly, as feasible.

Successes

- The truck route study increased the community's awareness about the broader context of North Richmond. It brought into the public's awareness the balance that is needed between economic activity and the concerns of the people living and working with area.
- The study proposed near-term and long-term solutions; near-term solutions included new signage and better enforcement, and long-term solutions included street realignment and construction of new roads. Some of the short-term solutions have reportedly been implemented.
- The local community and businesses strongly supported the project and played a key role in shaping route concepts. Community members strongly supported better enforcement and alternative routes the farthest away from Verde Elementary School and residential areas. Public health and safety is an ongoing concern of the local community, as well as diesel emissions from big rig trucks.
- The project sought from to incorporate the voice of the community from the very beginning, and as a result, the real needs and issues were identified and brought forward by community members and served to inform the development of the plan.
- Contra Costa County Redevelopment Agency subcontracted with four local community-based organizations to handle the public participation portion of this project. They were tasked with identifying the key stakeholders in the community, distributing project information, and organizing and executing the three community meetings.
- Contra Costa County has since applied for a Goods Movements Program grant from the Bay Area Air Quality Management District that aims to quickly reduce air pollution emissions and health risks caused by freight movement along priority trade corridors and other trade corridors in California where the trucks travel delivering goods. Besides dealing with trucks diesel pollution, the grant application also addressed rail, increased safety in the area, and business development.

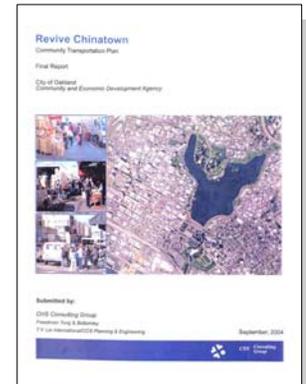
Revive Chinatown: Community Transportation Plan

Grant Award Amount:
\$225,000

Grant Cycle:
2001/2002

Recipient: City of Oakland

Sub-Recipient: Oakland Chinatown Chamber of Commerce
and Asian Health Services (AHS)



Summary of Project

The purpose of the project was to use a community planning process to improve Oakland Chinatown's streets for all users in a holistic way, concentrating on the following goals:

- Create a pedestrian environment that is safe and accessible for people of all ages and abilities.
- Expand transportation choices for travel to and from Chinatown to encourage more visitors and shoppers.
- Improve the attractiveness of Chinatown's commercial district as a regional shopping destination.
- Involve the community in a process that unifies diverse groups and empowers them to seek long-term solutions to quality of life issues in Oakland Chinatown.

Population Served

In 2000, approximately 37% of the all residents living in the greater Chinatown area were older than 65. Of those Chinatown residents 65 year or older, 77% speak an Asian language but little or no English. Because of its proximity to downtown Oakland and other commercial areas, many residents (39%) walk to work. The area has low levels of home ownership (23% of residents are homeowners). However, the population is fairly stable. In 2000, 57% of all residents lived in the same house as they had in 1995.

Scope

The scope of the project, as stated in the application, was to:

- Establish a Transportation Plan Advisory Committee and Technical Advisory Committee and conduct a public involvement process using advertisements, community meetings, walking tours, and special events.
- Collect transportation and demographic data that reflect existing use.
- Develop a transportation needs, opportunities, and challenges assessment.
- Develop a community concept consisting of alternative traffic planning scenarios, a palette of streetscape designs, conceptual design sketches for key entrances to Chinatown, alternative parking scenarios, and improvements to transit services.
- Develop a prioritized project list, schematic streetscape designs for major streets in Chinatown, and analyze the environmental justice impacts of the proposed improvements.

Through a comparative review of the application, final product, and in-depth interview with the grant recipient, ICF determined that the contracted scope of the project was completed.

Goals Addressed by Funded Project

✓ Transportation Safety ✓ Title VI ✓ Transportation Management and Operations ✓ Coordination of Non-Emergency Transportation Services ✓ Relieve Gridlock ✓ Road Safety ✓ Transportation Connections ✓ Efficient Goods Movement

Perspectives on Implementing the Project and its Impacts

ICF captured the following findings through an in-depth interview with the planning grant sub-recipient.

Project Status

As of early 2009, the status of the project is as follows:

- The project team received a capital grant through Metropolitan Transportation Commission (MTC) to implement the first phase of the recommended improvements, which included installing signage, pedestrian scale lighting, pavement markings, and other improvements. Phase I was completed in October 2008.
- Interviewees were uncertain if the City had sought funding to implement the Phase II recommendation.

Challenges

- The project team realized they needed to spend more time educating the public—and business owners in particular—about transit planning. For example, business owners opposed pedestrian-friendly measures, such as widening the sidewalk and taking out a traffic lane, because they thought the measures would increase traffic congestion and eliminate parking, thus driving away customers. However, much of the traffic that comes through Chinatown is caused by commuters rather than people who intend to stop and shop in Chinatown. The project team had a difficult time convincing business owners that slowing traffic and increasing pedestrian access would increase business.

Successes

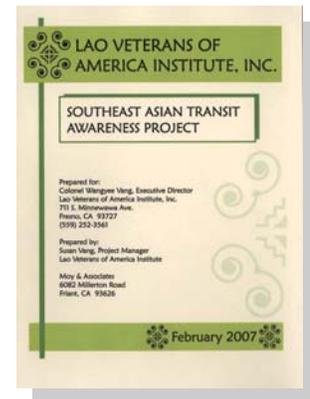
- The project team hired a consultant who gained the trust of the community because he was already familiar with Chinatown's transit needs and opportunities. He was open to public input and able to synthesize the input into a cohesive plan.
- The project brought together community organizations that had not historically partnered, such as Asian Health Services and the Oakland Chamber of Commerce.
- Prior to receiving the EJ grant, AHS had received grants from the East Bay Community Foundation and Oakland Pedestrian Safety Project to conduct outreach focused on pedestrian safety. As a result of this prior outreach, AHS already had a captive audience interested in transit planning who saw the EJ grant as a continuation of the pedestrian safety outreach work.
- AHS has built upon the success of the Chinatown project by leading a community engagement process for a Lake Merritt BART station area transit planning process.

Southeast Asian Transit Awareness Project

Grant Award Amount:
\$55,000

Grant Cycle
2004/2005 and 2005/2006

Recipient: Fresno Council of Governments
Sub-Recipient: Lao Veterans of American Institute



Summary of Project

The purpose of the study was to identify and evaluate the transportation needs, concerns, and possible barriers hindering public transit usage by the Southeast Asian community in Fresno. Project team members also conducted workshops and transit-training field trips to educate Southeast Asian residents on how to use transit services. The project team also implemented an awareness campaign—in collaboration with community groups and agencies—that was targeted for the Southeast Asian community.

Population Served

The population served by the project is Southeast Asian residents of Fresno. In 2004, the Asian population in Fresno was 65,000, just under 1/10 of the total population, with a minimum of 65% having extremely limited English language skills. The Southeast Asian refugee population, in particular, tends to be low-income, with little or no English skills.

Scope

The scope of the project, as stated in the application, was to:

- Review previous needs assessment and outreach performed by Fresno Area Express Transit.
- Conduct needs assessment and survey focus group to understand the Southeast Asian community and their reluctance to utilize the Fresno Area Transit.
- Design awareness program.
- Implement awareness program.

Through a comparative review of the application and final product, ICF determined that the contracted scope of the project was completed.

Goals Achieved by and/or Promoted by Grant

✓ Equity ✓ Environmental Protection ✓ Community Livability

Perspectives on Implementing the Project and its Impacts

ICF captured the following findings from written responses to questions that ICF provided the planning grant sub-recipient.

Project Status

As of early 2009, the project team had completed the community plan, however, the Manila Community Service District (MCSCD) and the County has had difficult obtaining funding to accomplish the improvements. Since the road identified for traffic calming measures is also a state highway, Caltrans has ultimate jurisdiction over the road and would need to agree to focus

resources in the area. The County has found that, as a small community with a low amount of traffic, Manila is not competitive when applying for transportation improvements funds.

Challenges

- While the Lao Veterans of America Institute continues to inform its constituents of public transit alternatives in the community, the Institute does not have the funding needed to maintain focused, organized efforts to raise transit awareness in the Southeast Asian community such as those undertaken with this study.

Successes

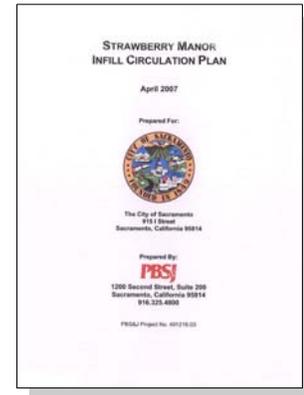
- The project team employed a variety of outreach methods that proved effective in reaching a population that can be difficult to reach. The combination of key community stakeholder interviews, social service agencies' interviews and surveys, community organization classroom training, transit field trip training, and extensive surveying at the annual Hmong New Year Celebration in Fresno all yielded a wealth of data and feedback on transportation needs.

Strawberry Manor Infill Circulation Plan / Norwood Area Circulation and Infrastructure Plan

Grant Award Amount:
\$200,000

Grant Cycle:
2004/2005 and 2005/2006

Recipient: City of Sacramento



Summary of Project

The purpose of this study was to evaluate the circulation patterns and adequacy of the infrastructure in Sacramento's Strawberry Manor Neighborhood (Norwood Area) in order to make recommendations for improvements to accommodate the current and future development. The area has been traditionally undeveloped, consisting of residentially-zoned sections with deep lots and few existing street connections. Development is occurring rapidly and on non-contiguous parcels, making it difficult to provide uniform traffic circulation and efficient utility infrastructure improvements. As a result, improvements are occurring in a seemingly random manner. The resulting report provided guidance to the City staff for the planning and development of the Norwood area to adequately address the demands that the anticipated new residents will place on the streets, utilities, and other amenities. Through community input, meetings with City staff, site visits, and an assessment of data related to existing infrastructure conditions, the project resulted in recommendations to promote efficient movement of citizens within the project boundary while utilizing the existing system to its fullest extent. The final product provided an overall vision for the Norwood area in order to guide development, reduce community disruptions, minimize small and isolated land tracts, and unify aesthetics, which should lead to enhanced community pride, enjoyment, and livability.

Population Served

The Norwood area encompasses approximately 250 acres and has remained semi-rural in character. However, improvements and developments throughout the Norwood area are quickly changing the area into a more dense residential community. The area has a very diverse population. Data from the 2000 Census shows that approximately 1,860 residents live within or adjacent to the Norwood area. People identified themselves with the following ethnic origins: 33 percent white; 22 percent black or African American; 17 percent Asian; 11 percent Native Hawaiian or Other Pacific Islander; 3 percent American Indian or Alaska Native; and 4 percent as some other race. Ten percent identified themselves as being of two or more races. At least seven languages are spoken in the Norwood area with 47.5 percent of the residents speaking English only. Of the remaining 52.5 percent residents, they identified their primary language as one of the following: Spanish, Russian, Chinese, Miao or Hmong, Laotian, an Indo-European language, a Pacific Island language, or another language. The median family income for the area was \$24,444 in 2000.

Scope

The scope of the project, as stated in the application, was to:

- Develop plans for the improvement of circulation and infrastructure for the Norwood area. The project was led by consultants, under the direct supervision of City of Sacramento, along with participation from Sacramento Housing and Redevelopment Agency. Other stakeholder participants included community, business, and other interest groups and property owners.

- Conduct circulation and infrastructure needs assessment and data collection: To assemble and review existing data, obtain new field data, project refinement, research existing plans, and obtain presentation base plans.
- Lead community workshops: Present visual and functional analysis at an open planning session and public discussion on improving circulation for the Strawberry Manor Neighborhood.
- Develop Circulation Plan for the Strawberry Manor Neighborhood, utilizing information collected during Phase One and Two of the project. The Plan included cost estimates and location maps.

Through a comparative review of the application, final product, and in-depth interview with the grant recipient, ICF determined that the contracted scope of the project was completed.

Goals Achieved and/or Promoted by Grant

✓ Infill Development ✓ Environmental Protection ✓ Social Equity ✓ Efficient Development Practices ✓ Community Livability ✓ Housing, Transport, Land-use Linkages

Perspectives on Implementing the Project and its Impacts

ICF captured the following findings through an in-depth interview with the planning grant recipient.

Project Status

As of early 2009, the status of the project is as follows:

- A feasible circulation plan was developed based on community input. In the process, the City of Sacramento worked with the utilities department. The City is currently waiting for both the development agencies and utilities department to move forward with implementing the plan.

Challenges

- In order for planning projects to get implemented, it becomes the responsibility of City of Sacramento staff to remember that the vision plans have come through to completion and are ready to be implemented. To support this, the City attempts to include in its resolution language that staff should always seek planning opportunities to further the goals associated with the vision of the plan. However, no single repository exists to house information about the status of vision plans funded by Caltrans (and other grants), thereby making it difficult for staff to fully support implementation.

Successes

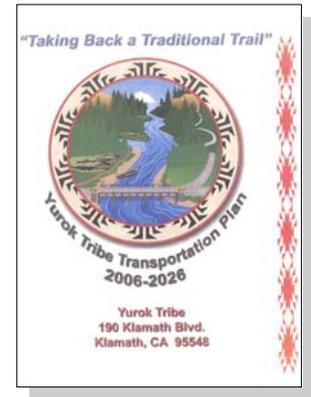
- The City of Sacramento has coupled planning grants funds with capital improvement projects that, based on vision plans, better adhere to the developing vision for the area.
- Caltrans planning grants have helped the City of Sacramento clarify conflicting development policies. After completing the community planning process and identifying issues that are both important to the community and current trends in the planning field, it became clear that discrepancies in older policies created constraints and thus needed to be resolved. Therefore, funding grants have been used indirectly to motivate policy change, and not necessarily capital improvement. This has been very useful in getting planning policies up-to-date with planning trends that have been proven effective elsewhere.

Taking Back a Traditional Trail: Yurok Tribe Transportation Plan

Grant Award Amount:
\$227,494

Grant Cycle
2002/2003

Recipient: The Yurok Tribe



Summary of Project

The purpose of the study was to complete a comprehensive planning process and to create a Long-Term Transportation Plan for the Yurok Reservation, the largest in California. The impetus to create the plan was a specific requirement that all funding recipients of the Indian Reservation Roads (IRR) program of the Bureau of Indian Affairs (BIA) have a transportation plan with a list of priorities. With only a minimal and non-compliant plan in place, the principal objective of the tribal planning effort was to identify and prioritize the transportation needs of the reservation.

Population Served

Yurok Reservation residents.

Scope

The scope of the project, as stated in the application, was to facilitate the development of a complete 25-year transportation plan for the Yurok Reservation. The process included the following tasks:

- Contract with a consultant to manage the development of the transportation plan.
- Coordinate input from the Tribal Council and Tribal Planning Staff.
- Prepare a transportation development history of the reservation.
- Identify, and perform outreach to, residents and stakeholders through surveys and interviews.
- Gather existing traffic data, demographics, and road assessments.
- Conduct outreach to, and surveys of, residents and stakeholders.
- Produce an inventory of needs and priorities, as specified by the IRR, in regard to transportation infrastructure and service improvements on the reservation.

Through a comparative review of the application, final product, and in-depth interview with the grant recipient, ICF determined that the contracted scope of the project was completed.

Goals Achieved by and/or Promoted by Grant

- ✓ Transportation Safety ✓ Transportation System Management and Operations ✓ Title VI
- ✓ Road Safety

Perspectives on Implementing the Project and its Impacts

ICF captured the following findings through an in-depth interview with the planning grant recipient.

Project Status

As of early 2009, the status of the project is as follows:

- Given that the plan was for a 25-year period, only the most highly prioritized projects of the transportation plan have been implemented or are in construction design.

Challenges

- Despite the widespread community education efforts, residents and stakeholders remained somewhat suspicious of the planning process. Private groups and public agencies, for instance, are protective and concerned of relinquishing control over private roads such as logging roads, fire access roads, and other emergency access routes.
- Yurok Tribe members reported a lack of understanding of how transportation funding works that made it difficult to compete for funding. They attended a transit academy prior to undertaking the planning process, but staff capacity challenges still makes it difficult to compete for funding, such as at the local COG level.
- The Tribe government reported a significant amount of administrative work associated with the Caltrans grant, especially related to itemizing expenses and costs; they noted that a lot of diligence is needed before getting reimbursed for state funds.
- A perception that Caltrans has not always worked cooperatively with tribes was an initial challenge to overcome in gaining community support for the grant application and process. There was a degree of skepticism among the community, but tribal staff knew it had to establish a partnership in order for the project to succeed.

Successes

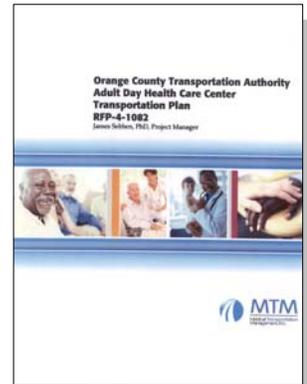
- Prior to the Caltrans project, funding to the Tribe from the IRR program was roughly \$30,000 a year, but now, with the transportation plan in place, the Tribe has received \$1.3 million, the largest share in California. Importantly, tribal planners reported an increase of procedural knowledge after participating in the Caltrans and subsequent IRR program planning process.
- The Tribe has hired a transportation manager and a planner, in addition to two maintenance workers.
- For the previous 15 years, it was reported that the Yurok Reservation had minimal road maintenance, which would respond only in the case of disasters. With the plan in place, 25 percent of the Tribe's funding goes toward road maintenance.
- After adoption of the transportation plan, the Tribe implemented an early-stage transit service by applying for and winning five transit grants. Initially conceived as a community bus service, the Tribe decided to buy new buses, acquired grants for drivers, and formalized the service. The Tribe is also in the planning stages for a ferry service on the Klamath River that would function as both a commuter service and tourist attraction.
- Recently the Tribe has applied for funding through the federal Economic Stimulus Package for so-called "shovel ready" projects identified and prioritized through the Transportation Plan.
- The collaboration between the Tribe and other agencies was the most important process-related outcome of the transportation plan. The Yurok Tribe reported that in some ways, it re-educated Caltrans and other agencies that own roads within the reservation; they had to be convinced that allowing the Yurok Tribe to include their roads in the inventory was going to ultimately help the regional network of roads by obtaining alternative revenue streams for the various routes.
- Collaboration with other tribes in the area took place in the form of a work group, and is also considered a success of the project. Together the tribes agreed to not include roads in their respective inventories that were within areas shared with other tribes. This agreement was reached in order to avoid historical disagreements and to demonstrate commitment to the larger goal of collaboration.

Update Orange County Area Plan for Adult Day Health Care Services (Transportation Element of Plan)

Grant Award Amount:
\$50,000

Grant Cycle:
2003/2004

Recipient: Orange County Transportation Authority
Sub-Recipient: Orange County Community Services Agency/
Office on Aging



Summary of Project

The purpose of the project was to develop an update to the transportation component of the Orange County Area Plan for Adult Day Health Care Service (ADHC). A survey and data analysis was conducted throughout Orange County and neighboring border counties. This included assessing demographic information, applying Geographic Information Systems technology, and convening special Orange County ADHC Planning Council meetings to review the data and receive public input. After updating the plan, it is the intention of the Orange County Transportation Authority to assist in managing future demand for the ACCESS Program (Orange County Transportation Authority's shared-ride service for people who are unable to use the regular, fixed-route bus service because of functional limitations caused by a disability), as well as assist ADHC center operators identify the most cost-effective transportation mode for their clients. Additionally, the data generated by this effort is intended to provide new and valuable information that will be critical to the long-range planning conducted by the Orange County Transportation Authority, CalOptima (a public healthcare agency), Orange County Office on Aging, and the County Health Care Agency.

Population Served

The population served is the senior population in Orange County. According to the Center for Demographic Research at California State University, Fullerton, there are approximately 290,000 individuals in Orange County 65 years of age or older, and approximately 380,000 aged 60 years and older. By 2020, this total is expected to increase by nearly 80 percent to approximately 520,000. Approximately 25 percent of seniors 60 years of age and older are minority and approximately 6 percent are living at or below poverty.

Scope

The scope of the project, as stated in the application, consisted of five primary tasks:

- *Status Analysis:* Review and analyze the status of the current transportation needs of the ADHCs and provide a summary report.
- *Orange County Transportation Inventory:* Investigate and analyze senior transportation services to determine the number and type of fleet, average number of clients currently served, maximum capacity, fare charges, amount of subsidy owner/operator received per trip, and average range of services by miles traveled.
- *Demographic and Mapping Analysis:* Analyze existing senior demographic information, existing 2010 projected senior demographics, and projected growth in ADHC centers through 2010, and develop maps that depict demographic data and future ADHC facility locations.

- *Project Meetings:* Gather stakeholder input to review study findings and transportation options by allow for public input through public hearings and by attending ADHC Planning Council committee meetings and other public meetings.
- *Final Plan:* Compile all transportation data and develop a final ADHC Plan that includes recommendations, cost benefit analysis, and best practices.

Through a comparative review of the application, final product, and in-depth interview with the grant recipient, ICF determined that the contracted scope of the project was completed.

Goals Achieved by and/or Promoted by Grant

- ✓ Transportation System Management and Operations ✓ Coordination of Non-Emergency
- ✓ Transportation Services ✓ Regional Connections

Perspectives on Implementing the Project and its Impacts

ICF captured the following findings through an in-depth interview with the planning grant recipient:

Project Status

As of early 2009, the status of the project is as follows:

- From the research resulting from this project (e.g., transportation data; quantification of transportation needs and paratransit demand), the grant recipient was able to successfully identify and implement a new public-private paratransit service model. The new service saves the Orange County Transportation Authority money by lessening the overall demand for their paratransit services while not causing a significant increase in health care center costs for their clients. This paratransit model is being used today to provide affordable paratransit services to clients.

Challenges

- The project team chose a non-local contractor in order to diversify its selection of contractors, but because the contractor was not as familiar with Orange County's political players and geography, the research process may not have been as inclusive as it could have been if a more local contractor was chosen.

Successes

- Since adult health care facilities are dispersed throughout the region and there is a projected significant increase in adult health care transportation demand over the next ten years, the project team needed to explore other means for providing transportation service to this vulnerable population. The update of the plan was seen as a first step to managing adult health care transportation in Orange County. Based on targeted research conducted under this study, the project team was able to successfully identify a model that would make the current paratransit system operate more efficiently. As such, the plan acted as a catalyst for implementing the effective private-public paratransit model that operates today.
- Because the project's study group was comprised of a mix of agency stakeholders that were collectively responsible for moving the initial research forward, they were also the first advocates to promote the new paratransit model, which helped to ensure its implementation.
- This Caltrans planning grant built off of a Paratransit Growth Management Study that was completed in 2004. That project assessed paratransit service as a whole and identified strategies that the County could use to control demand on paratransit service. From that study, the County was able to determine that one-third of paratransit demand is generated by adult health care center trips. That plan helped to identify a new research need and justified the request for funds from Caltrans for this study.
- In terms of long-range planning, this project provided the agency with the ability to specifically quantify the effect of increased demand on the paratransit system. Prior to this planning study, the agency knew the paratransit trips that were generated by the elderly, but the data generated through this study gave the agency a framework to target specific adult day care centers that should be prioritized and incorporated into agreements in the private-public model. Those centers were typically the ones that had clients from all over the county traveling to them because they offered a niche facility or service (e.g., served the needs of a particular ethnic group).
- The resulting service provided by the private paratransit provider has been shown to be a better fit for serving the needs of this population. The private paratransit provider's travel times are much lower, so clients spend less time traveling, and they tend to provide a higher level of customer service than the County can offer. Consequently, the subsidized services are more appropriate to meeting the needs of this population, while at the same time reducing the costs to ACCESS.

2004/2005 State Highway Congestion Monitoring Program (HICOMP)

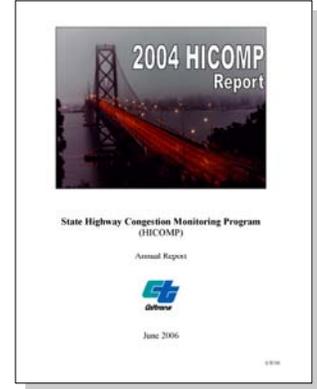
Grant Award Amount:

\$50,000
(used as match for federal funding of \$200,000)

Grant Cycle:

2004/2005 and 2005/2006

Recipient: Traffic Operations/District 51/System Management Planning



Summary of Project

The purpose of this study was to quantify the level of traffic delay on California's urban highways. The final product was a statewide annual report, with data and a route segment spreadsheet, reporting on the level of congestion on California's urban freeway segments that have a history of recurrent congestion. The route segment spreadsheet is used to numerically depict the results of the district and state monitoring efforts. An annual HICOMP report has been developed each year for the past 17 years. System Metrics Group, Inc. compiled the data, performed the analysis, and prepared the report.

Population Served

State of California.

Scope

The scope of the project, as stated in the application, was to:

- Collect data from Districts 3-12.
- Analyze data and prepare speed plots.
- Prepare congestion maps and summary tables.
- Prepare draft 2004 HICOMP report.
- Prepare new format congestion report utilizing improved performance measure concepts.
- Develop final report and route segment spreadsheets.

Through a comparative review of the application, final product (which only included the report, not the route segment spreadsheet), and in-depth interview with the grant recipient, ICF determined that the contracted scope of the project was completed.

Project Status

The 2004 HICOMP Report was completed. Traffic Operations is making this reporting a more recurrent and comprehensive practice; they are employing new technologies that quantify traffic delay and are transitioning toward fully-automated monitoring of traffic delays that electronically capture and record the speed and volume of traffic. In the future, Traffic Operations would like to be responsible for conducting more of the analysis for the report and become less dependent on the contractor for data collection, data analysis, report writing, and spreadsheet development.

Goals Addressed by and/or Promoted by Award

- ✓ Safety ✓ Reliability ✓ Performance ✓ Flexibility ✓ Productivity ✓ Equity ✓ Environmental
- ✓ Economic Development

Perspectives on Implementing the Project and its Impacts

ICF captured the following findings through an in-depth interview with the grant recipient.

Project Status

As of early 2009, the project was complete.

Challenges

- There are challenges to finding a stable source of funding for the HICOMP report. The HICOMP report has been funded by the TPSS program for the past six years, but the TPSS program was developed to provide funding for *special* transportation studies, which the HICOMP is not. Traffic Operations is looking for a more stable funding source, but in the meantime, Traffic Operations continues to apply for TPSS funding.
- Traffic Operations included personnel training in their TPSS application last year in an effort to become less dependent on a contractor to develop the annual HICOMP report, but the Office of State Planning would not fund the personnel training. Traffic Operations would have liked to have trained staff to perform the tasks the consultant is currently doing. The interviewee believes that the report could include more local analyses if Traffic Operations was developing the report internally.
- Traffic Operations' in-house procurement process needs to be more streamlined.
- To address the lack of uniformity throughout the state in how data is collected, analyzed and calculated, Traffic Operations transitioned each district to GPS data collection from mechanical tachometers. However, Traffic Operations has yet to install a uniform methodology for performing calculations and analysis. They are currently addressing this through their Performance Measurement System.

Successes

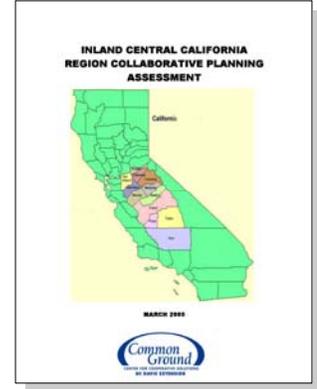
- The project team worked well together; traffic Operations was in constant contact with the contractor for the duration of the project, and was able to secure the support of Caltrans management when necessary to move the process forward.

Collaborative Planning for Highway 99, San Joaquin Valley Phase I

Grant Award Amount:
Not Available

Grant Cycle:
2003/2004

Recipient: Division of Transportation Planning, Office of Regional
and Interagency Planning



Summary of Project

The purpose of this study was to assess the current state of collaborative planning within the twelve counties of San Joaquin Valley, and to recommend options for further collaborative planning. The 12-county area, referred to in the report as the Inland Central California Region, is experiencing the confluence of tremendous growth and transportation pressures in a resource-rich area that includes highly productive agricultural land. The report assesses the current status of collaboration in the area, including the issues on which collaborative planning is taking place, the people and processes involved in collaboration, and the barriers to and opportunities for collaborative planning. The University of California at Davis Extension conducted research that included 160 interviews with people representing the public, private, and nonprofit sectors to examine the current state of collaborative planning and opportunities for further collaborative planning in the 12-county area. Study results were documented in a report entitled "Inland Central California Region Collaborative Planning Assessment," which was disseminated to stakeholders including interviewees, Caltrans district offices located within the region, and executives and managers in state government (e.g., California Environmental Protection Agency, California Air Resources Board).

Population Served

The Inland Central California Region (Amador, Calaveras, Fresno, Kern, Kings, Madera, Mariposa, Merced, San Joaquin, Stanislaus, Tulare, and Tuolumne Counties).

Scope

The scope of the project, as stated in the final product, was to:

- Conduct interviews regarding collaborative planning in the Inland Central California Region in order to examine the current state of collaborative planning and potential opportunities for further collaborative planning in the 12-county area.
- Develop a report including information learned from interviewees and recommendations for action.

It was unclear if the original application for this product was included in the project file provided by Caltrans. However, through a comparative review of the final product and in-depth interview with the grant recipient, ICF determined that the contracted scope of the project was completed, based on the interviewee's explanation of the project's goals and objectives. ICF reviewed the amendments to the original project, but a thorough review was not possible due to the constraints and lack of complete information.

Goals Addressed by and/or Promoted by Award:

✓ Performance ✓ Flexibility ✓ Productivity ✓ Equity ✓ Environmental Preservation ✓ Economic Development

Perspectives on Implementing the Project and its Impacts

ICF captured the following findings through an in-depth interview with the grant recipient.

Project Status

As of early 2009, the project was complete. Since the completion of this project, the University of California at Davis Information Center for the Environment has continued to support collaborative planning through integrative modeling and mapping funded through subsequent TPSS grants. Maps developed by the University layer environmental data and socioeconomic data to understand land-use changes and plan future transportation projects. The University's work in this area has also been supported through two new initiatives—a State initiative called the Regional Blueprint Planning Program, and a new public-private partnership for the San Joaquin Valley that was created through an executive order passed by the Governor. The same stakeholders involved in this grant were appointed to the new public-private partnership. The Regional Blueprint Planning Program awarded a grant to eight Metropolitan Planning Organizations (MPOs) in the San Joaquin Valley for integrated planning to consider transportation, housing, and the environment when making land-use decisions.

Challenges

- The contractor (the University of California at Davis Extension) took longer than expected to finalize the report. This was due in part to the Office of Regional and Interagency Planning's delay in sending comments to the contractor.

Successes

- Project results were distributed throughout the state and the report is available online at <http://www.dot.ca.gov/hq/tp/offices/orip/inland.html>.
- Input for the report was provided by 160 stakeholders. Their input was critical to having an extensive report that met the goals of the project.
- This project helped strengthen partnerships between Caltrans and other state agencies and Metropolitan Planning Organizations.
- The Division of Transportation is now working on collaborative planning with the whole state.
- The interviewee stated that she successfully monitored the project to ensure that benchmarks initially defined in the application were achieved. Benchmarks included: stakeholder interviews, drafting interview summary results, monthly meetings, providing report comments to the University, and distributing the final report. The interviewee noted that monitoring is important when working with a university because the academic calendar differs from that of the government.
- The interviewee stated that the overall management and administration of the TPSS program by the Office of State Planning has improved over the years. The Office has become better at explaining the TPSS application, and the funding process and outreach to applicants has improved.

Collision Reporting, Diagramming and Investigation Tracking

Grant Award Amount:
\$625,000

Grant Cycle:
2003/2004

Recipient: Division of Traffic Operations,
Traffic Safety Investigations



Caltrans Division of Traffic Operations
(source:
<http://www.dot.ca.gov/hq/traffops/systemops/hov/>).

Summary of Project

The purpose of the study was to support the customization of software that would use data from the departmental database (a subset of the Caltrans' Transportation Systems Network (TSN)) to automatically generate accurate collision diagrams (ACD). The work was completed with assistance from the contractor VISUAL Statement Inc. (VSI) and Caltrans Information Technology staff. This software was tested and implemented statewide. A benefit of this tool has been the elimination of translational errors that were frequently generated in the old process of manually preparing collision diagrams.

Population Served

State of California.

Scope

The scope of the project, as stated in the post-evaluation, was to:

- Develop and sign a contract for purchasing software and service that would customize the automated collision diagramming software application for VSI.
- Test software application extensively, and evaluate the utility and performance of the software before general release.
- Conduct product trainings for department users.
- Finalize system for distribution, installation, and implementation for use by the Department's engineers and collision investigators statewide.
- Roll out system statewide.

Through a comparative review of the application and in-depth interview with the grant recipient, ICF determined that the contracted scope of the project was completed. ICF was unable to review the final product because it was not provided by Caltrans.

Goals Addressed by and/or Promoted by Award:

✓ Safety ✓ Reliability

Perspectives on Implementing the Project and its Impacts

ICF captured the following findings through an in-depth interview with the grant recipient and from the post-implementation evaluation report provided by Traffic Safety Investigations at the completion of the project.

Project Status

As of early 2009, the project was complete. The Division is currently in the testing stage and is working to enhance the software. The enhanced software will make it possible to run multiple queries, thereby improving the efficiency of the tool.

Challenges

- Technical difficulties with TSN delayed the statewide implementation phase of ACD.
- The process could have been improved if the contractor had disseminated all materials to the regions. The contractor provided the initial software guidelines to the regions; however, the Division of Traffic Operations and the regions were responsible for disseminating the revised software guidelines.
- Changes in personnel and staff time commitments put extra burdens on task members who consistently worked on the project.
- Limited availability of headquarters IT personnel to assist with software implementation in CA districts impacted the learning process for the end users, and became an issue when difficulties arose.

Successes

- The system helps investigators visualize potential problems on roadways, which should help prevent highway accidents from occurring.
- The system allows investigators to filter accidents by criteria (e.g., time of day, vehicles involved), which should help to ultimately reduce the number of accidents on state highways.
- The interviewee stated that the Office of State Planning's overall process for distributing funding (e.g., paying invoices) went smoothly for this project.
- The applicant set timeframes for testing and training investigators who would use the system; she successfully monitored all benchmarks (e.g., testing software, conducting product trainings, finalizing the system for distribution, installation, and implementation).

Economic Impact of Delays at the Border to Freight Movement and Trade

Grant Award Amount:
Not Available

Grant Cycle:
2004/2005

Recipient: Caltrans D11, Regional Planning Branch



Summary of Project

The purpose of the study was to estimate the impact of delay on cross-border goods movement and trade between California and Baja California. Caltrans District 11 and the San Diego Association of Governments (SANDAG) contracted with HDR|HLB Decision Economics Inc. to assess the economic impact of border wait times, using two broad categories of traffic: (1) cross-border personal trips for work, shopping, recreation and vacation purposes, and (2) cross-border freight movements. Assessments were performed on both sides of the border at the local, regional, and national levels through economic modeling. Impacts on business output, labor income, and employment were estimated using local, regional, and national economic multipliers. Findings from the study were documented in a report entitled "Imperial Valley – Mexicali Economic Delay Study."

Population Served

Imperial Valley – Mexicali Border Region.

Scope

- The scope of the project, as stated in the application, was to:
- Collect data and perform a literature review.
- Develop/refine economic model.
- Formulate key assumptions related to the economic impacts of border wait times.
- Populate the model and run simulations.
- Estimate economic impact on U.S. side.
- Estimate economic impact on Mexican side.
- Report and present findings.

Through a comparative review of the application and final product, ICF determined that the contracted scope of the project was completed. Although ICF contacted the grant recipient to schedule an interview, ICF was not able to conduct the interview due to scheduling conflicts with the grant recipient.

Goals Addressed by and/or Promoted by Award

✓ Reliability ✓ Performance ✓ Productivity ✓ Economic Development

Perspectives on Implementing the Project and its Impacts

ICF captured the following findings through an evaluation of the grant recipient's post-evaluation.

Project Status

As of early 2009, the project was complete.

Challenges

- The applicant stated that the State Planning and Research (SPR) process could be improved by providing applicants additional time to prepare requests.

Successes

- The project's recommendations were shared with the following planning and local government councils: SANDAG Board of Director and policy committees and working groups, San Diego Regional Chamber of Commerce, the South County Economic Development Council, and the San Ysidro Chamber of Commerce.
- Findings were shared with the following professional organizations: Institute of Transportation Engineers, Women Transportation Seminar, California Planning Roundtable, and Organization of Women in International Trade.
- Presentations were given to: Commissioners from the California Transportation Commission, the 2006 California Transportation Planning Conference, and Border Governors' Work Tables.
- Presentations were given to binational committees such as the U.S.-Mexico Joint Working Committee, and in Tijuana, Baja California, findings were shared with: Governor Elorduy, the Tijuana City Council, Tijuana's Consejo Coordinador Economico.
- Presentations were also made to local, state, and federal elected officials and staff.
- A project web page was developed on the SANDAG Web site; technical memoranda, fact sheets, reports and presentations were posted on the Web site. Several of these materials were translated into Spanish to expand the communication range of the project.

University Transportation Center (UTC) Project

Grant Award Amount:
\$625,000

Grant Cycle:
2003/2004

Recipient: Division of Research and Innovation Planning



University of California Transportation Center
(<http://www.dot.ca.gov/research/planning/images/ucb.jpg>)

Summary of Project

TPSS funding was used by California University Transportation Center (UTC) to continue activities and transportation research conducted at three UTCs: the National Center for Metropolitan Transportation Research (METRANS), the University of California Transportation Center (UCTC), and the Mineta Transportation Institute (MTI). TPSS funding was used as a state match for funding received through the Council of University Transportation Centers (CUTC), which is administered by the U.S. Department of Transportation. The CUTC provides funding to a network of over 80 colleges and universities in 42 states to improve and enhance research and education in transportation and related areas.

Funding was specifically used for: 1) conducting research; 2) organizing workshops and symposia to disseminate information and research results; and 3) administrative costs. The TPSS grant award likely funded 10-15 research projects (e.g., developing strategies for managing merges on freeways; developing a model of large developer behavior at the urban fringe; identifying socio-economic demographic characteristics of pedestrian accident victims).

Population Served

State of California.

Scope

The scope of the project, as stated in the application, was to conduct transportation research and disseminate results to public entities addressing transportation-related issues.

Through a comparative review of the application and in-depth interview with the grant recipient, ICF determined that the contracted scope of the project was completed.

Goals Addressed by and/or Promoted by Award

✓ Safety ✓ Flexibility ✓ Equity ✓ Environmental Preservation ✓ Economic Development

Perspectives on Implementing the Project and its Impacts

ICF captured the following findings through an in-depth interview with the grant recipient:

Project Status

As of early 2009, the project was complete.

Challenges

- TPSS funding is limited and the Division of Research and Innovative Planning thinks that funding should be distributed to projects with more specific planning-related needs. Therefore, the Division of Research and Innovation Planning is no longer applying for TPSS funding for CUTC match funding.
- The Division of Research and Innovation Planning would like to enhance their capabilities for disseminating research results, especially to a broader public audience.
- According to the interviewee, it was difficult for the grantee to determine what to include in summary reports to the Office of State Planning because funding was not provided for a specific project.

Successes

- According to the interviewee involved with this project, the TPSS selection process during one grant cycle was transparent and straight-forward. The process used by the selection committee was fair and thorough.

4. EJ/CBTP Recommendations

This section provides recommendations to Caltrans for how to improve the administration of EJ and CBTP grants, as well as project development and implementation of final products funded by grant funding. The team developed recommendations based on the findings captured from survey, interview, and focus group participants involved in the EJ and CBTP planning grants program. The team assessed respondents' feedback about Caltrans' administration of the grant program, as well as individual perspectives on the successes and challenges of completing the funded projects and moving them to the next phase of project development. Recommendations are organized by the following three categories:

- Grant Administration Process
- Grant Project Development
- Grant Project Implementation

4.1. Grant Administration

This section provides Caltrans with recommendations for how to improve the administration of the EJ and CBTP planning grants program. ICF developed the following recommendations based on research acquired from surveys, interviews, and focus groups conducted with grant recipients and District staff.

Recommendation: Clarify Program Management Policies and Procedures and HQ/District Staff Roles and Responsibilities Before Each Award Cycle

District staff and grantees who participated in the grant evaluation cited several instances when miscommunication between District and Headquarters staff resulted in the grantee receiving incorrect information or experiencing delays in receiving answers to inquiries. Examples cited included questions about allowable expenses, changes in grant recipient eligibility, and application scoring.

It is recommended that Headquarters clarify program policies and procedures and HQ/District staff roles and responsibilities by holding a kick-off meeting/webinar at the beginning of each grant cycle. The meeting should discuss the following topics:

- Changes to the grant program
- Roles, responsibilities, and contact information of program staff
- Proposal development assistance for awardees
- Contracting and invoicing process
- Monitoring guidelines
- Project-close out process
- Frequently asked grantee questions

Time should be reserved for question and answer at the end of the meeting. In addition to presentation at this meeting, a full package of the above information should be provided to all program staff in writing.

It is also recommended that Headquarters increase the transparency of the application evaluation process by providing District staff with reasons why the proposed project was not funded, so District staff can provide feedback to applicants if requested.

Recommendation: Consolidate Redundant Questions in Grant Applications

Some of the grantees ICF interviewed were applying for funds in the FY 2009/2010 grant cycle. There was a general consensus among these grantees that the FY 2009/2010 grant cycle contains redundant questions. Respondents tended to re-state answers provided for previous questions because they could not differentiate between the objectives of the questions.

It is recommended that Caltrans consolidate similar application questions. The following are examples of questions with similar content on the EJ application for FY 2009/2010 and recommendations for how to consolidate the questions:

- **Questions that focus on the project summary**

- Question 1A: Briefly summarize the project.
- Question 2A: Define the project.

Recommendation: Eliminate Question 2 A

- **Questions that focus on how applicant intends to encourage public involvement in the project**

- Question 5E: Reflect Community Values: Finding transportation solutions that balance and integrate community values with transportation safety and performance, and encourage public involvement in transportation decisions.
- Question 6B: 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.

Recommendation: Rather than have applicants restate answers to similar questions, give applicants the option to respond to a redundant question by citing another section of the application that answers the same question (as applicable).

- **Questions that focus on problems addressed by the project**

- Question 3A: Describe how the project will address the identified problems and/or efficiencies.
- Question 4A: Describe how the project addresses transportation and economic development issues in low-income, minority, Native American, and underserved urban and rural communities.

Recommendation: Consolidate Question 3 and Question 4 to read: List and describe the problems and/or deficiencies the project is attempting to address. One problem and/or deficiency the project must address is a transportation and economic development issue in low-income minority, Native American, and underserved urban and rural communities.

- **Questions that focus on deliverables**

- Question 2C: List the project's anticipated accomplishments and final deliverables.
- Question 8A: List the Scope of Work.

Recommendation: Eliminate Question 2C and edit Question 8A to read: List the Scope of Work, including interim and final deliverables.

Questions in the CBTP application can be consolidated in a similar manner.

It is also recommended that Caltrans add or augment applications questions that will further evaluate an applicant's ability to address common challenges that arise during the project development and project implementation phase. This will increase the likelihood that funded projects will be successfully planned and implemented. These recommendations are included in the following Project Development and Project Implementation sections.

Recommendation: Enhance Marketing and Outreach Efforts, Before and After Award

Grantees were generally satisfied with Caltrans' marketing and outreach for the planning grants program, but noted that it would be informative if they could access more examples of projects Caltrans has funded in the past. Reviewing past projects assists applicants in developing competitive proposals of their own.

It is recommended that Caltrans provide information on funded projects through the following methods:

- Showcase successful projects at grant information sessions. Grantees and district staff who attended exhibit sessions indicated that this practice is not currently in place for all grant workshops. Exhibit sessions would provide applicants with examples of projects that Caltrans considers model projects, and would allow applicants to informally pose questions to grantees.
- Post detailed project profiles for all funded grants on program website, including the executive summary of the final report or links to the final report. Grantees should be required to fill out a project profile as part of the project close-out process.

Recommendation: Streamline Contracting Process

The most common reason grantees provided for experiencing difficulties in meeting project deadlines was the length of the State's contract preparation period. District staff has indicated to ICF the typical contract preparation period is three months, but some grantees have indicated it has taken six months to as long as a year in extreme cases for Caltrans to release the funds. Some grantees noted that they underestimated the contracting period in their project timeline, and have rushed to complete the project by the deadline or required a deadline extension to complete the project.

It is recommended that Caltrans identify solutions to shorten the contract preparation process. In addition, the grant application should instruct applicants to build a specified number of months of contracting period into their project timeline. If grantees need to begin the project during the contracting period, Caltrans should suggest that grantees use their matching funds to cover the first tasks, if feasible.

Recommendation: Standardize Project Monitoring Guidelines

District staff and grantees indicated there is no common guideline for District staff to monitor the progress of projects. In addition, the time District staff devotes to project monitoring and development varies according to District office.

It is recommended that Headquarters and District staff develop guidelines to standardize project monitoring across Districts. Guidelines should describe: which indicators should be measured (e.g., project completion, project budget burn rate, and project quality—in addition to progress on milestones listed in the application), how progress should be monitored (e.g., How do you monitor the work of a contractor? What project records need to be maintained for audits?), and how often project progress should be assessed.

In addition, District offices should communicate project benchmark requirements to grantees prior to project commencement so grantees are aware of the benchmarks District staff is tracking to indicate project progress.

Recommendation: Refine Year-End Close-Out Process and Recordkeeping

Several of the project files (e.g., application, product, post-evaluation) provided by the Office of State Planning for evaluation were incomplete. For example, several files did not include post evaluations. Some of the files did not include final products.

It is recommended that Caltrans take the following actions to refine the year-end close out process:

- Develop a one-page overview of the year-end close out process that reviews the steps that must be taken to close the project. In particular, the overview should stress the importance of providing a detailed project profile which includes project successes and challenges and an executive summary of the final report or links to the final report.
- Develop a record keeping system to maintain complete, organized files for each project. This may be useful for information sharing between the Office of State Planning and former, current, and future awardees.
- Post an online survey that grantees can use to provide feedback about the grants program and the funded project.

4.2. Grant Project Development

This section provides Caltrans with recommendations for how to improve project development after EJ and CBTP grant funds have been administered. ICF developed the following recommendations based on research acquired from surveys, interviews, and focus groups conducted with grant recipients and District staff.

Recommendation: Require Approval to Modifications of Scope of Work

In several instances, projects appear to have extended beyond the initial scope of work. Such projects have started out with a specific focus, but then expanded into a related but entirely separate set of tasks. Often the changes evolved organically as a result of ongoing feedback from the community. Although it is important to remain receptive to a community's needs in order to maintain grantees' involvement, augmenting the scope or increasing the initial level of effort required to meet expanded goals can place a significant strain on a project's limited resources. And although those projects that were expanded in scope are still reported to have successfully completed their tasks, permitting "scope creep" may at some point compromise grantees' abilities to meet Caltrans' program goals. Diffused energy on the part of the project teams can potentially cause the original project's success to be impacted.

To remedy this issue, Caltrans should continue to be flexible with their grantees—allowing them to expand and/or modify their projects especially when based on the feedback of the stakeholders—but it is recommended that grantees be required to request a review from Caltrans to collaborate on all scope changes to formalize modifications and approvals. This will also help to ensure that changes are tracked and reflected in project documentation throughout the life of the project.

Recommendation: More Effectively Balance Organizational Capacity and Project Workload

A tendency existed among many grantees, and particularly among the nonprofit organizations, to take on a heavier project load than the capacity of the organization—or the funding—would allow. Some grantees found themselves strained with more work than they expected or funding would allow, requiring organizations to stretch and, in effect, perform pro-bono to finalize the projects. To prevent this from occurring, grantees should develop accurate accounts of the amount of work that needs to be performed, define the expected roles of the various project partners, and most importantly, estimate the required levels of effort by staff needed to perform the work.

To assist with this effort, Caltrans can request an organizational chart with background and expertise about the specific staff members that will lead the planning grant efforts. Caltrans should specifically require grantees to identify the hours (or percentage of time) per week that will be needed from each staff member assigned to the project. Although estimates, stating such information early in the project will require grantees to more fully consider the work load for which they will be responsible to complete. In addition, Caltrans can develop and supply grantees—especially first-time grantees—a list of commonly-experienced project development obstacles or issues.

Recommendation: Incorporate Capacity Building about the Transportation Planning Process into Planning Grants Program

Project managers, staff, and community stakeholders could benefit from education and training about the transportation planning process. Few of the individuals interviewed during this assessment were transportation planners—many were professional civil servants or community-based nonprofit administrators. The success of project development could be enhanced by ensuring that key stakeholders are aware of various components of the transportation planning process, especially if they are encouraged to learn from each other. ICF recommends that Caltrans identify ways to expand capacity building, whether through regional trainings, conferences for current and former grantees, or development materials that provide best practices.

Recommendation: Bridge the Knowledge Gap in Transportation Funding

The planning and funding processes for transportation projects are complex and, at times, overwhelming. Grantees reported a particular need for capacity building related to transportation funding. Therefore, Caltrans should more broadly disseminate easy-to-understand knowledge related to the processes involved in transportation funding. This could be done through the website and via brochures that can be provided through District liaisons.

Recommendation: Build Off of Past or Current Projects to Maximize Momentum

A common challenge among California municipalities is a shortage of human and financial resources; as such, municipalities are often behind on planned infrastructure and capital

investments, to say nothing of planning the next generation of improvements. Based on the assessment for this project, the Caltrans planning grants appear to have functioned effectively as seeds to initiate planning or studying solutions that are specific and responsive to community concerns; however, these funds are not intended to play a role in implementation (e.g., construction funding). Therefore, there appears to be a time period *after* a project has been initiated but *prior* to implementation where Caltrans planning grants could have a significant impact.

It is recommended that Caltrans consider funding Phase 2 studies or plans that can bring existing or previously-funded conceptual plans closer to implementation. This could mean funding such projects as impact analyses or feasibility studies. This would move Caltrans projects forward and help avoid having Caltrans-funded plans “sit on the shelf” while waiting in line for capital funds to become available for project implementation.

Recommendation: Use Product for Public and Community Exposure

In many ways, the plans and studies that Caltrans has funded have been innovative and cutting-edge, and a few have even received accolades and awards from reputable planning organizations. This attention can be leveraged to continue to work for the organizations and the Caltrans Planning Grants Programs, by bringing media exposure and community recognition that can extend the life for the projects and lead to new grants, funding, and powerful political and community allies. Though ICF does not recommend that Caltrans require grantees to create full-blown media plans, ICF does recommend that Caltrans begin taking steps toward asking grantees to consider a public relations strategy in their applications.

Recommendation: Encourage Management of Community Expectations—Emphasize Short-Term and Mid-Term Goals

Community members and partners who participate in the planning grant process often have uncertain or unrealistic expectations about what can be achieved in the planning recommendations process, and how quickly recommendations can be implemented. Physical changes to the built environment can take a long time, and in the view of the community, their invested participation in project development can appear fruitless. Such a sentiment can discourage the project team, and can also hinder future community engagement efforts. For those reasons, ICF recommends that Caltrans remind grantees of the extended timelines (e.g., 3 to 5 years) often required for complex planning process to be completed, and to be available to facilitate discussions that could assist with managing the community’s expectations about how quickly changes can be achieved.

For its part, Caltrans can require that projects either identify or address short-term and mid-term implementation priorities that result in tangible and specific changes to the built environment that are easily perceptible to stakeholders. For instance, a traffic calming project’s short-term priority could be installing speed limit signs, while one long-term priority could be realigning a street or road.

Recommendation: Encourage Concise and Innovative Community Engagement Strategies

One of the top reasons grantees offered for missing contract deadlines was community participation processes that lasted longer than expected. Grantees working with well-informed and well-organized community groups often discovered that the number of community meetings or workshops proposed in their scope of work did not satisfy the community. Community

members requested additional information or steps, which had the effect of delaying the project schedule and requiring additional expenditure of staff time that should have been spent on subsequent project tasks.

Although Caltrans should not dictate how community engagement takes place, ICF recommends that Caltrans develop a guide on successful community outreach strategies and techniques that can assist grantees with employing higher-impact advertising (thus condensing the outreach timeframe), and increasing the effectiveness of meetings (thus reducing the number and duration of meetings). These approaches could include the following:

- Advertising meetings in traditional and new media, and placing meeting information on electronic traffic signs typically used to indicate impending construction or delays.
- Employing live voting technology that allows attendees to use their cell phones or email to vote immediately on a given issue, allowing facilitators to quickly present cumulative opinions rather than at a next meeting.
- Providing on-site designers and professional facilitators at meetings who can provide a rough visual representation and develop meeting attendees' suggestions.
- Compressing the outreach timeframe by creating weeklong design/planning fairs where activities are condensed into the span of three to four days.
- Ensuring grantees are present at any meeting to assuage community fears that an outside consultant may be completely shaping a local vision.

Recommendation: Create a GIS Database that Maps Project Boundaries

Given that Caltrans plans and studies are conducted in different geographic locations throughout the state, Caltrans should consider developing a public GIS database to map and store the project boundaries for all planning grants projects. Such a database could be accessible to all present and past grantees, could include project contact information, and could be accessed via the Caltrans website. Since this database could function as the institutional memory of all present and past projects, this could be a resource for tracking projects and leveraging funds over the long term while assisting with moving plans to the development phase. Perhaps in the short term, an internal-use-only database could be developed that could facilitate decision-making during budget negotiations and would help direct capital funds towards potential projects with existing plans.

4.3. Grant Project Implementation

This section provides Caltrans with recommendations on how to support efforts to move funded planning products to the next phase of project development. ICF developed the following recommendations based on research acquired from surveys, interviews, and focus groups conducted with grant recipients and District staff. Currently, EJ and CBTP planning grants do not require that a funded project be implemented to receive funding. However, Caltrans provides funding with the intent that planning products eventually be carried forward to the next phase of project development or incorporated into local, regional, or State plans or programs.

Recommendation: Develop Guidebook of Case-Study Strategies for Integrating Local Planning with Caltrans Policies

In collaboration with those communities with inadequate planning resources, (e.g., rural local governments), ICF recommends that Caltrans develop a guidebook that serves as a central resource for those communities that are attempting to integrate local solutions with Caltrans policies.

When it comes to implementing a plan, many of the communities that receive EJ planning grants have planning challenges that make it difficult to integrate local planning with Caltrans policies (e.g., insufficient right-of-way dimensions and degraded street structures). Therefore, Caltrans should produce a guidebook with a series of planning strategies for local municipalities to consider in response to a set of commonly-shared scenarios where local plans conflict with Caltrans policies. These could reflect a compilation of strategies that have been pre-tested and proven to be successful in comparable communities throughout California with similar local planning challenges (e.g., highways as pedestrian thoroughfares, downtown areas with insufficient streetscapes, etc.). The guidebook would also assist Caltrans district offices to approve suggested vision planning that affects the roadways that Caltrans maintains.

Recommendation: Require Applicants to Include Implementation Strategies in Application and Final Report

EJ and CBTP planning grant applications currently do not require the applicant to consider possible barriers to implementing a project once the vision plan has been completed. Consequently, the strategies and approaches that applicants develop for improving livability, mobility, etc. are often not tied to the actual availability of resources in the community—whether physical, capital, political, or other. Caltrans should require applicants to identify potential barriers to implementation and then propose strategies and tools that could address those barriers (e.g., identify new funding sources; defining existing plans similar to the proposed vision plan). This has the potential to increase the success of implementation and extend the longevity of the project.

After completion of the plan, the grantee could update the implementation strategy in the final project report. Examples of information that could be included in the final report include:

- A list of other planning projects (bicycle/pedestrian plans; City Master Plan; re-zoning plans) being pursued or carried out in the project area which may positively or negatively impact project implementation. These may be local “catalyst projects” that could serve to push or obstruct the completed plan or project in the implementation phase. Such catalyst projects could also serve to foster relationship-building between the grantee, Caltrans, and local government with the aim of updating zoning standards or other barriers that could impede implementation.
- A list of potential funding resources that could be used to financially assist moving the vision plan to the next level of implementation.

Recommendation: Expedite Permits for Funded Projects

After the plan is completed, right-of-way permits may need to be secured by the local government leading the work for the project to move forward, which Caltrans should assist in expediting. Local government may also need Caltrans’ assistance and approval when making aesthetic upgrades to Caltrans property along the street (e.g., the local government may need to appeal to Sacramento headquarters for access rights and agreements to replace degraded Caltrans fences).

To the extent that Caltrans has the authority, the agency should take a stronger lead in prioritizing and assisting the resulting plans that have been funded by planning grants, such as by prioritizing the issuance of permits in order to push a project through to the next phase of

implementation. A commitment by Caltrans to expedite permits for work that is directly related to a funded plan would maximize the value of Caltrans' initial funding grant investments.

Recommendation: Foster Linkages to State Funding

Capital funds are often needed to move a plan to the next phase of implementation. Given that many of these projects help the State meet Statewide goals of "complete streets," Caltrans can assist communities in identifying and acquiring appropriate capital funds. For example, Caltrans can advocate on behalf of local governments to acquire funds from the Statewide Transportation Improvement Program in order to help implement pedestrian-oriented streetscapes. Caltrans can also help with placing projects on regional transportation funding plans, and with advertising those projects across departments.

Recommendation: Promote Advocacy of the Project among Stakeholders

One Caltrans District staff member stated that the definition of a successful project is one that reinforces advocacy amongst district staff and former—as well as potential—grantees.

Districts should receive consistent direction from headquarters about how to promote community advocacy amongst grantees. In doing so, District staff that act as liaisons to grant recipients will more likely become invested in the success of the project, as well as the project's ability to move into the next phase of project development.

In addition, Caltrans can support grantee advocacy by allowing a portion of the grant funding to be used for training community organizations that play a significant role in the development of the planning project. Training could include such approaches as grant writing, project management, and public relations, to assist community organizations effectively advocate for funded projects.

In addition, while Caltrans already requires that grant projects secure matching local funds, Caltrans should also require grant recipients to demonstrate in their application how their proposed use of grant funds will further their overall vision and goals. By doing so, the grantee demonstrates a greater ownership of the plan and vested interest in moving the project to implementation.

Recommendation: Clarify Role of Each Stakeholder in Implementing the Funded Project

Planning recipients and other stakeholders have noted confusion over the roles and responsibilities of stakeholders in advocating for a project's implementation after grant funding ends. For example, District staff have questioned what the next step in project implementation should be after the last amount of funding has been administered to a planning grant recipient.

A common model seems to show that the primary responsibility falls on the community to pull together local transportation needs into a coherent vision. The plan is then given to an engineer integrate those needs into an implementable plan. From here, the technical plan goes to the City and/or Caltrans to be used to break ground through the application of capital funds.

Simultaneous engagement by Caltrans, the community, and local government has been viewed by grantees as critical in ensuring that a project moves to the implementation phase. To help clarify stakeholder roles, Caltrans could develop and organize a bi-annual workshop for former planning grant recipients and/or informational packet in order to clarify the precedent for the roles and responsibilities of the various stakeholders in order to ensure highest possibility of successful implementation.

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5. TPSS Recommendations

This section provides recommendations to Caltrans for how to improve the management and implementation of special studies funded through TPSS awards. The team developed recommendations based on the findings captured from feedback from survey and interview respondents involved in the TPSS awards program. The team assessed respondents' feedback about Caltrans' administration of the grant program, as well as individual perspectives on the successes and challenges of completing the awarded projects and moving them to the next phase of project development. Recommendations are organized by the following three categories:

- TPSS Administration Process.
- TPSS Award Special Study Development.
- TPSS Study Implementation.

5.1. TPSS Administration

This section provides recommendations related to administration of the TPSS program.

Recommendation: Clarify Program Policies and Procedures and Staff Roles and Responsibilities Before Each Award Cycle

Awardees have noted a lack of communication and coordination amongst headquarter staff administering the TPSS program. For example, one awardee noted that during one award cycle, several TPSS management staff requested the same information from an awardee. Another awardee stated that she is aware of how applicants may be impacted by the Office's lack of version control in administering TPSS awards.

It is recommended that the Office of State Planning define program policies and procedures and staff roles and responsibilities by holding a kick-off meeting/webinar at the beginning of each grant cycle. The meeting should discuss the following topics:

- Changes to the award program
- Roles, responsibilities, and contact information of program staff
- Proposal development assistance for awardees
- Contracting and invoicing process
- Monitoring guidelines
- Project-close out process
- Frequently asked awardee questions

Time should be reserved for question and answer at the end of the meeting. In addition to presentation at this meeting, a full package of the above information should be provided to all program staff in writing.

Recommendation: Clearly Define What Qualifies as a Fundable Project and Provide Examples

The TPSS Program was developed to provide funding to conduct one-time special transportation planning studies.¹ However, ICF reviewed several TPSS-funded projects that did not meet the TPSS definition of a one-time special transportation planning study—rather they were projects that received funding to support multiple transportation planning studies or ongoing research (e.g., the University Transportation Center Project and the 2004/2005 State Highway Congestion Monitoring Program). Although this flexibility in what defines a fundable project may promote worthy research projects, the inconsistency in selection is confusing to potential applicants. For example, one awardee who receives funding each year for the same annual study stated that he recently began adding additional tasks to his application—beyond the tasks that he normally includes for completing the annual study—so that, among other reasons, the study better fit the definition of a one-time special transportation planning study.

It is recommended that the Office of State Planning assess and evaluate the current definition of what qualifies as a fundable project to ensure that the projects selected for funding are helping the Office achieve the goals of the TPSS Program. If using the requirement for a one-time special transportation study, then a clear definition and examples of previously-funded projects should be provided.

Recommendation: Enhance Marketing and Outreach Efforts, Before and After Award

Awardees have noted a need for greater marketing and outreach from the Office of State Planning during the proposal development process and after the award. One awardee stated that the Office of State Planning's outreach efforts have improved since the program's inception; however, she suggested that more Office of State Planning District and Division Offices might apply for TPSS funding if the Office of State Planning provided more proposal development technical assistance and information about funded projects to applicants.

It is recommended that the Office of State Planning enhance its marketing and outreach and expand proposal development technical assistance in order to increase the number of applications it receives. One way to do this is to develop a one-page fact sheet for District and Division Offices, providing tips to applicants on how to develop a successful application. The fact sheet could be included in the Call for Projects email notification that is sent to Office of State Planning staff at the beginning of each special studies cycle, posted on the Office of State Planning's intranet web site, and discussed at a kick-off meeting for program staff.

It is also recommended that the Office of State Planning institute a system of sharing information about awarded studies with other award recipients. Currently, TPSS awardees do not share information about their awarded studies with other award recipients at the end of each award cycle, but awardees could benefit from learning about each others projects. By facilitating more

¹ The TPSS program provides limited funding for *one-time planning projects*. The Special Studies program funds contracts only; therefore it does not fund personal services resources or PYs. The TPSS program is funded with SPR Part I funds that are for transportation planning activities, including (1) economic surveys and investigations; (2) planning of future highway programs; (3) planning of future local public transportation systems; (4) planning of the financing of future highway programs and local public transportation systems; (4) development and implementation of management systems under section 303; (5) studies of the economy, safety, and convenience of surface transportation systems; (6) studies of the desirable regulation taxation of surface transportation systems; (7) the conduct activities relating to planning of real-time monitoring elements. As part of the program request review, SPR staff will conduct the initial review of all program requests for completeness, appropriateness, and to *ensure that the study has not been done before*.

transparent information exchange amongst awardees, Office of State Planning can leverage existing knowledge and provide ideas for additional studies that build off of existing research. The Office of State Planning should consider holding a short information sharing session so that award recipients can learn about each others products. Project managers could provide a 5-minute overview of their products and provide more information about where the products can be accessed.

Recommendation: Consider Leveraging SPR Part I and Part II Funds for Joint Projects

Awardees have noted the opportunity that exists for the selection teams for State Planning and Research (SPR) Part I and Part II to coordinate and leverage funding for projects that meet both strategic funding mandates. One awardee who was involved with the TPSS project selection process during one award cycle stated that the project review and scoring where straightforward; the same awardee noted that the SPR Part II project selection team has been trying to develop a more strategic selection approach and that there could be more coordination between the SPR Part I and SPR Part II funding teams. SPR Part I and SPR Part II could coordinate and leverage funds for projects that meet both strategic mandates (e.g., projects with both a research and planning component).

It is recommended that the Office of State Planning meet with the SPR Part II funding team to learn more about their project selection process and determine if parallel changes to the TPSS project selection process would be beneficial to the Program in terms of the effectiveness per dollar spent. Additionally, the Office of State Planning should consider instituting some form of coordination between the SPR Part I and SPR Part II funding teams in order to identify and fund mutually-complementary projects. Doing so would leverage funding dollars for projects that meet the strategic visions of both SPR Parts I and II.

Recommendation: Streamline Contracting Process

There was general consensus among awardees that challenges in the contracting process represent the biggest challenge of the TPSS award process. The primary challenges that were identified by awardees are: the general complexity of the contracting process, a lack of knowledge among contracting staff, and the lack of a time delay clause in contracting templates. All are described further below.

- The general complexity of the contracting process: The contracting process often involves both the general Division of Procurements and Contracts (DPAC) and the division and department DPAC. Additionally, different types of contracts require different contracting mechanisms. There are also specific forms and templates that must be filled in for each type of contract mechanism.
- Contracting staff lacking knowledge of the process: Awardees stated that contracting staff were not always fully knowledgeable about the contracting process, and often provide incorrect contracting templates which delayed the invoicing, and hence, timely completion of projects. When the contracting office provides inaccurate information or provides incorrect templates, projects are delayed and it becomes challenging to meet deadlines.
- Lacking time delay clause in contracting templates: During the current fiscal year, the contracting templates did not include a clause for amending contracts to be responsive to possible time delays. Specifically, there were time delays due to the California Governor's Executive Order suspending personal services contracts. Some of the existing contracts could not be amended to include additional time and the funds encumbered were lost, resulting in awardees having to go through the contracting process again.

It is recommended that the Office of State Planning take actions to reduce confusion and streamline the contracting process where possible. It is recommended that the Office of State Planning take the following specific steps:

- Develop a schematic showing the parties involved in the contracting process and what information needs to be submitted to whom. This should be distributed to award applicants in order to ensure clarity about roles and responsibilities, and reduce confusion.
- The Office of State Planning should suggest that the general DPAC provide additional training to its contracts staff on the different types of contracts and contracting processes. The Office could suggest that a contracts manual be developed based on the input captured in this assessment. The Office of State Planning may consider providing more oversight to the Office of Resources Management Office—which serves as a liaison between DPAC and awardees—to successfully see awardees through the contracting process. However, the Office of State Planning should ensure that the Office of Resources Management Office is familiar with the contracts process and clear on its role before providing assistance.
- The Office of State Planning should consider instituting a formal process for reviewing requests for project extensions in situations where application timelines were affected by unusual backlog or error by the contracts office. Such extensions would have to be considered without compromising the achievement of goals of the award cycle.

Recommendation: Improve Technical Assistance Related to Monitoring

Awardees have noted a need for improved technical assistance from the Office of State Planning in how to monitor project success. One awardee stated that the Office of State Planning has improved in this area but can continue to improve by working with project managers to provide clearer direction in what indicators should be monitored and how, and to follow up with project managers to make sure they are working with contractors to achieve the milestones identified in their applications. One awardee stated that many project managers overseeing funded TPSS projects are managing contractors for the first time, so technical assistance related to monitoring is particularly important in those cases.

It is recommended that the Office of State Planning increase the level of technical assistance provided to project managers who are monitoring the success of the project. Specifically, the Office of State Planning should develop a one-page fact sheet that provides the standards for how awardees should monitor their project success. The fact sheet should include advice on what indicators should be measured (e.g., project completion, project budget burn rate, and project quality—in addition to progress on milestones listed in the application), how progress should be monitored (e.g., How do you monitor the work of a contractor? What project records need to be maintained for audits?), and how often project progress should be assessed.

Recommendation: Refine Year-End Close Out Process And Recordkeeping

Awardees report a lack of clarity around several aspects of the year-end close-out process. Awardees were not always certain of the documents that are required to be submitted in the year-end close out process. Some awardees also stated that it was difficult to determine what documents to include in summary reports to the Office of State Planning because they had funding that was provided for multiple research projects rather than one specific project. Several of the project files (e.g., application, product, post-evaluation) provided by the Office of State Planning for evaluation were incomplete. For example, several files did not include post-evaluations. In another instance, it was unclear if a project file included the correct application and post-evaluation form.

It is recommended that the Office of State Planning take specific steps to refine and clarify the year-end close-out process. The following specific actions are recommended:

- Develop a one-page overview of the year-end close out process that reviews the steps that must be taken to close the project. In particular, the overview should stress the importance of providing a detailed project profile that includes project successes and challenges and an executive summary of the final report or links to the final report.
- Provide recipients who received funding for multiple projects with an appropriate template for reporting. The Office of State Planning could develop a template from a previous report provided by such a recipient (e.g., the University Transportation Center Project).
- Develop a record keeping system to maintain complete, organized files for each project. This may be useful for information sharing between the Office of State Planning and former, current, and future awardees.
- Posting an online survey on the Intranet web site, which awardees can use at any time throughout the project to provide feedback about the TPSS Program and the funded project.

5.2. TPSS Project Development

This section provides recommendations related to TPSS study development.

Recommendation: Advise Applicants on Availability of IT Support

Awardees noted the limited availability of IT support from headquarters as being a challenge that was not communicated and planned. One awardee stated that the limited availability of IT support from headquarters—and her lack of planning for back-up—negatively impacted the success of her Division’s project. Depending on the project, ongoing and accessible IT support can be a critical asset in supporting a project’s success.

It is recommended that the Office of State Planning ensure that an applicant that needs IT support has confirmed adequate support available for the duration of the project before funding. The Office should notify the applicant that the Office of State Planning is not responsible for providing IT assistance.

5.3. TPSS Project Implementation

This section provides recommendations related to TPSS study implementation.

Recommendation: Consider Increasing Funding Preference for Studies that Have Been Tested or Already Initiated

Awardees may not have sufficient funding to see a project through the next stage of the project (e.g., the implementation stage). Additionally, one award stated that the awardee did not have enough additional funding available one year for the Office of State Planning to fund every task included in her application. As a result of limited funding, her Division had to narrow the scope of a funded TPSS project.

It is recommended that the Office of State Planning consider increasing funding preference for studies that have already been initiated or otherwise tested and proven. The Office could also consider funding studies that have already been completed but which need update or improvement. This would improve the TPSS Program’s likelihood of funding projects that achieve full implementation.

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6. Conclusion

In 2008, ICF was contracted by Caltrans to conduct an assessment of a sample of planning grants and special studies awards to 1) determine whether funded projects achieved or intended to achieve state planning goals, 2) determine how funded products currently are being used, and 3) develop recommendations for how to improve the administration and overall success of implementation of final products funded by grant and award monies. To meet these objectives, ICF conducted the following five tasks:

6. **Product Inventory**—ICF conducted a product inventory to compile project-related information about EJ/CBTP and TPSS projects to assist Caltrans with identifying the sample of products for ICF to assess for this project.
7. **Online Surveys**—ICF administered and assessed results from two surveys to acquire a status update on the results of the funded projects and suggestions for improving the application and planning grant and award process.
8. **Interviews with Stakeholders**—ICF conducted over 50 interviews with transportation planning grant and TPSS award stakeholders (e.g., recipients; sub-recipients; Division and District staff) to determine the current status of the funded project, whether the scope of work was completed, identify strategies for how final products may be moved to the implementation phase, and gather feedback about the overall successes and challenges associated with the planning grant and award programs.
9. **Focus Groups**—ICF garnered first-hand perspectives about the successes and challenges of administering, developing, and implementing the grant project from three focus groups consisting of EJ and CBTP grant funding stakeholders.
10. **Product Review**—ICF reviewed and assessed a total of 39 EJ/CBTP and TPSS products in order to determine the current status of funded products, the extent to which final products were completed within the contracted scope of work, whether final products meet or promote transportation planning goals, and specific successes and challenges associated with each of the products. Successes and challenges were supplemented with input acquired from in-depth interviews, survey results, and focus groups (when applicable) conducted with stakeholders associated with each of the funded projects.

Table 17 summarizes the recommendations based on findings from survey, interview, and focus group participants involved in the EJ and CBTP planning grants program. ICF assessed and summarized stakeholders' feedback about Caltrans' administration of the grant program, as well as individual perspectives on the successes and challenges of completing the funded projects and moving them to the next phase of project development.

Table 17. Summary of Recommendations – EJ/CBTP Planning Grants

Grant Phase	Recommendation
Administration	<ul style="list-style-type: none"> • Clarify Program Management Policies and Procedures and HQ/District Staff Roles and Responsibilities Before Each Award Cycle • Consolidate Redundant Questions in Grant Applications • Enhance Marketing and Outreach Efforts, Before and After Award • Streamline Contracting Process • Standardize Project Monitoring Guidelines • Refine Year-End Close-Out Process and Recordkeeping
Project Development	<ul style="list-style-type: none"> • Require Approval to Modifications in Scope of Work • More Effectively Balance Organizational Capacity and Project Work Load • Incorporate Capacity Building About the Transportation Planning Process into Planning Grants Program • Bridge the Knowledge Gap in Transportation Funding • Build Off of Past or Current Projects to Maximize Momentum • Use Product for Public and Community Exposure • Encourage Management of Community Expectations – Emphasize Short-term and Mid-term Goals • Encourage Concise and Innovative Community Engagement Strategies • Create a GIS-based Map and Database
Implementation	<ul style="list-style-type: none"> • Develop Guidebook of Case-Study Strategies for Integrating Local Planning with Caltrans Policies • Require Applicants to Include Implementation Strategies in Application and Final Report • Expedite Permits for Funded Projects • Foster Linkages to State Funding • Promote Advocacy of the Project Among Stakeholders • Clarify Role of Each Stakeholder in Implementing the Funded Project

Table 18 summarizes the recommendations based on findings from survey and interviews with awardees (i.e., Caltrans staff) involved in the TPSS award program. ICF assessed and summarized awardees' input about the administration of the award program, as well as individual perspectives on the successes and challenges of completing the awarded projects and moving them to the next phase of project development.

Table 18. Summary of Recommendations – TPSS Awards

Award Phase	Recommendation
Administration	<ul style="list-style-type: none">• Clarify Program Policies and Procedures and Staff Roles and Responsibilities Before Each Award Cycle• Clearly Define What Qualifies as a Fundable Project and Provide Examples• Enhance Marketing and Outreach Efforts, Before and After Award• Consider Leveraging SPR Part I and Part II Funds for Joint Projects• Streamline Contracting Process• Improve Technical Assistance Related to Monitoring• Refine Year-End Close Out Process And Recordkeeping
Project Development	<ul style="list-style-type: none">• Advise Applicants on Availability of IT Support
Implementation	<ul style="list-style-type: none">• Consider Increasing Funding Preference for Studies that Have Been Tested or Already Initiated

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7. Appendices

Appendix A: Survey Responses

Appendix B: Interviews

Appendix C: Focus Group Minutes

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Appendix A

Appendix A: Survey Responses

List of Surveys

Caltrans EJ and CBTP Transportation Planning Grants Program Survey Results ... 3

1.	Which county or counties does your agency or organization serve?.....	3
2.	Which city or cities does your organization serve?.....	3
3.	How many years have you been working in this field?.....	5
4.	Which Caltrans Transportation Planning Grant did your organization receive?.....	5
5.	Which option best describes the role you played in relation to the Caltrans Transportation Planning Grant?.....	5
6.	Please elaborate on the specific duties or actions you carried out in relation to the Caltrans Transportation Planning Grant.....	6
7.	Which option best describes the role of your organization in relation to the Caltrans Transportation Planning Grant?.....	8
8.	How did your organization learn about the Caltrans Transportation Planning Grant?... 8	
9.	Please rate the following factors' influence in motivating your organization to apply for the planning grant.....	9
10.	My overall opinion of the program application process is.....	9
11.	The clarity of intention and mission of the program was.....	10
12.	The time frame between the application notice and due date is.....	10
13.	The time frame between the application due date and the grant award date is.....	10
14.	The availability of Caltrans staff during the application process was.....	10
15.	The most difficult aspect of the application process was.....	11
16.	The most helpful aspect of the application process was.....	11
17.	The most helpful aspect of the application process was.....	12
18.	Have you applied more than once for a Caltrans Transportation Planning Grant?	12
19.	Why or why not? If you have applied multiple times for a grant, did you receive a grant for every funding request?.....	12
20.	Will you be applying for another Caltrans Transportation Planning Grant?.....	13
21.	What are the key reasons that will influence your decision?	13
22.	Which groups did you involve in the application process, development, and implementation of your project?.....	14
23.	What is the population of the area where your project was implemented?.....	14
24.	What constituency or constituencies did your project intend to serve?.....	14
25.	What standards did you use to measure the impact of the project on the intended community?.....	14
26.	What public involvement strategies did the project employ?.....	15
27.	Please rate how successful the project's public involvement strategies were in terms of the following efforts.	16
28.	Which of the following Caltrans Transportation Planning Grants project types best matches the description or goals of your project?.....	16
29.	Please rate the accessibility of Caltrans staff throughout the project.	17
30.	Please rate the extent to which your project matched the original Scope of Work submitted in the application?.....	17

31.	To what extent did your Scope of Work change? What were the reasons for the change?.....	17
32.	What is the current status of the project funded by Caltrans?	18
33.	Elaborate on the current status of the project, describing the reasons why the project was carried forward to the next stage of implementation, the obstacles to implementation, or why no progress has been made toward implementation.	18
34.	Please rate the extent to which the funded project functioned as a catalyst for other community improvement projects in your community.	19
35.	Please elaborate on your rating.	19
36.	What do you consider to be the top three characteristics of a successful project?	19
37.	Please rate the extent to which you consider your project a success?	21
38.	Please rate the significance of the following barriers in preventing implementation of the completed project.....	21
39.	Please elaborate on your ratings.....	21
40.	Please provide any other significant barriers to implementation of the completed project that were not listed in the previous question.	22
41.	What did NOT work and should be avoided when completing the plan funded by the Caltrans grant?	22
42.	Once the plan was completed, what did NOT work when implementing the plan's recommendations?	22
43.	Caltrans is considering the following methods to showcase and market projects funded by the Transportation Planning Grants. Please rate how effective you believe these efforts would be.	23
44.	Please elaborate on any other suggestions you may have to improve the Caltrans Transportation Planning Grants Program.....	23

Caltrans Transportation Planning Special Studies Program Survey Results ... 26

1. Which county or counties does your agency or organization serve?..... 26

2. Which city or cities does your organization serve?..... 26

3. How many years have you been working in your professional field?..... 27

4. What is the name of your agency?..... 27

5. Identify your District or the State HQ Division name with which you are affiliated... 28

6. Which of the following terms best describes your organization? 29

7. Which option best describes the role you played as it pertains to a TPSS project?
(select one)..... 29

8. Please elaborate on the specific duties or actions you carried out in relation to the
TPSS project. 30

9. What benchmarks did you use to measure the impact of the TPSS project on the
intended community?..... 30

10. Please rate the extent to which you feel your project completed the original Scope of
Work submitted in the application? 30

11. To what extent did your Scope of Work change? What were the reasons for the
change? 31

12. What is the current status of your TPSS project? (select one) 31

13. Elaborate on the current status of your TPSS project, describing the reasons why the
project was carried forward to the next stage of implementation, the obstacles to
implementation, or why no progress has been made toward implementation. 32

14. What do you consider to be the top three characteristics of a successful project? 32

15. Please rate the extent to which you consider your TPSS project a success? 33

16. Please elaborate on your rating. 33

17. Please provide the top three significant barriers to implementation of the completed
TPSS project. 34

18. What approaches did NOT work and should be avoided when implementing the
original project funded by the TPSS program? 34

19. What approaches did NOT work and should be avoided when implementing the
recommendations resulting from the original project? 35

20. Have you applied more than once for a TPSS award? 35

21. Why or why not? If you have applied multiple times for an award did you receive an
award for every funding request? 35

22. Will you be applying for another TPSS award?..... 35

23. What are the key reasons that will inform your decision? 36

24. Please elaborate on any other suggestions you may have to improve the Caltrans TPSS
Program. 36

Caltrans EJ and CBTP Transportation Planning Grants Program Survey Results

1. Which county or counties does your agency or organization serve?

Answer Options	Response Count	Answer Options	Response Count
All CA Counties	4	Nevada	1
Alameda	8	Orange	3
Alpine	1	Placer	2
Amador	1	Plumas	1
Butte	1	Riverside	5
Calaveras	1	Sacramento	2
Colusa	1	San Benito	2
Contra Costa	6	San Bernardino	5
Del Norte	5	San Diego	5
El Dorado	1	San Francisco	8
Fresno	10	San Joaquin	2
Glenn	1	San Luis Obispo	2
Humboldt	7	San Mateo	7
Imperial	3	Santa Barbara	2
Inyo	2	Santa Clara	4
Kern	7	Santa Cruz	2
Kings	5	Shasta	1
Lake	4	Sierra	1
Lassen	1	Siskiyou	1
Los Angeles	5	Solano	3
Madera	5	Sonoma	4
Marin	3	Stanislaus	1
Mariposa	1	Sutter	1
Mendocino	5	Tehama	1
Merced	2	Trinity	2
Modoc	1	Tulare	5
Mono	1	Tuolumne	1
Monterey	2	Ventura	1
Napa	4	Yolo	3
		Yuba	1
		Answered Question	63
		Skipped Question	2

2. Which city or cities does your organization serve?

Responses

- Anaheim, Aliso Viejo, Brea, Buena Park, Costa Mesa, Fullerton, Huntington Beach, Garden Grove, Irvine, Laguna Beach, Laguna Woods, Laguna Hills, Laguna Niguel, Orange, San Clemente, Santa Ana, San Juan Capistrano, Lake Forest, Mission Viejo, Newport Beach, Yorba Linda, Seal Beach, Westminster, La Habra, La Palma, Cypress
- Monterey Park
- Los Angeles, Pasadena, Santa Monica, Monrovia, Pomona, Long Beach, South Pasadena, Compton, Redondo Beach, Whittier
- Adelanto, Apple Valley, Barstow, Big Bear Lake, Chino, Chino Hills, Colton, Fontana, Grand Terrace, Hesperia, Highland, Loma Linda, Montclair, Needles, Ontario, Rancho Cucamonga, Redlands, Rialto, Twentynine Palms, Upland, Victorville, Yucaipa, Yucca Valley, Banning, Beaumont, Blythe, Calimesa, Canyon Lake, Cathedral City, Coachella, Corona, Desert Hot Springs, Hemet, Indian Wells, Indio, La Quinta, Lake Elsinore, Moreno Valley, Murrieta, Norco, Palm Desert, Palm Springs, Perris, Rancho Mirage, Riverside, San Jacinto, Temecula, Wildomar, Menifee
- Fresno County (15 cities), Kern County (11 cities), Kings County (4 cities), Madera County (2 cities) and Tulare (8 cities)
- Fresno, Clovis, Sanger, Fowler, Selma, Kingsburg, Reedley, Orange Cove, Parlier, Kerman, Firebaugh, Huron, Coalinga, Mendota, San Joaquin
- Corning, Tehama, Red Bluff, Anderson, Redding, Shasta Lake, Dunsmuir, Alturas, Susanville, Portola, Fort Jones, Etna, Dorris, Yreka, Weaverville, Weed, Happy Camp
- All within Riverside County
- All the cities in Riverside and San Bernardino Counties
- Banning, Beaumont, Calimesa, Canyon Lake, Corona, Hemet, Lake Elsinore, Moreno Valley, Murrieta, Norco, Perris, Riverside, San Jacinto, Temecula, Wildomar
- San Bernardino, Rialto, Fontana, Ontario, Upland, Chino, Montclair, Claremont, Colton, Redlands, Yucaipa, Banning, Beaumont, Palm Spring, Palm Desert, Hesperia, Victorville, Apple Valley, Crestline, Big Bear, 29 Palms
- All which fall within the county limits of the counties outlined above
- All cities within the county-limits of the four counties listed above
- El Centro, Brawley, Calexico, Imperial, Holtville, San Diego, Escondido, Vista,

Responses

- San Marcos, Oceanside, Carlsbad, Encinitas, Solana Beach, Del Mar, La Mesa, El Cajon, Chula Vista, Imperial Beach, Coronado, Lemon Grove, Poway
- All cities within these county jurisdictions: Fresno, Kern, Kings, Madera, Tulare
- Caltrans District 06 - Kern County Only for this South Region Planning Unit
- Mammoth Lakes, Bishop, Ridgecrest, Tehachapi, California City
- Fresno, Clovis, Reedley, Orange Cove, Kerman, Parlier, Firebaugh, Selma, Fowler, Coalinga, Kingsburg, Mendota, San Joaquin, Huron, Sanger
- All cities of Orange County
- Fresno, Sanger, Tulare, Visalia, Mendota, Firebaugh, Madera, Bakersfield, various other
- City and County of San Francisco - one entity
- City of Oakland
- Crescent City, Trinidad, Arcata, Blue Lake, Eureka, Fortuna, Ferndale, Rio Dell, Willits, Fort Bragg, Ukiah, Point Arena, Lakeport, Clearlake
- Redlands
- Riverside, Corona, Hemet, Perris, Temecula
- Fresno City
- Livermore, San Francisco, San Rafael, Union City
- Fresno
- City of Merced
- Eureka, Arcata, Fortuna, Blue Lake, Trinidad, Rio Dell, Ferndale, others
- Oakland
- Los Angeles
- Unincorporated Area Only
- Numerous throughout California
- Bell
- San Diego
- Too may to list here
- All cities
- San Diego, Escondido, San Marcos, Vista, Oceanside, Carlsbad, Encinitas, Solana Beach, Del Mar, Chula Vista, Lemon Grove, El Cajon, La Mesa,

Responses

- Coronado, Imperial Beach, Santee, Poway, El Centro, Imperial, Calexico, Brawley, Holtville, Westmoreland, Calipatria
- Chico, Gridley, Oroville, Paradise, Colusa, Williams, Placerville, South Lake Tahoe, Orland, Willows, Grass Valley, Nevada City, Truckee, Auburn, Colfax, Lincoln, Loomis, Rocklin, Roseville, Folsom, Galt, Isleton, Sacramento, Loyalton, Live Oak, Yuba City, Davis, West Sacramento, Winters, Woodland, Marysville, Wheatland
- Winters
- San Jose
- Bishop Paiute Indian Reservation
- Cities in Alameda, Contra Costa, San Francisco, San Mateo
- San Bernardino County, Riverside County
- San Diego, Oceanside, Carlsbad, Encinitas, Solana Beach, Del Mar, Coronado, Imperial Beach, Chula Vista, Lemon Grove, La Mesa, El Cajon, Santee, Poway, Escondido, San Marcos, Vista, Calexico, Heber City, El Centro, Holtville, Imperial, Calipatria, Westmorland, Brawley
- Winters
- Aliso Viejo, Anaheim, Brea, Buena Park, Costa Mesa, Cypress, Dana Point, Fountain Valley, Fullerton, Garden Grove, Huntington Beach, Irvine, Laguna Beach, Laguna hills, Laguna Niguel, Laguna Woods, La Habra, Lake Forest, La Palma, Los Alamitos, Mission Viejo, Newport Beach, Orange, Placentia, Rancho Santa Margarita, San Clemente, San Juan Capistrano, Santa Ana, Seal Beach, Stanton, Tustin, Villa Park, Westminster, Yorba Linda
- Major cities: San Luis Obispo, Santa Maria, Lompoc, Monterey, Salinas, Santa Cruz, Hollister
- Primarily Los Angeles but we also serve other cities within the county (e.g. Monterey Park, Gardena, etc.)
- Lodi, Lathrop, Ripon, Tracy, Manteca, Stockton, Turlock, Modesto, Escalon, Riverbank, Merced, Atwater, Hughson, Los Banos, Sonora, Plymouth, City of Angels, San Andreas, Ione, Jackson, Sutter Creek,
- Arcata, Blue Lake, Clearlake, Crescent City, Eureka, Ferndale, Fort Bragg, Fortuna, Lakeport, Point Arena, Rio Dell, Trinidad, Ukiah, Willits

Answered Question	52
Skipped Question	13

3. How many years have you been working in this field?
(select one)

Answer Options	Response Frequency	Response Count
Less than 1 year	1.6%	1
1 to 5 years	25.0%	16
6 to 10 years	28.1%	18
11 to 15 years	10.9%	7
More than 15 years	32.8%	21
Not Applicable	1.6%	1
Other (please specify)	0.0%	0
• Transit Agency		
• Consulting firm		
• Private engineering consultant		
• Consultant		
Answered Question		64
Skipped Question		1

4. Which Caltrans Transportation Planning Grant did your organization receive?

If you are not affiliated with a grant recipient or subrecipient, which type of grant impacted you? (select one) If you have been involved with both types of grants in the past, please focus your responses on either a EJ or CBTP grant when answering this survey. You may complete a separate survey for the other grant type.

Answer Options	Response Frequency	Response Count
Community-Based Transportation Planning (CBTP)	40.8%	20
Environmental Justice: Context Sensitive Planning Grants (EJ)	55.1%	27
I don't know	4.1%	2
Answered Question		49
Skipped Question		16

5. Which option best describes the role you played in relation to the Caltrans Transportation Planning Grant?
(Select all that apply)

Answer Options	Response Frequency	Response Count
Senior leadership – Oversight of project process	27.3%	15
Project manager	45.5%	25
Staff member	12.7%	7
Consultant	9.1%	5
Community-based organization member	1.8%	1
Non-profit organization member	9.1%	5
Community member	5.5%	3
Native American Tribal Government member	0.0%	0
Other (please specify)	27.3%	15
• Caltrans staff managing grants		
• fiscal agent		
• Back up staff to Environmental Justice Liaison		
• Grant Oversight		
• Grant Manager		
• State agency - Caltrans		
• Grant Administrator		
• Monitor and Oversight for State		
• Grant Administration		
• Transportation Planning Grant Coordinator		
• Grant Writer		
• Grant Administrator		
• None-the grant was carried out prior to my employment here		
• CT District Office		
• Caltrans contract manager		
Answered Question		55
Skipped Question		10

6. Please elaborate on the specific duties or actions you carried out in relation to the Caltrans Transportation Planning Grant.

Responses

- Review and rank applications, oversee administration of the grant, process invoices
- Reporting to Caltrans and to city, staff liaison, point of contact to Contractor
- Contract Manager
- Oversight of project process and fiscal agent.
- Contract Administrator for the Grant
- Coordinated outreach to community members, all grant activities and all administrative grant activities.
- Developed and submitted application, assisted in the development of the funding agreement, engaged the consulting team including non-profit community groups, served as project manager for overall project including one station area (out of three), monitored deliverables, work products and invoices, prepared quarterly reports for Caltrans, wrote bulk of final report, oversaw document production, submitted final report to Caltrans, made presentations to Caltrans staff and other interested parties.
- Contract Manager for the EJ Grants awarded in District 8. Review applications for selection, market and promote the program to new recipients/subrecipients, oversee the project process, review invoices and recommend payment of invoices, attend progress meetings and public meetings for the project, and prepare initial paperwork for contract execution.
- Administration and oversight of project, consisting of meeting prep, invoicing and accounting, staff assignments. Collected data, prepared reports and gave presentations at committee meetings. Worked with consultants to collect information and reviewed final reports.
- Grant review process
- Worked with local agencies on contract process, Worked with district project managers in reviewing and approving invoices for payment, Process quarterly reports for headquarters. Work with district project managers on monitoring the contracts.
- Contract Management
- Caltrans Project Manager
- Administrating Grant from award letter through close-out.
- Oversight of grant contracting, activities, and requirements. Also participated in the collaborative effort and provided professional guidance.
- I was the consultant Project Manager for the I-210 Corridor Enhancement Plan

Responses

- Oversight and Coordination of Grants in collaboration with member agencies and paid consultants.
- Solicit, receive & review grant applications. Provide training and guidance to applicants, and to grantees. Process invoices. Review progress reports, report to grant manager in Sacramento.
- I am the Grant Manger for a specific grant in Tulare County, it is a safe routes to school grant. I have been involved in administering the grant, and have attended several meetings.
- Develop and support community-based coalition
- Conceptualize and Design project
- Supervise project manager
- Review materials and products
- Oversee and authorize budgets
- Review and submit reports
- I served as the day to day project manager for the City which included executing the grant agreement with Caltrans, hiring the consultant to do the plan document, supervising work of the consultant, organizing all community meetings, and distributing final plan document.
- Grant administrator.
- Manager of CBTP Grants for District 8 (Riverside & San Bernardino Counties). Provided oversight and monitor progress of grant recipients within the District.
- I wrote the grant with my steering committee. I also attended and participated in meetings with the City and County entities to ensure a coordinated effort.
- I served as the Senior Project Manager for the WRCOG Transit-Oriented Development Project. I developed and managed the scope of work, the in-house staff and consultants who worked on the project, and the Project Partners/Steering Committee.
- Southeast Asian Ridership: Educated community members to use public transportation, such bus (FAX).
- As Caltrans project manager I provide advice and guidance with respect to grant terms and conditions, monitor progress, recommend approval or nonapproval of expense reimbursement requests.

Responses

- Project Manager for The Southeast Asian Transit Awareness Project (2006-2007)
 - ☞ Identified and evaluated Southeast Asian community transportation needs, concerns, and possible barriers and factors hindering public transit usage in Fresno and ways to overcome them.
 - ☞ Conducted six effective educational workshops and nine user-friendly transit field training sessions to train Southeast Asian residents on how to use transit services and trained "SEAT Ambassadors to ensure structured and sustained training programs.
 - ☞ Implemented a comprehensive and focused awareness campaign tailored to the needs of the Southeast Asian community through close collaboration with key community groups and agencies and effective outreach marketing materials.
 - ☞ Documented project findings and results to educate those interested in expanding this effort and to enable future refinements and improvements.
- Community Participation
- Maintained Project Scope of Work
- Quarterly Reports
- Project visioning and management. Team selection and oversight. Deliverables from concept to completion. Focus on transportation equity, multi-modal transportation in non-metropolitan regions.
- Wrote grant and Implemented W Oak Transit Village 7th St EJ Streetscape grant (02-03)
- Wrote two unfunded grants in 06-07 EJ: Peralta Street West Oakland and 81st Avenue East Oakland.
- Oversight of project management
- Analyze traffic operations
- Make recommendations for improvements
- Obtain environmental clearances.
- Prepare grant application, prepare Request for Proposal and participate in selection process for consultant services, act as liaison with selected consultant, monitor project progress through completion.
- Wrote applications
- Provided management and leadership of the project, as well as technical services such as writing and editing.

Responses

- Process contracts between the State and the grant recipient. Review invoices for processing. Keep records of those expenditures.
- Compilation and submittal of quarterly progress reports, payment of discretionary grant invoices, tracking of grant activities.
- Writing of the Grant
- Wrote & managed grant.
- Process paperwork to execute contract between the State and local agencies. Approve invoices for payment and keep track expenditures.
- N/A
- Helped the Grant Manager
- Overview completion of several station area plans at BART stations
- Screen and rate applications, secure contracts, pay invoices, monitor progress, closeout grant.
- The development of the Little Tokyo/Arts District Station of the MTA Gold Line presents an opportunity for both communities to ensure that our diverse, underserved communities can benefit economically from the station. To maximize the benefits of the new light rail station while mitigating the potential negative impacts of civic center expansion and speculative investment, Little Tokyo Service Center conducted feasibility analyses of various sites in Little Tokyo and the Arts District to determine their viability for the development of affordable housing or community facilities. We focused our analyses on in-fill and Brownfield sites within walking distance of the new light rail station.
- District grant manager for all EJ grants. Liaison with h.q. and grantees, attended meetings and or workshops with grantees. Processed invoices and monitored projects.
- Contract manager

Answered Question	48
Skipped Question	17

7. Which option best describes the role of your organization in relation to the Caltrans Transportation Planning Grant?
(select one)

Answer Options	Response Frequency	Response Count
Caltrans Headquarters	1.8%	1
Caltrans District Office	52.7%	29
Primary grantee/applicant	40.0%	22
Subrecipient	1.8%	1
Other (please specify)		
<ul style="list-style-type: none"> • Consultant selected by City of San Bernardino • I am helping the city on behalf of Redlands Conservancy 	3.6%	2
Answered Question		55
Skipped Question		10

8. How did your organization learn about the Caltrans Transportation Planning Grant?
(select all that apply)

Answer Options	Response Frequency	Response Count
Caltrans email	50.0%	22
Caltrans flyer	22.7%	10
Caltrans website	27.3%	12
Local government/Transportation Commission	20.5%	9
An existing or former grantee	6.8%	3
Another local agency	11.4%	5
Community fair	0.0%	0
Public meetings	2.3%	1
Word of mouth	9.1%	4
Don't know	6.8%	3
Other (please specify)		
<ul style="list-style-type: none"> • Through an RFP issued by the City of San Bernardino • Rails to Trails Conservancy • 5 respondents answered Caltrans Staff • 2 respondents answered N/A 	20.5%	9
Answered Question		44
Skipped Question		21

9. Please rate the following factors' influence in motivating your organization to apply for the planning grant.

(1=not a factor; 5=strong factor)

Answer Options	1	2	3	4	5	Response Count
Funding availability	4	0	4	7	17	32
Community vision or pre-existing need in the community	4	0	4	6	20	34
Local political pressure	15	5	6	2	4	32
Lack of transportation options in the community	7	4	7	5	10	33
Opportunity to partner with Caltrans	6	4	12	6	4	32
Opportunity to develop stronger partnerships with community	3	0	5	9	17	34
Other important factor (please specify)						8
<ul style="list-style-type: none"> Connectivity Plans for growing cities surrounding Bakersfield, CA Opportunity to develop stronger partnerships with other San Francisco County agencies Preliminary Engineering underway on extension of Metrolink line further east to Hemet Funding permitted development of essential planning Not an applicant, District grant manager Our agency cannot apply for these grants 2 respondents answered N/A 						
Answered Question						34
Skipped Question						31

10. My overall opinion of the program application process is...

Responses	
<ul style="list-style-type: none"> 14 respondents answered “good, ” “favorable, ” “fair, ” or another positive adjective. Good. The bidders conference was helpful. Good. The application process has been streamlined and that has helped in the scoring process. That it provides for collaboration between local and state government with cities, counties, and non-governmental organizations. Very positive, although the need to conform to a construction project model was challenging. Good but unclear why my unfunded grants were not funded - would like comments. Favorable - However, could be streamlined Seems appropriate, not too cumbersome, but can lead to some fluffy over worded narratives. Complicated. There are a lot of details. Complicated, but can be learned and completed. Confusing, cumbersome, not a clear, concise process Time consuming That it's too time consuming as too much detail is required. Lengthy and time consuming. Could be improved. The criteria is not specific enough. Mixed 	
Answered Question	
31	
Skipped Question	
34	

11. The clarity of intention and mission of the program was...

Responses

- 16 respondents answered “clear” or a similar adjective.
- Good intention, but needs further detail
- Pretty clear, but still hard to get applicants to really thing about the land use transportation connection in a very holistic fashion.
- Somewhat clear. The ranking criteria could be made more transparent.
- In line with what the regional agency wanted to accomplish.
- Applicable to our community.
- Unclear with respect to what constitutes the local match and in-kind contributions

Answered Question	32
Skipped Question	33

12. The time frame between the application notice and due date is...

Responses

- 27 respondents answered “adequate, ” “amply time, ” or a similar adjective.
- Reasonable, although as I recall, too close to the holidays
- Reasonable, although it requires sustained effort.
- Too short. We need to give them more time to complete the application.
- Often times too long because of State politics.
- Always rushed

Answered Question	32
Skipped Question	33

13. The time frame between the application due date and the grant award date is...

Responses

- 16 respondents answered “too long” or a similar adjective.
- 6 respondents answered “reasonable” or a similar adjective.
- I don't remember, it's been too long.
- Too much time between the application deadline and the award announcement. Apps should be due in May or June if the State budget is an issue.
- Extremely long - about 9-10 months
- Too long, but because of budget approval is always delayed
- Very poor, partially due to annual state budget stalemates

Answered Question	27
Skipped Question	38

14. The availability of Caltrans staff during the application process was...

Responses

- 14 respondents answers “good, ” “excellent, ” or a similar adjective
- 13 respondents answered “adequate, ” “sufficient, ” or a similar adjective.
- N/A - I am Caltrans staff
- Substandard
- Sometimes adequate, sometimes insufficient
- I don't remember it's been too long.

Answered Question	31
Skipped Question	34

15. The most difficult aspect of the application process was...

Responses

- Being sure all requirements have been met and addressed (based on the questions applicants ask me).
- Narrative
- Delay in startup due to Caltrans revamping some internal processes (lost nearly a year)
- Getting the contract in place
- Working through the close-out documentations and getting extensions from grantees
- Getting a good preliminary scope of work or work plan with defined products
- The short amount of time to apply
- Translating a project element budget into a time line component budget
- I don't remember it's been too long
- Building project support with all of the interested/affected agencies/organizations
- Not knowing what occurs after the application is submitted
- Trying to answer the confusing multipart questions within a tight page limit
- Getting the project underway
- Putting together an idea for an application
- Pulling all of the paper together
- Dealing with Sacramento
- Getting local agencies to send complete documents
- Grant administration with multiple local agencies
- Coordinating efforts between organizations

Answered Question	19
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Skipped Question	46
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16. The most helpful aspect of the application process was...

Responses

- As Caltrans staff, I try to be immediately responsive to questions, so I think that immediate feedback is helpful. The applicants would be able to answer this better.
- Workshop
- Caltrans responsiveness to queries on our part
- Assistance of the Caltrans staff
- Direction from Headquarters Staff
- The availability of Caltrans staff to answer questions
- As Caltrans staff, I think the videos provided by HQ were straightforward and helpful
- Discussions at the bidders conference and on the phone about the balance between community participation and staff support
- I don't remember its been too long
- Availability of Caltrans staff, workshops
- The workshop
- Being able to contact my representative from District 8
- The Caltrans District staff
- Having a dedicated staff manager to talk with at Caltrans
- Direct staff Emmanuel Mekiye Oakland District Office
- Assistance from Caltrans staff
- Grant Workshop and direction from HQ staff
- The instruction
- Local Tribal liaison at Caltrans Forest Becket
- Guidelines and headquarters staff input
- The application book
- Advice from the local transportation agency
- Technical assistance

Answered Question	23
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Skipped Question	42
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17. The most helpful aspect of the application process was...

Responses

- Better transparency, and quicker awards. After the District ranks applications, HQ reviews them, and we in the District have no idea how they're ranked. It seems capricious at best.
- Reduce the write-ups and streamline the answers.
- Not requiring COG to serve as intermediary on EJ grants
- Provide more information on the process of getting the contract into place.
- We need to notify the prospective applicants of the new application season earlier.
- Streamline the application itself
- Shorten time between application submittal and award.
- Allow more time to put the application together.
- Make the grant awarding process more transparent. District recommendations were seemingly ignored by selection panel in Sacramento.
- Allow the applicants as much time to put the application together as the State has to award the applications.
- Communicate what criteria works to have a successful application.
- Make the questions clearer or increase the page limit by 2 pages.
- Allow councils of governments to be applicants in partnership with transit agency.
- Leave the application review and approval decisions up to the District. Having Headquarters making the decisions makes the approval process too political.
- Have a screening process to make sure that organization goals align with Caltrans
- Not changing the existing process.
- Provide more direction and public outreach by HQ - a more united front rather than having individual Districts be responsible for outreach.
- Reduce the amount of questions being asked
- Better HQ prep and awareness for dealing with tribes.
- Increase the budget so that additional worthwhile initiatives can be funded.

Answered Question	20
Skipped Question	45

18. Have you applied more than once for a Caltrans Transportation Planning Grant?

(select one)

Answer Options	Response Frequency	Response Count
Yes	53.3%	16
No	46.7%	14
Answered Question		30
Skipped Question		35

19. Why or why not? If you have applied multiple times for a grant, did you receive a grant for every funding request?

Responses

- Successful the 2nd time around.
- Requests from CBOs. Not sure if we were 100% successful on all requests.
- We will if funds are available for the next round of funding.
- We did not receive a grant for every request.
- Grant request did not fit with the direction of Caltrans at the time
- Yes, we have received multiple grants.
- This grant is very labor intensive and it is expected that we pass most of the money through to the community. It is something that the Department of Public Health can only manage in "good" economic times, as our prevention activities are all grant funded.
- Need more capital funds than planning funds.
- No. We missed the funding the first time by one spot.
- No.
- Planning to in the future
- The grant matched a high priority need.
- Each application has been funded.
- Yes
- Change in job status
- No

Answered Question	16
Skipped Question	49

20. Will you be applying for another Caltrans Transportation Planning Grant?

(select one)

Answer Options	Response Frequency	Response Count
Yes	35.5%	11
No	16.1%	5
Maybe	48.4%	15
Answered Question		31
Skipped Question		34

21. What are the key reasons that will influence your decision?

Responses

- Fulfills a need for the City.
- Other communities are interested in developing similar plans for their community.
- Staffing availability, size of grant awards available, and need for study
- Type of planning that the grant will cover. Funding amount
- Because we have had success in obtaining funding.
- It is extremely helpful and well-received, but we would need more support for our staff to direct the projects.
- Depends on the need for another planning study
- We are seeing a lot of progress on the project and are happy that Caltrans has retained its funding.
- Apparently, Caltrans no longer allows councils of government to apply for funding.
- The need for transportation in the Hmong Community
- Project need and staff availability
- Project need in the community matched with goals of funding source and need for our leadership.
- The need that we are capable of addressing
- A project that aligns with the grant requirements
- Support of Tribal Council; and well-defined community need/vision.
- Ability to address community needs within the parameters of the grant program.

Answered Question	16
Skipped Question	49

22. Which groups did you involve in the application process, development, and implementation of your project?
(select all that apply)

Answer Options	Response Frequency	Response Count
General public	55.0%	22
Community-based organization	77.5%	31
Low-income	65.0%	26
Minority communities	62.5%	25
Native American Tribal Governments	40.0%	16
Other public agency besides Caltrans	65.0%	26
Other (please specify)		
<ul style="list-style-type: none"> • 2 respondents answered N/A • Riverside County Transportation Commission, Riverside County, Urban Land Institute, Center for Sustainable Suburban Development at UC Riverside • Chamber of Commerce, local businesses, city departments • Cities. All were contacted for workshop. 	12.5%	5
Answered Question		40
Skipped Question		25

23. What is the population of the area where your project was implemented?
(select one)

Answer Options	Response Frequency	Response Count
Large metro area (over 1 million people)	18.4%	7
Medium metro area (200, 000-1 million people)	23.7%	9
Small metro area (50, 000-200, 000 people)	26.3%	10
Rural area (under 50, 000)	31.6%	12
Answered Question		38
Skipped Question		27

24. What constituency or constituencies did your project intend to serve?
(select all that apply)

Answer Options	Response Frequency	Response Count
General population	58.8%	20
Low-income	70.6%	24
Individuals with disabilities/differently-abled	32.4%	11
People of color/minorities	58.8%	20
Native American/Tribal Communities	29.4%	10
Non-English speakers	50.0%	17
Children and youth	44.1%	15
Seniors	47.1%	16
Commuters	55.9%	19
Transit users	64.7%	22
Pedestrians	70.6%	24
Other (please specify)		
<ul style="list-style-type: none"> • 2 respondents answered N/A • 3 respondents answered Bicyclists • Hmong • Employees 	20.6%	7
Answered Question		34
Skipped Question		31

25. What standards did you use to measure the impact of the project on the intended community?
Please list up to three standards.

Responses
<ul style="list-style-type: none"> • Acceptability to the business community. • Acceptability to the City Council. • Availability of and access to public services and local retail businesses • Availability of public transit • Bang for buck

Responses

- changes in policymakers' perspectives
- Community involvement.
- Community participation and input
- Community support
- Consensus on plan
- Demographics of the region
- Development of specific recommendations
- Did each of the five City Councils embrace the TOD Vision for the station area studied?
- Did the transit agency embrace the TOD Visions for the five station areas studied?
- Educational principles
- Ethic
- Feedback from the community
- Follow up by member agency's whose responsibility it is to implement the project.
- Income levels
- Incorporation of suggested policy into regional policy documents
- Increased local support for affordable housing and community facilities.
- Interviews
- Lack of via transportation
- 2 respondents answered N/A
- Not sure what you're asking.
- Political support.
- Qualitative Data
- Quantitative Data
- Questionnaires
- Sub Recipient measured
- The creation of additional affordable housing and community facilities.

Answered Question	18
Skipped Question	47

26. What public involvement strategies did the project employ?
(select all that apply)

Answer Options	Response Frequency	Response Count
Neighborhood walks	38.2%	13
Community Action Committee (CAC)	17.6%	6
Steering committee meetings	38.2%	13
Public Workshop/town hall meetings	64.7%	22
Stakeholder meetings	79.4%	27
Technical Advisory Committee (TAC) meetings	58.8%	20
Public hearings with a policy body	32.4%	11
Visioning process/charrette	52.9%	18
Public review & comment period	32.4%	11
Community monitoring	23.5%	8
Other (please specify)		
<ul style="list-style-type: none"> • Ridership surveys, surveys of local employers and businesses • Community Feedback Groups. (This is the project awarded in FY 06-07) • Hands on training 	8.8%	3
Answered Question		34
Skipped Question		31

27. Please rate how successful the project's public involvement strategies were in terms of the following efforts.

(1=not successful; 5=very successful)

Answer Options	1	2	3	4	5	Rating Average	Response Count
Capturing community concerns	1	0	4	11	12	4.18	28
Influencing the direction of the funded project	1	3	8	8	9	3.72	29
Seeking out a variety of community views	1	1	7	9	11	3.97	29
Proactively engaging underrepresented communities	1	2	3	11	11	4.04	28
Overall public outreach efforts	0	3	4	9	13	4.10	29
Answered Question							30
Skipped Question							35

28. Which of the following Caltrans Transportation Planning Grants project types best matches the description or goals of your project?

Answer Options	Response Count
Planning for safe and complete pedestrian/bicycle/transit linkages	10
Jobs and affordable housing balance	2
Increase transit oriented development or "transit villages"	2
Mixed-land use development or re-use or infill/compact development	1
Context sensitive planning	1
Freight-friendly locations, delivery and parking	0
Identify and involve under-represented groups in planning and project development	2
Improve demographic and socioeconomic analysis to identify emerging communities	0
Feasibility studies for transportation improvements	0
Community revitalization and economic development with a transportation component	1

Answer Options	Response Count	
Improve cooperation in community development between public agencies and communities	2	
Develop guidelines and supporting information for Environmental Justice element of General Plan	0	
Bilingual services for hearings, workshops and promotion of transportation services	1	
Private Sector partnerships and foundation investment to enhance mobility, affordable housing and economic vitality	0	
Promote transportation technology, traveler information and energy efficiency in communities	0	
Community-based design and public art associated with transportation facilities and Right-of-Way	0	
Transportation projects with community health benefits	1	
Improve access to telecommunication and internet where a transportation benefit is clearly demonstrated	0	
Transportation and land use projects in central and inner cities and older suburbs	0	
Transportation projects in underdeveloped rural and agricultural areas	2	
Transportation planning that enhances the business climate, affordable housing and economic development in under-served communities	3	
Transportation planning that enhances the assessment of goods movement in communities	0	
Answered Question		28
Skipped Question		37

29. Please rate the accessibility of Caltrans staff throughout the project.
(1=not accessible; 5=always accessible)

Answer Options	Response Frequency	Response Count
1	0.0%	0
2	0.0%	0
3	16.7%	5
4	26.7%	8
5	56.7%	17
Answered Question		30
Skipped Question		35

30. Please rate the extent to which your project matched the original Scope of Work submitted in the application?
(1=not at all completed; 5=thoroughly completed)

Answer Options	Response Frequency	Response Count
1	0.0%	0
2	0.0%	0
3	9.7%	3
4	41.9%	13
5	48.4%	15
Answered Question		31
Skipped Question		34

31. To what extent did your Scope of Work change? What were the reasons for the change?

Responses	
<ul style="list-style-type: none"> • Did not change. • Time delays in Caltrans process • By the time the grant was awarded we wanted to change the stations at which this study would be conducted. This was allowed by Caltrans' staff because the new stations had underrepresented populations. • Committee and stakeholders input • No change • Given constraints in the time available to complete the project's grant limitations, we had to compress the Scope of Work • Time extensions were requested, because third party contractor did not keep with the schedule. • Some items took longer than anticipated. Caltrans needed to close out the project earlier than approved in the original award. • The scope did not change • The traffic modeling component presented unforeseen issues that resulted in relatively minor modifications to the Scope. • Because the project was nearing the grant deadline, all aspects of the project was done within a year time frame. • The scope was modified because a new County Public Works Director did not like the original Scope of Work and Caltrans had a need for more of a focus on Title VI issues than was previously proposed. The new scope of work was met and arguably exceeded. • No change • No major change • There were some minor changes needed to gather additional data that helped to resolve conflicts between competing interests in the community. 	
Answered Question	15
Skipped Question	50

32. What is the current status of the project funded by Caltrans?
(select one)

Answer Options	Response Frequency	Response Count
Plan/study completed – no progress toward implementation	24.1%	7
Some progress toward implementation of plan, but major obstacles exist	41.4%	12
Significant progress – plan is currently being implemented	24.1%	7
Plan has been fully implemented	10.3%	3
Answered Question		29
Skipped Question		36

33. Elaborate on the current status of the project, describing the reasons why the project was carried forward to the next stage of implementation, the obstacles to implementation, or why no progress has been made toward implementation.

Responses

- Plan is in place and being carried forward through new developments.
- The project and vision plan are complete. Because of the vision plan, a Summit was held by the Supervisor for the district and he has also established a task force to make sure that the future growth in the region is healthy, viable and sustainable.
- The plans are used to justify grant applications. For example, the work done through the EJ grant was used to apply for specific projects at the Lake Merritt BART station through MTC's Lifeline program. Funding, however, to implement many of the projects recommended through this planning effort has not been readily available.
- Just completed
- The project is in phase three and is looking to implement strategies developed in the earlier phases and carry forward recommendations for studies done in phase II.
- Primarily lack of available funding at the City level to move the project forward.
- Updates to other plans have happen as a result. Some of the improvements identified in the plan are nearing implementation by other entities. Some projects have been taken on by partner entities and are in the PA & ED phase.
- This planning grant provided valuable preliminary input into a planning process

Responses

which is currently resulting in implementation of some of the recommendations. Funding limitations exist.

- The proposed improvements recommended by the plan we produced from the grant are now under construction.
- The product spans jurisdictions and implementation has been hampered by a lack of consensus.
- We are trying to determine if we need an EIR or a negative mitigation at this time. We will be applying for larger construction monies as well if we can continue to fundraise and meet the match criteria.
- A major obstacle to implementation of the TOD Visions for five station areas was the RCTC's lack of vision. The transit agency owned the most important land parcels proximate to the rail station, and was moving forward with plans to build parking garages on that land.
- Project is in progress however is behind schedule due to maternity leave of agency project manager.
- The project was carried forward to the next phase of implementation so that the organization could train and measure its impact on our target market.
- The planning effort itself comprised a major part of the project. The plan is now adopted, and we have follow-up projects that are being guided by the circulation and land use policies of the adopted plan.
- The project recommended policy changes that are being implemented over time and through follow-up grant-funded efforts, including another EJ grant.
- We are early in the development of our project
- Funding primary obstacle to implementation.
- Cost and land ownership
- Next step: funding.
- Current economic environment has severely hindered the ability to obtain acquisition, construction and permanent financing for viable affordable housing sites.
- Agency and public support was garnered, however, limited funding for the major recommendations of the plan remains to be obtained.

Answered Question **22**

Skipped Question **43**

34. Please rate the extent to which the funded project functioned as a catalyst for other community improvement projects in your community.
(1=not at all; 5=very much a catalyst)

Answer Options	Response Frequency	Response Count
1=not at all	7.4%	2
2	7.4%	2
3	18.5%	5
4	44.4%	12
5=very much a catalyst	22.2%	6
Answered Question		27
Skipped Question		38

35. Please elaborate on your rating.

Responses

- See question 25. The region is being included in a General Plan Amendment.
- One of the station plans will be used as a foundation for a specific plan process to be conducted at one of the BART stations studied in the EJ grant. However, little additional work has been done at the Richmond BART station, in part because a TOD is currently underway and many of the identified access barriers will be improved.
- Community is going through a transition from agricultural to industry. Low-income, non-English speaking community that is surrounded by new housing development.
- By laying out a vision for what the community impacted by the completion of the I-210 Freeway would like to see (increased pedestrian/bicyclist connections, transit-oriented development encouraging a mix of housing and commercial/retail opportunities), the Plan could serve as a significant catalyst for development within the study area.
- The timing was good for enhancing collaboration with the local City, County, and State offices by giving the Tribe a resource to offer.
- It paved the way for other similar planning charrettes in our county.
- New projects are currently underway.
- Influenced community to request similar improvements in other locations.
- The product is very much in demand and has been applied and expanded upon through a voluntary continuation of the original grant project workgroup.
- The Redlands Conservancy is working on a local trails map and has also raised

Responses

- money to create a trail in honor of a dedicated community volunteer.
- Our project served as a great model as it tried to set up a team of 'Ambassadors' to guaranteed sustainability.
- As noted above, the plan is being used as a guide to craft the next level of planning documents such as annexations, pre-zones, and site specific designs.
- The project changed the way transport, planning, public health and stakeholder groups understand, collaborate upon and address transportation equity in the region; it was given an award by the CA chapter of the American Planning Association and has been/is being presented widely as a replicable model.
- The funded project assisted the City in confirming community transportation patterns.
- Project objectives enhanced community awareness of needs and issues identified in project.
- The City has a very high community involvement process in place.
- Seen as a model of community participation in planning
- The project will serve as an important catalyst once one of the sites is acquired for affordable housing development.
- The project resulted in recommendations that are being pursued. Implementation is proceeding as funding becomes available.

Answered Question 16

Skipped Question 49

36. What do you consider to be the top three characteristics of a successful project?

Characteristic 1	Characteristic 2	Characteristic 3
<ul style="list-style-type: none"> • Meets the needs of the community 	<ul style="list-style-type: none"> • Can withstand the changes of times (economy, etc.) 	<ul style="list-style-type: none"> • Sound program that includes forward thinking ideas
<ul style="list-style-type: none"> • Community Engagement and Involvement 	<ul style="list-style-type: none"> • Political Support 	<ul style="list-style-type: none"> • Support from Community Based Organizations and other County Departments
<ul style="list-style-type: none"> • Quality and quantity of public involvement 	<ul style="list-style-type: none"> • Identifiable projects 	<ul style="list-style-type: none"> • A plan for the future

Characteristic 1	Characteristic 2	Characteristic 3
<ul style="list-style-type: none"> Commitment of the stakeholders (political officials, community groups, business community, residents, etc) 	<ul style="list-style-type: none"> Community Participation 	<ul style="list-style-type: none"> Context Sensitive- Knowing what resources are available to the local community to effect change
<ul style="list-style-type: none"> Community involvement 	<ul style="list-style-type: none"> Stakeholders participation 	<ul style="list-style-type: none"> Stay on track with Scope of work
<ul style="list-style-type: none"> Community buy-in & support 	<ul style="list-style-type: none"> A clear vision for how to proceed 	<ul style="list-style-type: none"> A project which gets the funding it needs for implementation
<ul style="list-style-type: none"> Leadership 	<ul style="list-style-type: none"> Momentum 	<ul style="list-style-type: none"> Timing
<ul style="list-style-type: none"> Stakeholder Participation 	<ul style="list-style-type: none"> Stakeholder Buy-In 	<ul style="list-style-type: none"> Successful Implementation
<ul style="list-style-type: none"> Addresses a perceived need in the community. 	<ul style="list-style-type: none"> Educates all concerned and builds towards future collaborative efforts. 	<ul style="list-style-type: none"> Results in actual changes being implemented.
<ul style="list-style-type: none"> Community support 	<ul style="list-style-type: none"> Feasibility of implementation 	<ul style="list-style-type: none"> Clear outcome
<ul style="list-style-type: none"> Can lead to something that is fundable. 	<ul style="list-style-type: none"> Is acceptable to the community. 	<ul style="list-style-type: none"> All stakeholders involved.
<ul style="list-style-type: none"> Project completed within project time frame. 	<ul style="list-style-type: none"> Coordination and communication between different stakeholders. 	<ul style="list-style-type: none"> The ability to retain momentum while building a volunteer base to apply for grants.
<ul style="list-style-type: none"> Community involvement in identifying problems and finding solutions. 	<ul style="list-style-type: none"> Acceptance by various different interest groups. 	<ul style="list-style-type: none"> Backing of local politicians and decision makers.
<ul style="list-style-type: none"> Vision 	<ul style="list-style-type: none"> Evaluation 	<ul style="list-style-type: none"> Impact
<ul style="list-style-type: none"> Public participation 	<ul style="list-style-type: none"> Agency hearing and implementing ideas of public 	<ul style="list-style-type: none"> Implementation follow-through

Characteristic 1	Characteristic 2	Characteristic 3
<ul style="list-style-type: none"> Diversity of participation and collaborative education 	<ul style="list-style-type: none"> Outcomes that many agencies and organizations can put to use into the future 	<ul style="list-style-type: none"> New, fruitful partnerships that result in tangible community improvements
<ul style="list-style-type: none"> Was the project completed? 	<ul style="list-style-type: none"> Did the project provide intended results/outcomes? 	<ul style="list-style-type: none"> Did the project result in change for the community?
<ul style="list-style-type: none"> Working within the designated time frame 	<ul style="list-style-type: none"> meeting the goals and objectives as proposed 	<ul style="list-style-type: none"> Implementing the project as proposed
<ul style="list-style-type: none"> Community buy-in 	<ul style="list-style-type: none"> Subsequent implementation 	<ul style="list-style-type: none"> Stimulant to additional planning.
<ul style="list-style-type: none"> the community is happy with the project 	<ul style="list-style-type: none"> the City Council is happy with the project 	<ul style="list-style-type: none"> the City Council provides funds to implement the project
<ul style="list-style-type: none"> On time 	<ul style="list-style-type: none"> follows scope 	<ul style="list-style-type: none"> No major hang ups
<ul style="list-style-type: none"> Consensus or near consensus 	<ul style="list-style-type: none"> Full buy-in from community 	<ul style="list-style-type: none"> Funding follows plan
<ul style="list-style-type: none"> The analyses of sites to show what's viable and what isn't. 	<ul style="list-style-type: none"> Community support and involvement. 	<ul style="list-style-type: none"> Local government support and involvement.
<ul style="list-style-type: none"> Identification of community values 	<ul style="list-style-type: none"> Development of an establish work plan 	<ul style="list-style-type: none"> Commitment to follow through
Answered Question		24
Skipped Question		41

37. Please rate the extent to which you consider your project a success?
(1=not at all a success; 5=a complete success)

Answer Options	Response Frequency	Response Count
1=not at all a success	0.0%	0
2	0.0%	0
3	29.6%	8
4	51.9%	14
5=a complete success	18.5%	5
Answered Question		27
Skipped Question		38

38. Please rate the significance of the following barriers in preventing implementation of the completed project.
(1=not a barrier; 5=significant barrier)

Answer Options	1	2	3	4	5	Rating Average	Response Count
Lack of funding for improvements	4	0	4	3	15	3.96	26
Lack of community outreach	16	6	2	1	0	1.52	25
Lack of community participation	12	6	5	2	0	1.88	25
Language accessibility	15	7	1	2	1	1.73	26
Bureaucratic hurdles	5	0	6	7	7	3.44	25
Complexity of technical issues	7	4	9	3	3	2.65	26
Weakness of community's political support and/or leadership	10	4	5	5	2	2.42	26
Answered Question							26
Skipped Question							39

39. Please elaborate on your ratings.

Responses	
<ul style="list-style-type: none"> Community is low income, predominantly Spanish speaking in a rural agricultural area that is changing. There are no sidewalks or gutters along neighborhood streets. The study area includes both the City of San Bernardino and an unincorporated area of the County. This could provide an additional level of complexity, as the potential vision expressed by the residents within the City portion is not completely enmeshed with that of County residents, and will need further coordination to reach consensus. Lack of funding to implement transportation-related improvements is a significant barrier due to state and local budget constraints and the issue that it is difficult to get buy-in for a project from the entire city council when the project effects only one city council member's district Funding for capital implementation came from several grant sources since no one source would fully fund project. Implementation was slowed down by Caltrans Local Assistance process for federal grant funds. Intellectual property, software licenses, and lack of capacity/leadership with the RTPA have resulted in conflict regarding how to share the traffic model without altering the original and effectively creating separate copies for each jurisdiction. I'm not sure how to elaborate any further on this. There is a finite amount of money to go to non-motorized transportation for planning and construction. It's less than 1% compared to the amount directed towards new freeways and maintenance of existing roads. Funding, engineering and need to seek permits from other agencies are the largest barriers of the project. During the project, outreach, participation, political support were not an issue because innovative techniques were used to engage non-traditional participants. After the project, most governments aren't set up to follow through with this type of engagement. Also, transport equity issues and the need for multi-disciplinary approaches are foreign to 'silo-oriented' government processes, making it hard for them to implement our recommendations. None of these are applicable to the project. The transportation study was completed as intended. Our project is educational and rating the above checks in a narrative does not seem realistic. This project was supported by the community - lack of funds is the current barrier to the project The biggest barrier is the limited funding for implementing community priorities. 	
Answered Question	12
Skipped Question	53

40. Please provide any other significant barriers to implementation of the completed project that were not listed in the previous question.

Other Significant Barrier 1	Other Significant Barrier 2	Other Significant Barrier 3
<ul style="list-style-type: none"> Struggling local and national economy 		
<ul style="list-style-type: none"> Racism 	<ul style="list-style-type: none"> Poverty 	<ul style="list-style-type: none"> Violence
<ul style="list-style-type: none"> Minority community seeking funding. 	<ul style="list-style-type: none"> Bureau of Indian Affairs unhelpful. 	
<ul style="list-style-type: none"> Funding 	<ul style="list-style-type: none"> Land ownership 	<ul style="list-style-type: none"> Future flood control project
<ul style="list-style-type: none"> State roadway standards as they apply to pedestrian traffic 		
<ul style="list-style-type: none"> Bureaucratic hurdles 	<ul style="list-style-type: none"> Availability of data 	<ul style="list-style-type: none"> Volunteer capacity
Answered Question		6
Skipped Question		59

41. What did NOT work and should be avoided when completing the plan funded by the Caltrans grant?

Responses	
<ul style="list-style-type: none"> Make sure that all the right people are involved in the project from the beginning. Even though representatives from agencies are involved, the project needs to be discussed with high level agency partners. The planning effort took longer than we anticipated and consideration should be given to the timing of the grant award and the expiration of funds. I don't know yet. We have had a successful plan that was adopted right away by the city. Agency should have back up project manager when assigned manager is absent for a long period of time. Consultants from outside the area expert in their field yet unfamiliar with rural issues/communities. Postponing work so extensions were necessary 	
Answered Question	
6	
Skipped Question	
59	

42. Once the plan was completed, what did NOT work when implementing the plan's recommendations?

Responses	
<ul style="list-style-type: none"> The plan is moving forward. The County spearheaded a cross-jurisdictional traffic model and copies were made for multiple agencies, although there is still no agreement in effect to govern the use of the model. I don't know yet. Plan is not complete. That this phase wasn't part of the funded project. Not applicable Inability to gain sufficient support for funding. Still working on the plan implementation Still early, funding may follow, hasn't yet. Some of the consultant's guidance & recommendations were not practical/inexperience working with Caltrans. 	
Answered Question	
10	
Skipped Question	
55	

43. Caltrans is considering the following methods to showcase and market projects funded by the Transportation Planning Grants. Please rate how effective you believe these efforts would be. (1=not effective; 5=highly effective)

Answer Options	1	2	3	4	5	Rating Average	Response Count	
Presenting planning grants and resulting projects at related conferences	0	1	3	13	11	4.21	28	
Hosting a collaborative workshop/conference/public meeting to showcase funded projects	1	2	10	8	7	3.64	28	
Talk radio appearance	8	8	4	4	4	2.57	28	
Pamphlets/flyers	3	6	13	4	2	2.86	28	
Newscasts	6	7	5	6	3	2.74	27	
Word of mouth	5	5	7	8	3	2.96	28	
TV/Film – documentaries, profile	4	7	5	7	4	3.00	27	
Page on the Caltrans Website	1	5	3	12	7	3.68	28	
Commercials/advertisements	7	6	3	6	4	2.77	26	
Guidebooks/manuals	2	3	9	7	5	3.38	26	
Newspaper	4	7	5	8	3	2.96	27	
Other effective methods (please specify)								
<ul style="list-style-type: none"> Professional Association publications Talk radio and word of mouth because they are different, simple, quick and can reach a broad audience. The other methods are frankly mundane and time consuming, and will either be overlooked, ignored or attended by folks who already know about the efforts. Depends on who your audience is... professionals, go to conferences; public is radio/TV/newspaper. Website info makes it searchable at least, but it's not otherwise visible. N/A 							4	
Answered Question							28	
Skipped Question							37	

44. Please elaborate on any other suggestions you may have to improve the Caltrans Transportation Planning Grants Program.

Responses	
<ul style="list-style-type: none"> We could not use funds for staff time. As the project manager, I had staff that spent many hours on this project only. We should have been able to bill this time to the grant. Send flash e-mail notices to all agencies potentially interested informing them of the availability and due date of the grant applications. 	
Answered Question	2
Skipped Question	63

Your contact information and survey feedback will be used by Caltrans to highlight project successes, challenges, and to generally improve the application process. We will also use your contact information to e-mail you the survey results. Your contact information will remain confidential and will not be disclosed to anyone not involved in this evaluation.

Name	Organization	Address	City	State	Zip	Email Address	Phone Number
Amy Ho	City of Monterey Park	320 W. Newmark Ave.	Monterey Park	CA	91801	amho@montereypark.ca.gov	626-307-1383
Sandra J. Jackson	Riverside County Dept. of Public Health	4065 County Circle Dr.	Riverside	CA	92503	swales@co.riverside.ca.us	951-358-5898
Deidre Heitman	Bay Area Rapid Transit District	300 Lakeside Drive, 16th Floor	Oakland	CA	94612	dheitma@bart.gov	510-287-4796
Lorna Foster	Caltrans District 8	464 West Fourth Street, 6th Floor	San Bernardino	CA	91710	lorna_foster@dot.ca.gov	909-383-4473
Kevin Viera	WRCOG	4080 Lemon St	Riverside	CA	92501	viera@wrcog.cog.ca.us	
Tatiana Ahlstrand	Caltrans	1565 Union Street	Eureka	CA	95501	tatiana_ahlstrand@dot.ca.gov	707-441-4540
Margaret Hokokian	Caltrans	1352 W. Olive	Fresno	CA	93728	margaret_hokokian@dot.ca.gov	559-488-7307
Richard Dial	HDR Engineering, Inc.	8690 Balboa Avenue, Suite 200	San Diego	CA	92123	richard.dial@hdrinc.com	858-712-8367
Forest Becket	Caltrans District 9	500 South Main St.	Bishop	CA	93514	forest_becket@dot.ca.gov	760-872-0659
Jennifer Dansby	Fresno Council of Governments	2735 E. Altamont Ct.	Fresno	CA	93720	jenniferd@fresnocog.org	559-233-4148
Michael Radetsky	San Francisco Dept. of Public Health	30 Van Ness Avenue, Suite 2300	San Francisco	CA	94102	michael.radetsky@sfdph.org	415 581-2418
Kathy Kleinbaum	City of Oakland Redevelopment Agency	250 Frank Ogawa Plaza, Suite 5313	Oakland	CA	94612	kkleinbaum@oaklandnet.com	510-238-7185
Jesse Robertson	Caltrans	1656 Union Street, P.O. Box 3700	Eureka	CA	95502-3700	jesse_robertson@dot.ca.gov	707-441-2009
Daniel Kopulsky	Caltrans, District 8	464 W. 4th Street	San Bernardino	CA	92401	Dan_Kopulsky@dot.ca.gov	909-383-4557
Karen Arnstein	Redlands Conservancy	1516 Laramie Ave.	Redlands	CA	92374	karen_single@yahoo.com	
Robert Talley	Caltrans District 4	Office of Community Planning, MS 10D, PO Box 23660	Oakland	CA	94623-0660	robert_talley@dot.ca.gov	510-286-5521
Wangyee Vang	Lao Veterans of America Institute Inc.	711 S. Minnewawa Ave.	Fresno	CA	93727	laoinstitute@yahoo.com	559-930-3745
Bill King	City of Merced	678 W 18th Street	Merced	CA	95340	kingb@cityofmerced.org	209-385-6858
Jennifer Rice	Redwood Community Action Agency	904 G Street	Eureka	CA	95501	jen@nrscaa.org	707.269.2060
Annette Peretz	City of Bell	6250 Pine Avenue	Bell	CA	90201	aperetz@cityofbell.org	323-588-6211

Name	Organization	Address	City	State	Zip	Email Address	Phone Number
Joseph Myers	National Indian Justice Center	5250 Aero Drive	Santa Rosa	CA	95403	josephmyers@nijc.org	707 579 - 5507
Bruce Klein	Bishop Paiute Tribe	50 Tu Su Lane	Bishop	CA	93514	bruce.klein@bishoppaiute.org	760 873-3584
Dave Mitchell	City of San Jose	PRNS Dept, 200 East Santa Clara St., 9th Fl.	San Jose	CA	95113	dave.mitchell@sanjoseca.gov	408-793-5528
Val Menotti	BART	300 Lakeside Drive, 16th Floor	Oakland	CA	94612	VMenott@bart.gov	510.287.4794
Dan Herron	Caltrans D5	50 Higuera St.	San Luis Obispo	CA	93401	dan.herron@dot.ca.gov	805 549-3510
Ron Fong	Little Tokyo Service Center	231 E. 3rd Street, Suite G-106	Los Angeles	CA	90013	rfong@LTSC.org	213-473-3025
Maria Rodriguez	Caltrans D-10	1976 E. Charter Way	Stockton	CA	95201	mrodr03@dot.ca.gov	209-948-7475

Caltrans Transportation Planning Special Studies Program Survey Results

1. Which county or counties does your agency or organization serve? (select all that apply)

Answer Options	Response Count	Answer Options	Response Count
Statewide agency/ organization	14	Nevada	1
Alameda	0	Orange	0
Alpine	0	Placer	2
Amador	0	Plumas	0
Butte	1	Riverside	0
Calaveras	0	Sacramento	2
Colusa	1	San Benito	0
Contra Costa	0	San Bernardino	0
Del Norte	0	San Diego	4
El Dorado	1	San Francisco	0
Fresno	1	San Joaquin	0
Glenn	1	San Luis Obispo	0
Humboldt	0	San Mateo	0
Imperial	4	Santa Barbara	0
Inyo	0	Santa Clara	0
Kern	0	Santa Cruz	0
Kings	0	Shasta	0
Lake	0	Sierra	1
Lassen	0	Siskiyou	0
Los Angeles	1	Solano	0
Madera	0	Sonoma	0
Marin	0	Stanislaus	0
Mariposa	0	Sutter	1
Mendocino	0	Tehama	0
Merced	0	Trinity	0

Answer Options	Response Count	Answer Options	Response Count
Modoc	0	Tulare	0
Mono	0	Tuolumne	0
Monterey	0	Ventura	0
Napa	0	Yolo	1
		Answered Question	20
		Skipped Question	1

2. Which city or cities does your organization serve?

Responses

- All 459 cities.
- County of San Diego, San Diego, Oceanside, Carlsbad, Encinitas, Solana Beach, Del Mar, National City, Chula Vista, Imperial Beach, Lemon Grove, Santee, El Cajon, Poway, Escondido, Vista, San Marcos, Coronado, La Mesa, County of Imperial, Calexico, El Centro, Imperial, Brawley, Holtville, Calipatria, Westmorland
- Nationwide.
- HQ in Sacramento but serve statewide.
- San Diego, Solana Beach, Carlsbad, Escondido, Del Mar, Coronado, La Mesa, Chula Vista, National City, El Cajon, Encinitas, Imperial Beach, Lemon Grove, San Marcos, Santee, Vista
- All within San Diego and Imperial counties.
- Brawley, Calexico, Calipatria, El Centro, Imperial, Holtville, and Westmorland
- Statewide, all urban areas

Responses

- Crescent City, Arcata, Blue Lake, Eureka, Ferndale, Fortuna, Rio Dell, Trinidad, Clearlake, Lakeport, Fort Bragg, Point Arena, Ukiah, Willits, Susanville, Alturas, Portola, Anderson, Redding, Shasta Lake, Dorris, Dunsmuir, Etna, Fort Jones, Montague, Mount Shasta, Tulelake, Weed, Yreka, Corning, Red Bluff, Tehama, Biggs, Chico, Gridley, Oroville, Paradise, Colusa, Williams, Placerville, South Lake Tahoe, Orland, Willows, Grass Valley, Nevada City, Truckee, Auburn, Colfax, Lincoln, Loomis, Rocklin, Roseville, Citrus Heights, Elk Grove, Folsom, Galt, Isleton, Rancho Cordova, Sacramento, Loyalton, Live Oak, Yuba City, Davis, West Sacramento, Winters, Woodland, Marysville, Wheatland, Alameda, Albany, Berkeley, Dublin, Emeryville, Fremont, Hayward, Livermore, Newark, Oakland, Piedmont, Pleasanton, San Leandro, Union City, Antioch, Brentwood, Clayton, Concord, Danville, El Cerrito, Hercules, Lafayette, Martinez, Moraga, Oakley, Orinda, Pinole, Pittsburg, Pleasant Hill, Richmond, San Pablo, San Ramon, Walnut Creek, Belvedere, Corte Madera, Fairfax, Larkspur, Mill Valley, Novato, Ross, San Anselmo, San Rafael, Sausalito, Tiburon, American Canyon, Calistoga, Napa, Saint Helena, Yountville, San Francisco, Atherton, Belmont, Brisbane, Burlingame, Colma, Daly City, East Palo Alto, Foster City, Half Moon Bay, Hillsborough, Menlo Park, Millbrae, Pacifica, Portola Valley, Redwood City, San Bruno, San Carlos, San Mateo, South San Francisco, Woodside, Campbell, Cupertino, Gilroy, Los Altos, Los Altos Hills, Los Gatos, Milpitas, Monte Sereno, Morgan Hill, Mountain View, Palo Alto, San Jose, Santa Clara, Saratoga, Sunnyvale, Benicia, Dixon, Fairfield, Rio Vista, Suisun City, Vacaville, Vallejo, Cloverdale, Cotati, Healdsburg, Petaluma, Rohnert Park, Santa Rosa, Sebastopol, Sonoma, Windsor, Carmel, Del Rey Oaks, Gonzales, Greenfield, King City, Marina, Monterey, Pacific Grove, Salinas, Sand City, Seaside, Soledad, Hollister, San Juan Bautista, Arroyo Grande, Atascadero, Grover Beach, Morro Bay, Paso Robles, Pismo Beach, San Luis Obispo, Buellton, Carpinteria, Goleta, Guadalupe, Lompoc, Santa Barbara, Santa Maria, Solvang, Capitola, Santa Cruz, Scotts Valley, Watsonville, Clovis, Coalinga, Firebaugh, Fowler, Fresno, Huron, Kerman, Kingsburg, Mendota, Orange Cove, Parlier, Reedley, San Joaquin, Sanger, Selma, Arvin, Bakersfield, California City, Delano, Maricopa, Mcfarland, Ridgecrest, Shafter, Taft, Tehachapi, Wasco, Avenal, Corcoran, Hanford, Lemoore, Chowchilla, Madera, Dinuba, Exeter, Farmersville, Lindsay, Porterville, Tulare, Visalia, Woodlake, Agoura Hills, Alhambra, Arcadia, Artesia, Avalon, Azusa, Baldwin Park, Bell, Bell Gardens, Bellflower, Beverly Hills, Bradbury
- All cities within the 11 county District area.
- All Cities in Fresno County

Answered Question	11
Skipped Question	10

3. How many years have you been working in your professional field? (select one)

Answer Options	Response Frequency	Response Count
Less than 1 year	0.0%	0
1 to 5 years	0.0%	0
6 to 10 years	26.3%	5
11 to 15 years	15.8%	3
More than 15 years	52.6%	10
Not Applicable	0.0%	0
Other (please specify)	5.3%	1
Answered Question		19
Skipped Question		2

4. What is the name of your agency?

Responses

- Caltrans
- Caltrans District 11
- HDR
- Department of Transportation, Division of Mass Transportation
- Caltrans
- California Department of Transportation
- California Department of Transportation
- Caltrans
- Caltrans
- California Dept. of Trans. (Caltrans)
- Caltrans
- SANDAG
- Caltrans
- Imperial Valley Association of Governments
- Caltrans

Responses	
<ul style="list-style-type: none"> California Department of Transportation Caltrans Caltrans The California Department of Transportation Council of Fresno County Governments 	
Answered Question	20
Skipped Question	1

5. Identify your District or the State HQ Division name with which you are affiliated.

Answer Options	Response Frequency	Response Count
District 1	0.0%	0
District 2	0.0%	0
District 3	5.0%	1
District 4	0.0%	0
District 5	0.0%	0
District 6	5.0%	1
District 7	5.0%	1
District 8	0.0%	0
District 9	0.0%	0
District 10	0.0%	0
District 11	20.0%	4
District 12	0.0%	0
State HQ Division (please specify)		
<ul style="list-style-type: none"> TSI Division of Mass Transportation Environmental Traffic Operations Environmental Environmental TSI Traffic Operations Aeronautics Environmental Traffic Operations TSI 51 	65.0%	13
Answered Question		20
Skipped Question		1

6. Which of the following terms best describes your organization?
(select all that apply)

Answer Options	Response Frequency	Response Count
State agency	76.2%	16
County agency	0.0%	0
City or town agency	0.0%	0
Multi-jurisdiction/Regional agency	14.3%	3
Consulting Firm	4.8%	1
Non-profit organization	4.8%	1
Community-based organization	0.0%	0
Other (please specify)	0.0%	0
Answered Question		21
Skipped Question		0

7. Which option best describes the role you played as it pertains to a TPSS project? (select one)

Answer Options	Response Frequency	Response Count
Caltrans District Senior Leadership	20.0%	4
Caltrans District Project Manager	15.0%	3
Caltrans District Staff member	15.0%	3
Partner Agency Senior Leadership	0.0%	0
Partner Agency Project Manager	10.0%	2
Partner Agency Staff Member	0.0%	0
Consultant	5.0%	1
Advisory committee member	0.0%	0
Stakeholder (Caltrans shared the results of the TPSS project with me because I am affiliated with a MPO, RTPA, or other agency/organization impacted by the project)	5.0%	1
Other (please specify) <ul style="list-style-type: none"> • Caltrans Project champion • HQ, Project Manager • Caltrans Headquarters Project Manager • HQ Project Manager • Caltrans Headquarter Project Manager • Contract manager 	30.0%	6
Answered Question		20
Skipped Question		1

8. Please elaborate on the specific duties or actions you carried out in relation to the TPSS project.

Responses	
<ul style="list-style-type: none"> • I have a special studies project pending. I'm trying to get it advertised. • Managed the development of the project. Coordinated the application development with contractor (SANDAG). • Trainee/Observer • Project Manager over consultant service contract for Highway Congestion Monitoring Program • Project manager • As Project Manager, I managed the consultant team hired with TPSS funds and continued their work with in-house staff. • Task Review • Direct & Redirect Consultant • Present Findings to Committee • Market Findings to Department and Partners • Approve Payment • Oversight • Project Manager on IGR Project • I was on the project team for the project, and provided technical oversight in the project's development. • Caltrans District 11 and IVAG jointly worked on the TPSS project from the brainstorming of a project to the approval of the final product. It was mutually understood that both agencies shared the ideas and visions of the project, thus shared the responsibilities a Project Management. • Manage consultant service contract for Highway Congestion Monitoring Program • Collect data • Involvement varied from attending public workshops, to reviewing project products, to advising internal staff and grant recipients. • Managed Project 	
Answered Question	15
Skipped Question	6

9. What benchmarks did you use to measure the impact of the TPSS project on the intended community?

Responses	
<ul style="list-style-type: none"> • It hasn't been advertised yet. It's still pending. • Utility of Application • Vehicle hours of delay per day • Participation of team members, 100% turnout equated to 100% interest • Awareness of availability of special study • Acceptance by Committee • Reduction of collision rate and severity • Public Workshops • Data gathered • Does the TPSS project lead to capital project. • Integration of project products 	
Answered Question	10
Skipped Question	11

10. Please rate the extent to which you feel your project completed the original Scope of Work submitted in the application?
(1=not at all completed; 5=thoroughly completed)

Answer Options	Response Frequency	Response Count
1=not at all completed	6.3%	1
2	6.3%	1
3	0.0%	0
4	50.0%	8
5=thoroughly completed	37.5%	6
Answered Question		16
Skipped Question		5

11. To what extent did your Scope of Work change? What were the reasons for the change?

Responses	
<ul style="list-style-type: none"> Some issues related to participation and turnover of targeted staff (internal) and contractor staff in the development of the application led to some minor changes in specific aspects related to functionality in the original scope. None Trying to incorporate more factors into highway congestion than previously done. Instead of just recurrent, everyday congestion, we started looking at nonrecurrent congestion and the factors involved. The intended scope turned out to be rather ambitious for the funding amount. We still prepared three studies, but had to cut back on aspects they could cover. We have in-house staff working on filling in those areas. No change. Constrained by the existing framework of Caltrans' Transportation System Network database Completed as written Work has to be flexible and responsive to the Planning process and public input. There's almost always some tweaking that has to occur. No Changes 	
Answered Question	9
Skipped Question	12

12. What is the current status of your TPSS project? (select one)

Answer Options	Response Frequency	Response Count
Plan/study completed – no progress toward implementation	14.3%	2
Some progress toward implementation of plan, but major obstacles exist	35.7%	5
Significant progress – plan is currently being implemented	28.6%	4
Plan has been fully implemented	21.4%	3
Answered Question		14
Skipped Question		7

13. Elaborate on the current status of your TPSS project, describing the reasons why the project was carried forward to the next stage of implementation, the obstacles to implementation, or why no progress has been made toward implementation.

Responses	
<ul style="list-style-type: none"> Overcoming the obstacles for an IT contract is daunting. Strong working relationship (technical) with contractor was very important to the successful implementation of the project. We need to have statewide personnel training to be able to perform the duties of congestion monitoring in house to include the nonrecurrent congestion. We need to upgrade our automated detection systems to be able to perform our monitoring in house with substantial labor savings. There are fiscal constraints on the implementation and buy-in from state OCIO prior to 100% implementation Two studies have been published, two are currently being finished by in-house staff. Ground breaking research related to decision support implementation. CT staff/managers unsupportive due to threat to perform. Current Consultants were hired who were able to achieve implementation and integration into the daily activities of traffic safety investigators statewide. Headed into second phase of development. Refining application functions and modifying reporting to meet new standards. Local, State and Federal Transportation funding has allowed projects to move forward. Current project is underway. Data was collected and is being evaluated and analyzed. The report with its accompanying charts, graphs and maps will be assembled next month. Contracts hang in DPAC for months. IT contracts get hung up for months on end. Very restricted capital funding opportunities and lack of political agreement at local agency that the capital projects identified by the TPSS work should be funded above other projects. The project goals, although ambitious, were obtainable. 	
Answered Question	13
Skipped Question	8

14. What do you consider to be the top three characteristics of a successful project?

Characteristic 1	Characteristic 2	Characteristic 3
<ul style="list-style-type: none"> Customers use it and/or derive utility from it 	<ul style="list-style-type: none"> Delivered on time and in budget 	<ul style="list-style-type: none"> Gets recognized (in a positive way) by the upper echelons of the Department and/or the Department's customers
<ul style="list-style-type: none"> Meeting business needs 	<ul style="list-style-type: none"> Sustainability 	<ul style="list-style-type: none"> Scalability
<ul style="list-style-type: none"> Effective automated detection systems in place 	<ul style="list-style-type: none"> Annual report being performed by Caltrans personnel without consultant assistance. 	<ul style="list-style-type: none">
<ul style="list-style-type: none"> Project sponsor approval 	<ul style="list-style-type: none"> Number of users of this project 	<ul style="list-style-type: none"> Ease of use and transfer of information
<ul style="list-style-type: none"> Finished on time and within budget 	<ul style="list-style-type: none"> Useful to the target community or stakeholders 	<ul style="list-style-type: none">
<ul style="list-style-type: none"> Implementable 	<ul style="list-style-type: none"> Acceptable to threatened groups 	<ul style="list-style-type: none"> Research effort/findings recognized at national level.
<ul style="list-style-type: none"> Usage by the end users 	<ul style="list-style-type: none"> The project helps meet a goal or an objective 	<ul style="list-style-type: none"> The end results are understandable
<ul style="list-style-type: none"> Implementation 	<ul style="list-style-type: none"> Effective usage of tool (if a tool/application was the end result of the project) 	<ul style="list-style-type: none">
<ul style="list-style-type: none"> Public Awareness and Approval 	<ul style="list-style-type: none"> Policy Representatives 	<ul style="list-style-type: none">
<ul style="list-style-type: none"> Abundant data was collected and evaluated on time. 	<ul style="list-style-type: none"> District submissions were completed on time. 	<ul style="list-style-type: none"> The report was assembled on time.

Characteristic 1	Characteristic 2	Characteristic 3
<ul style="list-style-type: none"> Customers use it and/or derive utility from it 	<ul style="list-style-type: none"> Delivered on time and in budget 	<ul style="list-style-type: none"> Gets recognized (in a positive way) by the upper echelons of the Department and/or the Department's customers
<ul style="list-style-type: none"> Leads to capital project development that Caltrans can accept if on SHS. 	<ul style="list-style-type: none"> Community has positive attitude toward project and Caltrans. 	<ul style="list-style-type: none"> Local agency is pleased with project and Caltrans involvement.
<ul style="list-style-type: none"> Usage/acceptance by customers. 	<ul style="list-style-type: none"> Usage/acceptance by customers. 	<ul style="list-style-type: none"> Usage/acceptance by customers.
Answered Question		13
Skipped Question		18

15. Please rate the extent to which you consider your TPSS project a success?

(1=not at all a success; 5=a complete success)

Answer Options	Response Frequency	Response Count
1=not at all a success	0.0%	0
2	6.7%	1
3	20.0%	3
4	73.3%	11
5=a complete success	0.0%	0
Answered Question		15
Skipped Question		6

16. Please elaborate on your rating.

Responses		
<ul style="list-style-type: none"> The project is still pending 		
<ul style="list-style-type: none"> Could be embraced/utilized by targeted staff at a higher level. It's hard to change from an old (non-technical) solution to a new, technology based solution. 		
<ul style="list-style-type: none"> We are headed the right direction but there are significant obstacles to overcome. 		
<ul style="list-style-type: none"> TPSS portion of the project was very successful, difficulty in implementing during fiscal uncertainties. 		
<ul style="list-style-type: none"> Since we've just published one of the studies, it's hard to tell how it will help with streamlining. 		
<ul style="list-style-type: none"> Other groups are revisiting and pushing the concepts funded by the TPSS. Project manager selected to serve on related NCHRP panels. 		
<ul style="list-style-type: none"> It was a success and is being implemented. Some additional contracts were necessary to improve the product, so that is why a 4 and not a 5. 		
<ul style="list-style-type: none"> Users of the application do not use it efficiently or effectively 		
<ul style="list-style-type: none"> It was a little bit slow in completion but the product was what it should have been. 		
<ul style="list-style-type: none"> The foundations of a good outcome were established by the TPSS project but implementation has been slow. 		
<ul style="list-style-type: none"> Not all aspects of the project are being fully utilized by the customers. Training in its usage seems to be indicated. 		
Answered Question		15
Skipped Question		6

17. Please provide the top three significant barriers to implementation of the completed TPSS project.

Significant Barrier 1	Significant Barrier 2	Significant Barrier 3
<ul style="list-style-type: none"> IT approvals and requirements 	<ul style="list-style-type: none"> DPAC rules and regulations, which seem to constantly change 	<ul style="list-style-type: none"> Marketing the project
<ul style="list-style-type: none"> Staff turnover 	<ul style="list-style-type: none"> Resistance to change to new technology/ procedures 	<ul style="list-style-type: none"> Emerging technologies during project lifespan
<ul style="list-style-type: none"> Lack of automated detection 	<ul style="list-style-type: none"> Lack of trained personnel to utilize the automated data that is becoming available. 	<ul style="list-style-type: none"> Overcome current mindset of preference for probe vehicle detection instead of automated detection
<ul style="list-style-type: none"> Fiscal constraint 	<ul style="list-style-type: none"> Transition of mgt/policy. Requires buy-in to project as is or assume ownership and honor previous agree. 	
<ul style="list-style-type: none"> Inability to go back for more funds when we realized the scope was more ambitious than we had funding for. 		
<ul style="list-style-type: none"> Top management support 	<ul style="list-style-type: none"> Staff resources to implement 	<ul style="list-style-type: none"> Other priorities.
<ul style="list-style-type: none"> Cost 	<ul style="list-style-type: none"> Existing technology 	<ul style="list-style-type: none"> End users uncomfortable with change
<ul style="list-style-type: none"> Target audience unwilling to change current workflow practices 	<ul style="list-style-type: none"> Technological difficulties 	<ul style="list-style-type: none">
<ul style="list-style-type: none"> Funding 	<ul style="list-style-type: none"> Land Use Changes 	<ul style="list-style-type: none">

Significant Barrier 1	Significant Barrier 2	Significant Barrier 3
<ul style="list-style-type: none"> Disparate processes being utilized throughout the state. 	<ul style="list-style-type: none"> Submissions not completed in a timely manner. 	<ul style="list-style-type: none"> Preparation of comprehensive report format is quite time consuming and short deadline is hard to meet.
<ul style="list-style-type: none"> Capital funding for next steps 	<ul style="list-style-type: none"> End of grant funding so process couldn't continue 	<ul style="list-style-type: none"> Funding competition.
<ul style="list-style-type: none"> Money 	<ul style="list-style-type: none"> Data 	<ul style="list-style-type: none"> Time
Answered Question		12
Skipped Question		9

18. What approaches did NOT work and should be avoided when implementing the original project funded by the TPSS program?

Responses	
<ul style="list-style-type: none"> Management of targeted staff should have given firm direction on transition to new system. Continued status quo There are no approaches that didn't work since we had a Caltrans team closely directing the consultants. Relying upon third party monitoring providers for our data. Consultant team made suggestions for highway modifications that were unacceptable to CT. Relying upon third party monitoring providers for our data. 	
Answered Question	5
Skipped Question	160

19. What approaches did NOT work and should be avoided when implementing the recommendations resulting from the original project?

Responses

- These issues have been mitigated in the current (Phase II) of the project which will provide refinements/enhancements to system. Management of targeted staff has provided direction to use application as a standard business practice.
- Unknown
- Consider re-engaging team for implementation.
- There are no recommendations that didn't work since we had a Caltrans team closely directing the consultants.
- As long as it is understood that the TPSS are subject to change according to economy, then it should be okay.
- Relying upon third party monitoring providers for our data.
- Getting recommendations that are not practical but look nice in slide shows.

Answered Question	7
Skipped Question	14

20. Have you applied more than once for a TPSS award?
(select one)

Answer Options	Response Frequency	Response Count
Yes	64.3%	9
No	35.7%	5
Answered Question		14
Skipped Question		7

21. Why or why not? If you have applied multiple times for an award did you receive an award for every funding request?

Responses

- Have been pretty successful, though there have been applications for valuable efforts that have gone unfunded over others that (in my opinion) did not provide a high rate of return on investment.
- Yes, every time
- Received 2 out of 3.
- We wanted to finish this project and demonstrate successful completion before asking for more.
- Other priorities and limited funded.
- Different projects. Yes received funds for two requests
- We implemented the tool developed from our first TPSS award and needed to improve/enhance the tool
- We have received for one more project.
- Yes. One year we were denied but subsequently received funds from DoTP. Unknown if they were TPSS funds.
- Yes. And yes.

Answered Question	10
Skipped Question	11

22. Will you be applying for another TPSS award?
(select one)

Answer Options	Response Frequency	Response Count
Yes	42.9%	6
No	7.1%	1
Maybe	50.0%	7
Answered Question		14
Skipped Question		7

23. What are the key reasons that will inform your decision?

Responses

- What does it take to win a TPSS award?
- Successful project implementation. Need for additional funding. Research that is beyond staffing capabilities (time and/or expertise).
- Budget complications. My study is ongoing, an annual event, therefore outside the definition of special study
- The current process.
- Whether our projects fit into the requirements.
- Management support.
- Whether project need ties into TPSS or fits another program better
- Great opportunity to begin a regional idea and/or goal.
- Whether or not HICOMP is accepted into the Base Allocation.
- Can I fully utilize the available funding to meet my program goals and the goals of the TPSS program. If so, then I will apply for funding.

Answered Question	10
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Skipped Question	11
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24. Please elaborate on any other suggestions you may have to improve the Caltrans TPSS Program.

Responses

- I'll probably think of some later.
- Important activities such as Goods Movement data collection to enhance supply chain analysis and model development should be given high consideration.
- Improve outreach to different divisions. Harold Hunt worked closely with us to realize the potential of this program. But not for his efforts, we would have dropped out of the program.
- Tie evaluation criteria back to Department Mission, Vision and Goals.
- Need to be able to phase projects and have a source of capital development funds so that projects can be readied for construction.

Answered Question	5
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Skipped Question	16
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Your contact information and survey feedback will be used by Caltrans to highlight project successes, challenges, and to generally improve the application process. We will also use your contact information to e-mail you the survey results. Your contact information will remain confidential and will not be disclosed to anyone not involved in this evaluation.

Name	Organization	Address	City	State	Zip	Email Address	Phone Number
Brian Domsic	Caltrans	1120 N Street, MS #38	Sacramento	CA	95274	brian.domsic@dot.ca.gov	916-653-3272
Pat Landrum	Caltrans District 11	4050 Taylor Street	San Diego	CA	92119	pat.landrum@dot.ca.gov	619-688-6476
Jila Priebe	Caltrans	1120 N street	Sacramento	CA	95814		
Rex A. Cluff	Caltrans, HQ, Traffic Operations	1120 N Street, MS-36	Sacramento	CA	95814	rcluff@dot.ca.gov	916-651-9059
Anmarie Medin	Caltrans	1120 N Street	Sacramento	CA	95628	anmarie.medin@dot.ca.gov	916.653.6187
Terry Barrie	Caltrans Division of Aeronautics	1120 N St	Sacramento	CA	94287	terry.barrie@dot.ca.gov	916 654-4151
Barbara Kent	Caltrans, District 11	4050 Taylor Street, M.S. 256	San Diego	CA	92110	barbara.j.kent@dot.ca.gov	619-688-6002
Rosa Lopez	Imperial Valley Assn. of Governments	940 W. Main Street, Suite 208	El Centro	CA	92243	rosalopez@co.imperial.ca.us	760-482-4290
Rex A. Cluff	Caltrans, HQ, Traffic Operations	1120 N St., #4110, MS-36	Sacramento	CA	95814	rcluff@dot.ca.gov	916- 651-9059
Bruce de Terra	Caltrans	703 B Street	Marysville	CA		bruce_de_terra@dot.ca.gov	916-274-0614
Mike Bitner	Fresno COG	2035 Tulare St, Suite 619	Fresno	CA	93722	mbitner@fresnocog.org	

Appendix B

Appendix B: Interviews

List of Interviews

- 2004/2005 HICOMP (*Rex Cluff*)
- Automated Collision Diagram (*unavailable*)
- Baechtel Road—Railroad Avenue Corridor Community Design Study (*Allen Falleri*)
- Central City Community Outreach and Transportation Plan (*Veronica McDonnell*)
- City of Bell—Origin and Destination Study (*Annette Peretz, Tina Gall*)
- Collaborative Planning for Highway 99, San Joaquin Valley (SJV), Phase I (*Katie Benouar*)
- Community Bus Service Planning Study – City of Sacramento Meadowview and Oak Park Communities (*Jim Brown*)
- Corridor Study for Evaluating Transit Priority Measures within Urban Villages (Currently retitled as Mid-City Rapid Bus) (*Miriam Kirshner*)
- Cutler Orosi (*Marta Frausto*)
- Eastside Light Rail Bike Plan (*James Rojas*)
- Fruitvale Alive! Community Transportation Plan (*Marsha Murrington*)
- Highway 33 and Downtown Firebaugh Linkage Study (2006) and Robert Cabral Station Neighborhood Plan (2006) (*Stephan Pellegrini*)
- Highway 33 & Downtown Firebaugh Linkage Study: Context Sensitive Planning for Community Revitalization; Cutler-Orosi Charrette; Robert J. Cabral Station Neighborhood: A Plan for Revitalizing East Downtown Stockton (*Paul Zykojsky, Josh Meyer*)
- Hoopa Traffic Calming (*Warren Tamerius*)
- Jack London Square In-fill BART Station Feasibility Study, November 2001 (*Val Menotti*)
- LA County Bike Transit Center Implementation Plan (*Andrea White*)
- Liaison between OSP and TPSS Funding Recipients (*Meg Rife*)
- Manila Community Transportation Plan—Phase II (*Spencer Clifton*)
- Multi Lingual Transit and Alternative Modes of Public Information and Outreach Program for the SACOG Region (*Jim Brown*)
- Northeast Line Light Rail Stations (*Matt Kowta*)
- North Richmond Truck Route Study (*D'Andre Wells*)
- PEAR Tool and Partnership Portal (*Sally Yokoi*)
- PLACE³S Modeling Technology—Phase I (*Steve Devencenzi*)
- Revive Chinatown Community Transportation Plan (*Julia Liou*)
- Robert J. Cabral Station Neighborhood: A Plan for Revitalizing East Downtown Stockton (*Sharon Sprowls*)
- Santa Fe Depot Specific Plan Update (*Anna Pehoushek*)
- Santa Rosa Citywide Creeks Plan (*Sheri Emerson*)
- Scenario Planning Grant (*Robin Whitehead*)
- South Broad Street Corridor Plan (*Dan Herron*)
- Southeast Asian Transit Awareness Project (*Wangyee Vang*)
- Strawberry Manor Infill and Northeast Line Light Rail Stations (*Sparky Fedolia*)
- Swanston Station Area Infrastructure Needs Assessment and Urban Design Plan (*Sparky Fedolia*)
- Transit-Oriented Development Factors for Success in Western Riverside County (*Danielle Coats*)
- University Ave Mobility Plan and Hillcrest Mobility Corridors Plan (*Samir Hajiri*)
- University Transportation Center (UTC) (*Nancy Chinlund*)
- Update Orange County Area Plan for Adult Day Health Care Services (*Dana Wiemiller*)
- Yurok Tribal Transportation Plan (*Peggy O'Neil*)

2004/2005 HICOMP

Organization Name: District 51; Division of Traffic Operations

Interviewee Name: Rex Cluff

Interviewee Title: Associate Transportation Planner

Interview Date: March 9, 2009

Interviewer: Jennifer Brickett

Experience

1. How long have you been working at Caltrans HQ (or District X)?

8 years

2. How long have you been involved in applying for/implementing TPSS projects? Please briefly describe your roles.

Rex led the HICOMP program for 6½ years.

Rex is the statewide coordinator for the HICOMP program; each districts turns in data and he hires a consultant to develop the statewide report.

Current Status and Next Steps

3. Was the project carried forward to the next stage of implementation? If so, please describe.

TPSS is for unique projects, but this report isn't unique - it's an annual report. They are trying to get funding from a more stable fund source, knowing it will be there every year, but in the meantime, they keep applying for funding through TPSS.

They're trying to move the whole state forward to use new technologies and make the report more comprehensive in scope. In their application last year, they included training to personnel to move away from being dependent on the consultant and to make the application more unique. They'll be able to include more local analysis in the report if they do it themselves. However, the TPSS program wouldn't fund the training. The next stage of implementation would be trying to make the project more unique by training staff to do the work in house.

4. What is the current status of the project funded by Caltrans?

- Plan/study completed – no progress toward implementation
- Some progress toward implementation of plan, but major obstacles exist
- Significant progress – plan is currently being implemented
- Plan has been fully implemented

See above.

TPSS Program

5. Was the administration of the TPSS program by Caltrans headquarters effective in terms of:

- Call for projects - yes
- Selection process of projects - yes
- Kickoff meeting - generally yes
- Provision of technical assistance - N/A
- Provision of contracting assistance - yes, but could be more efficient

- Monitoring of project progress throughout the project? How often did monitoring occur? - yes, kept in touch with contractor
- Provision of year-end reports and close out reports yes
- Following-up on projects after project completion - N/A

6. What suggestions, if any, would you make to improve the overall management and administration of the TPSS program?

Rex didn't have any suggestions. In terms of internal management of contracting system, the in house procurement process could be more streamlined, but this doesn't apply to the Office of State Planning.

7. Do you feel that there was adequate coordination amongst internal stakeholders (District staff and HQ staff) throughout the life of the project?

Yes, there was as much coordination as Rex wanted.

Monitoring and Measurement of Project Outcomes

8. Did you ever conduct any monitoring of your own project to ensure that self-defined benchmarks were being achieved throughout the project life?

Yes, Rex had constant contact with the contractor; he got management involved if necessary to move the project forward.

Project Successes and Challenges/Barriers

9. How do you define "success" for a completed TPSS project? Would you say the planning project that you oversaw was successful? Why, or why not?

A successful project is a report that is acceptable and completed in a timely manner. Rex would like to expand the content of the report.

10. Please provide any significant barriers to project implementation that you experienced.

Barriers: 1) inherent efficiencies within data collection process (methodology for gathering data has certain deficiencies – not as accurate and comprehensive as Rex would like); 2) Rex is trying to bring greater uniformity by transferring everyone to GPS units. Data uniformity will lead to more readable, reliable report. [See post interview information below for more explanation – I misunderstood Rex's response to this question during the interview so my notes above are somewhat inaccurate]

Scope of Work

11. Explain to what extent you feel that your project completed the original Scope of Work submitted in the initial application.

The scope was completed.

Lessons Learned

12. Are there any "lessons learned" from implementing your TPSS project(s)?

See above.

13. Do you have any other suggestions for how Caltrans can improve the TPSS program?

Rex did not provide any suggestions.

14. Do you have any pictures of your final project (or pictures from a phase during project development) that you could share with us electronically?

N/A

Rex provided the following additional information in response to several post-interview questions:

- The TPSS funding in the 2004/2005 grant cycle was provided as a match for federal funding.
- The purpose of the route segment spreadsheet that was developed in addition to the HICOMP report was to numerically depict the results of the district and state monitoring efforts.
- Their contractor was System Metrics Group, Inc.
- That new technologies that Traffic Operations is using to try to make the HICOMP report more comprehensive in scope is used to quantify traffic delay. It is intended to transition toward fully automated monitoring that will electronically capture the speed and volume of the traffic from which delay is calculated.
- Traffic Operations would like to become less dependent on the consultant in the following areas: data collection, data analysis, report writing, spreadsheet development
- TPSS has funded six HICOMP reports
- Training including in a recent TPSS application was to prepare state personnel to take over all the duties that the consultant is currently doing for them
- Traffic Operations transitioned to GPS data collection from mechanical tachometers. This was one step toward creating uniformity. They have yet to install methodology for the calculation and analysis. They are working on this through their Performance Measurement System. The results are mapped out using GIS technology but this has not been the source of discordant methodologies.
- Traffic Operations was in constant contact with the contractor and Rex was able to secure the support of Caltrans management when necessary to move the process forward.

Automated Collision Diagram

Organization Name: Sacramento Headquarters; Division of Traffic Operations

Interviewee Name: Unavailable

Interviewee Title: Unavailable

Interview Date: February 25, 2009

Interviewer: Jennifer Brickett

Experience

1. How long have you been working at Caltrans HQ (or District X)?

25 years

2. How long have you been involved in applying for/implementing TPSS projects? Please briefly describe your roles.

The interviewee has been involved with implementing TPSS projects for 2-3 years. She was involved in the coordination, testing, and implementation of the automated collision diagram. This work was performed with assistance from Visual Statement (contractor) and Caltrans IT staff. To do the work it was necessary to go into the main database and extract data to automatically plot collision diagrams. The project is now completed. They are now enhancing the software and they're in the testing stage right now. For the first disseminated version, you could only do one quarry, but with the new enhanced version you can perform more than 1 quarry.

Current Status and Next Steps

3. Was the project carried forward to the next stage of implementation? If so, please describe.

See above.

4. What is the current status of the project funded by Caltrans?

- Plan/study completed – no progress toward implementation
- Some progress toward implementation of plan, but major obstacles exist
- Significant progress – plan is currently being implemented
- Plan has been fully implemented

TPSS Program

5. Was the administration of the TPSS program by Caltrans headquarters effective in terms of:

- Call for projects
- Selection process of projects
- Kickoff meeting
- Provision of technical assistance
- Provision of contracting assistance
- Monitoring of project progress throughout the project? How often did monitoring occur?
- Provision of year-end reports and close out reports
- Following-up on projects after project completion

The interviewee was not involved in working with the administration of the TPSS program - Brad Baine was more involved in this area. Brad Baine pursued funding and the interviewee was responsible for paperwork.

6. **What suggestions, if any, would you make to improve the overall management and administration of the TPSS program?**

As far as the funding (i.e., paying invoices) everything went smoothly, no issues.

7. **Do you feel that there was adequate coordination amongst internal stakeholders (District staff and HQ staff) throughout the life of the project?**

Yes

Monitoring and Measurement of Project Outcomes

8. **Did you ever conduct any monitoring of your own project to ensure that self-defined benchmarks were being achieved throughout the project life?**

Yes, they monitored their own benchmarks. They set certain timeframes for testing and training investigators who use the system. They worked with IT in every district in the state. This went well for the most part.

Project Successes and Challenges/Barriers

9. **How do you define “success” for a completed TPSS project? Would you say the planning project that you oversaw was successful? Why, or why not?**

A TPSS project is successful when the product produces accurate information. The planning project that the interviewee oversaw was very successful. In terms of impacts, the system has been helpful for investigators to visualize potential problems on roadways. The system also allows investigators to filter accidents by a number of criteria (e.g., time of day, vehicles involved). This reduces the number of accidents. The new software also eliminates the possibility of inaccurately transposing and transferring data.

10. **Please provide any significant barriers to project implementation that you experienced.**

It was necessary to go to every district in the state to train them on this software and it was crucial for IT to be involved. IT is shorthanded which made it difficult; they really need to be on board for a project like this to make sure the software is mapped correctly. It was easier to implement the software in smaller districts with a smaller administration.

Scope of Work

11. **Explain to what extent you feel that your project completed the original Scope of Work submitted in the initial application**

The scope was completed.

Lessons Learned

12. **Are there any “lessons learned” from implementing your TPSS project(s)?**

It would be useful if in the contract, the consultant is responsible for providing the software guides to districts (i.e., materials should be included in the contract). They provided the initial guides, but when modifications were made, Caltrans worked with the districts to disseminate the guides and information.

13. **Do you have any other suggestions for how Caltrans can improve the TPSS program?**

Funding should be used to enhance/modify projects that are already on the ground.

14. **Do you have any pictures of your final project (or pictures from a phase during project development) that you could share with us electronically?**

N/A

Baechtel Road—Railroad Avenue Corridor Community Design Study

Organization Name: City of Willits (*Direct Recipient*)

Interviewee Name: Allen Falleri

Interviewee Title: Community Development Director

Interview Date: February 26, 2009

Interviewer: Vicky Liu

Experience

1. **How long have you been working at your current agency/organization?**

Allen has worked at the City of Willits for eight years. He worked for the Mendocino County for 24 years before working at the City of Willits.

2. **Have you applied more than once for a planning grant? How long have you been involved in applying for/implementing planning grant projects? Please briefly describe your roles.**

Allen believes the City has submitted two applications. The Baechtel Road project was underway when he began work with the City. He was responsible for administration of the grant, overseeing the work, developing the RFP, and selecting the consultant.

Current Status of Project(s) and Next Steps

3. **Please describe where the project left off at the end of funding. Do you know what the status of implementation is today?**

The City adopted the community design study on June 9, 2004. Funding and issues with purchasing private property have stalled the plan’s implementation. The City has had difficulty locating funding to complete the next steps which are design and environmental review. In addition, there is a large piece of land between Baechtel Road and Railroad Avenue which the City needs to create a Baechtel Road/Railroad Avenue corridor which is the ultimate intent of the project. When the City applied for the grant and during the planning process, the property’s owners indicated they were open to the City purchasing the land. Given the economic downturn, they are now not as willing to sell the property.

4. **To what extent has the funded project functioned as a catalyst for other community improvement projects?**

Community groups have formed as a result of the project’s public involvement process. The groups continue to meet and identify possible planning opportunities.

Planning Grant Program (Administration)

5. **What suggestions, if any, would you make to improve Caltrans Headquarters’ overall management and administration of the transportation planning grants program?**

The Caltrans project manager was quite helpful. The community members appreciated that he attended our meetings and workshops.

It would be helpful if Caltrans provided some clarification on the types of projects they are willing to fund and on the grant program’s priorities. Caltrans could also provide examples of successful grant applications.

Change in SOW

6. Explain to what extent you feel that your project completed the original Scope of Work submitted in the initial application?

The project team completed the Scope of Work completely. The consultants also volunteered to provide additional design concepts free of charge.

7. To what extent did your Scope of Work change? What were the reasons for the change?

The Scope of Work did not change.

Project Successes and Challenges

8. Would you say your planning project was successful? Why, or why not?

The planning process was successful for the following reasons:

- Completed Scope of Work
- High community participation – The project’s workshops, tours, and meetings were well attended by the public. The City and the volunteer steering committee coordinated a comprehensive outreach process. They worked with the Chamber of Commerce to advertise project events to the business community and with the Environmental Center to advertise to the environmental community. The City also put up posters in public places and worked with the local paper to publish articles about the project. Students also worked with the City to flier door to door and conduct a community survey.

The project team emphasized interactive participation during the meetings. Designers who could sketch suggestions made by meeting attendees on the spot attended the meetings. The team also brought multiple laptops which could share information to the meetings. The onsite artists and laptops helped to keep the project’s momentum since suggestions could be analyzed immediately rather than at a future community meeting. The project team addressed all issues brought up by the public point-by-point.

- Project Consultants Generated Public Interest – The project involved notably experts in the field of pedestrian-friendly design. Dan Burden from Walkable Communities and Michael Wallwork a roundabout expert consulted on the project. Their participation generated public interest in the project. The tour they gave of the area which focused on highlighting opportunities for pedestrian-friendly improvements was particularly successful.

9. Based on what you know, did the project meet its objectives? How well?

The project met all of its objectives.

10. Best Practices / Lessons Learned (If you were collecting activities in the hope of sharing “best practices” with other project implementers, would you put some of this project’s activities in that collection?)

See the answers to Question 8.

11. Please provide any significant barriers to project implementation that you experienced.

Since the plan area encompasses an old industrial site, the plan had to address complex contamination issues.

Community Engagement

12. CBTP Only: Explain how community-based stakeholder collaboration, partnership, and consensus building were encouraged throughout the project.

See Question 8.

13. What specific methods did you use to involve these groups? (e.g., neighborhood walks, community action/steering committee, technical advisory committee, stakeholder meetings, public workshops/town halls, public hearing with policy body)

See Question 8.

Lessons Learned

14. Are there any “lessons learned” from developing/implementing your planning project?

Given the City’s limited staffing, the project relied heavily on volunteer efforts. Future planning projects will likely rely on volunteers as well.

Community members who participated in the planning process were disappointed by the delay in project implementation caused by the lack of funds. The City will be clearer in the future about the difficulties they may face in implementing planning recommendations.

15. Do you have any other suggestions for how Caltrans can improve the effectiveness of the planning grants program(s)?

N/A

Focus Groups

16. Would you say that this would be a good project candidate to conduct a focus group? Why/Why not?

Yes. Given the small population of the City and the interest generated by the project, it would be easy to advertise the focus group and confirm attendees.

17. If you could contribute questions to be used in a focus group (for gathering community perspectives on planning grant project impacts), what questions would you pose to the group?

Focus group attendees will have questions about when state funding will be available.

Central City Community Outreach and Transportation Plan

Organization Name: Central City Neighborhood Partners (CCNP) (*Subrecipient*)

Interviewee Name: Veronica McDonnell

Interviewee Title: Executive Director

Interview Date: February 27, 2009

Interviewer: Noé Noyola

Experience

1. How long have you been working at your current agency/organization?

Ms. McDonnell has a BA in Business Administration and was the Deputy Director when CCNP was awarded the Caltrans EJ Grant. She has been involved with Central City Neighborhood Partners since 2000. Ms. McDonnell was promoted to Executive Director in 2003.

2. Have you applied more than once for a planning grant? How long have you been involved in applying for/implementing planning grant projects? Please briefly describe your roles.

CCNP is a Non Profit that functions as a catalyst for the central Los Angeles area. Their focus is to support of other community partners through policy and advocacy. Their partner community based organizations in turn provide the service. They have not applied for other EJ or CBTP grants.

Current Status of Project(s) and Next Steps

3. Please describe where the project left off at the end of funding. Do you know what the status of implementation is today?

As a result of the completion of the community plan, several things happened that explain how the planning process functioned as catalyst.

In the short term, CCNP applied for a beautification grant from the city of Los Angeles to improve several bus stops, a specific priority identified within the plan. The bus stop improvements were considered as a demonstration project to showcase how suggestions in the community process translated into tangible changes in the community. The demonstration project beautified 15 bus stops with cleaning and addition of flowers and landscaping. Community volunteers collaborated on the improvement and CCNP hosted a BBQ. Besides providing satisfaction of implementing the plan's priorities, the demonstration project was an effective way to continue to engage the community after the CBTP funded project.

4. To what extent has the funded project functioned as a catalyst for other community improvement projects?

The EJ funded plan also functioned as catalyst by establishing and documenting community priorities that could then be shopped around for funding. Shortly after completion, for instance, CCNP replied to four separate call-for-projects from the Metropolitan Transportation Authority (MTA). Though none of these was funded, the plan emboldened and facilitated CCNP pursuit of implementation funding. In addition, CCNP has recently applied for 4.5 million for transit infrastructure funding from the City of Los Angeles, Safe Routes to School funding, and two other Caltrans grants.

The Central City Transportation Plan also received accolades that brought exposure to CCNP. In 2007, the plan was submitted for consideration to the American Planning Association (APA) and won two Planning Excellence Awards, one at the Local level and another at the National level. In 2008, the plan also received an award from the APA's National Grassroots Initiative. In addition, the plan has received media attention through the New York Times and even through local television

Less tangibly, Ms. McConnell reported that the community transportation plan built momentum within the organization as it functioned as a rallying point for community enhancement and education. Community residents that participated brought concerns to the table also learned how to engage the community planning process, learned new terminology, and how to viably provide input.

Planning Grant Program (Administration)

5. What suggestions, if any, would you make to improve Caltrans Headquarters' overall management and administration of the transportation planning grants program?

The project administration was reported to have much work. Most of the grant funding was directed to the network of partner organizations that CCNP employed to conduct the project outreach and district assessments. In essence, the project budget was split with 5 organizations that were paid to mobilize the community. From the grant total, CCNP retained about \$12,000 for staff costs and printing of the report. The remainder went to the various community based organizations and consultants. Ms. McDonnell initially expressed concerns about how the organization was going to make the amount work. The project took so much time, more than allocation could cover.

Despite the funding restrictions the project ended up with positive results. Ms. McConnell reported that it was rewarding to work with the variety of partner organizations in the community and resulted in a highly engaged community in the project. The various community groups came together as a team to understand community planning, especially things as simple as the terminology. Fortunately a consultant was contracted to guide the process and the multiple partners.

Change in SOW

6. Explain to what extent you feel that your project completed the original Scope of Work submitted in the initial application?

Ms. McDonnell reported that the scope of work tasks were completed as planned no changes to the Scope of Work took place.

7. To what extent did your Scope of Work change? What were the reasons for the change?

N/A

Project Successes and Challenges

8. Would you say your planning project was successful? Why, or why not?

See answer for Question 11.

9. Based on what you know, did the project meet its objectives? How well?

See answer for Question 11.

10. Best Practices / Lessons Learned (If you were collecting activities in the hope of sharing "best practices" with other project implementers, would you put some of this project's activities in that collection?)

See answer for Question 11.

11. Please provide any significant barriers to project implementation that you experienced.

One component of this planning project included the modification and improvement of various bus stops. When the project priorities arrived at the level of implementation, an unforeseen obstacle surfaced: red tape. CCNP was aware that they would need to deal with bureaucracy, but they did not anticipate having to deal with the multiple city and county departments, each with their own agenda and priorities. Though Ms. McConnell was unclear on how or if to eliminate the excessive red tape, but she thought it was a valuable lesson to anticipate.

When they created the plan, CCNP had a sense for the priorities and that these would take a lot of time to implement the actual changes. Still, Ms. McDonnell thought that community members needed to see something change to continue to be inspired and to keep community momentum.

Community Engagement

12. **CBTP Only: Explain how community-based stakeholder collaboration, partnership, and consensus building were encouraged throughout the project.**

N/A

13. **What specific methods did you use to involve these groups? (e.g., neighborhood walks, community action/steering committee, technical advisory committee, stakeholder meetings, public workshops/town halls, public hearing with policy body)**

CCNP coordinated 5 neighborhood groups, each within a zone of central Los Angeles area. CCNP function as a coordinator in the outreach but each of the neighborhood groups conducted the various on-the-ground surveys and assessments.

Ms. McConnell thought the most important consideration was to engage community in a really meaningful way. It should be more than just flyer, and not just a meeting. Understanding the community you in, primary language, you engage them so voices are being heard, and valuing the input.

Lessons Learned

14. **Are there any “lessons learned” from developing/implementing your planning project?**

See answer for Question 14.

15. **Do you have any other suggestions for how Caltrans can improve the effectiveness of the planning grants program(s)?**

Although the final product completed in Summer of 2006, and was submitted to the City of Los Angeles Department of Transportation (lead agency) and the Caltrans district office, it appears that Caltrans HQ had not yet received the final product (based on ICF’s inventory Summer 2008). Ms. McDonnell thought it was an indication of a distance created by the layers of agencies involved. This became further complicated since the project was transferred from the mayor’s office to the city’s Dept of Transportation. She wondered if the program rules allow for a non profit to lead or manage a project independently..

Focus Groups

16. **Would you say that this would be a good project candidate to conduct a focus group? Why/Why not?**

Not applicable due to the distance. Also staff from their partner agencies and other core leaders are no longer at those agencies, turnover.

17. **If you could contribute questions to be used in a focus group (for gathering community perspectives on planning grant project impacts), what questions would you pose to the group?**

No questions at the moment.

General Interviewee Comments

CCNP encourages Caltrans to reduce a delay in execution of grant from acceptance to contracting to project launch. Their experience was that the contract was executed in April, but it took 10 months to get going. In order to not lose momentum from submitting application, it would be beneficial to narrow the administrative timeline to project launch.

Ms. McConnell indicated that CCNP submitted another grant application and she thought it was a bit harder, especially since page limits have been introduced. She thought the change could be good since it forces the applicant to be concise.

City of Bell—Origin and Destination Study

Organization Name: City of Bell, Community Services Department (*Direct Recipient*)

Interviewee Name: Annette Peretz, Tina Gall

Interviewee Title: Director, Community Services

Interview Date: March 5, 2009

Interviewer: Noé Noyola

Experience

1. **How long have you been working at your current agency/organization?**

Ms Peretz has been at the City of Bell over 20 years mainly in the role of project management. Previously she has worked with Nelson Nygaard.

2. **Have you applied more than once for a planning grant? How long have you been involved in applying for/implementing planning grant projects? Please briefly describe your roles.**

The impetus for application is simply that the Caltrans Environmental Justice Grants were available, and that the City thought it would be interesting to study transportation patterns to the city. The City had initially been approached by the Caltrans local (district) representative about the EJ program who was eventually very instrumental in assisting the City in getting money.

The project started with the simple objective to understand how people were traveling in and out of the City of Bell. With the information, the City hoped to eventually be ensuring adequate access to public transit, or that services were accessible to residents with walking district. The City wanted to know what programs they needed to create and for what audiences. Ultimately, they hoped to strengthen the ability to retain people so they don’t feel like there are no travel options and have to leave the community.

The City of Bell has spent the past 15 years on improving and revitalizing the city, especially the Parks and Recreation facilities. In Bell, housing lots are small, there a significant number of renters, and most of the residents are Hispanic. Many, especially seniors, rely on the city’s ability to provide services and only leave the city for work related activities and other major activities. Essentially, the City saw the demand to understand

Current Status of Project(s) and Next Steps

3. **Please describe where the project left off at the end of funding. Do you know what the status of implementation is today?**

Ms. Peretz, stated that they have continued efforts to address the trends, that the City has used the study as a baseline to make decisions about transportation. The study has been more of a scientific confirmation of anecdotal evidence for transportation patterns.

4. **To what extent has the funded project functioned as a catalyst for other community improvement projects?**

The project did not serve as a direct catalyst for other projects. The emphasis was simply to understand the details of travel in and out of the City, so it is a difficult proposition build specific improvements from an academic study. Ultimately, the city is using the study to make better policy decisions that will make the city more accessible to our residents and visitors.

Planning Grant Program (Administration)

5. What suggestions, if any, would you make to improve Caltrans Headquarters' overall management and administration of the transportation planning grants program?

Ms. Peretz described the project administration as "fairly smooth sailing," and the reimbursement process as "fine." Clarifications from Caltrans staff were easily attained and overall it was a "really easy" process.

The subcontract with the consultants that conducted the study was more difficult, however. Mainly, it was not very time efficient in that there were numerous meetings simply to frame the purpose and scope. Still, it was important for the city to help define how the data would be collected and it resulted in an effective methodology that included a wide cross section of interview types.

Change in SOW

6. Explain to what extent you feel that your project completed the original Scope of Work submitted in the initial application?

The project scope was completed fully. From the City's perspective there were very strict requirements that they needed to fulfill as part of the project. Specifically these included the surveys, interviews, and quantitative measurement of travel data.

7. To what extent did your Scope of Work change? What were the reasons for the change?

No specific changes took place.

Project Successes and Challenges

8. Would you say your planning project was successful? Why, or why not?

Yes, again, the City was able to scientifically understand a key component of the City.

9. Based on what you know, did the project meet its objectives? How well?

The project completed the objective very well in that every task was completed.

10. Best Practices / Lessons Learned (If you were collecting activities in the hope of sharing "best practices" with other project implementers, would you put some of this project's activities in that collection?)

The biggest success or lesson learned was to have a strong consulting group to implement the project itself. City staff did not have the time or talent to engage with a study of this kind so it would not have been possible without outside expertise. The consulting firm was very conciliatory with community and staff in that they "really listened and interpreted our goals."

11. Please provide any significant barriers to project implementation that you experienced.

A barrier surfaced when attempting to measure people's real feelings about an academic subject. People travel in and out of the city and really don't think too much on what the impact is on the city services and ultimately on their quality of life. So, during the interviews of the community it was tough to measure the nuances of their response or to really quantifiably gauge what the respondents feelings are about this issue. It was difficult to know if their answers were slanted a certain way because they were responding to an "official" government interview.

Community Engagement

12. CBTP Only: Explain how community-based stakeholder collaboration, partnership, and consensus building were encouraged throughout the project.

Not applicable.

13. What specific methods did you use to involve these groups? (e.g., neighborhood walks, community action/steering committee, technical advisory committee, stakeholder meetings, public workshops/town halls, public hearing with policy body)

Because the vast majority of the City of Bell residents are Latinos, and many are monolingual Spanish speaking immigrants, all the outreach for this project was bilingual in Spanish and English. In Bell, this is necessary in order to achieve any kind of connection with the community.

For this project, the City took advantage of the existing access they already had in the community. For example they used recreation programs to gather people together or "piggy backed" onto neighborhood watch programs. Ms. Peretz indicated that the City of Bell was rather innovative in its relationship with the community through a great variety of programs relative to other communities so the project had ready access to community members. The city strives to be transparent with our community in the past, so community members were willing participants.

The City also connected to educational entities. For instance at Bell High School, there are many have 1st generation students of driving age born in the U.S. that have a far different perspective from the older generation, consequently providing fresh look. These same students also communicate with their parents and share information about the study.

Finally, the Bell Chamber of Commerce also has a strong involvement with various groups and was instrumental in providing and organizing input from the business community. The Chamber of Commerce is long standing organization that is adjacent to city hall, and the city enjoys a strong relation with them. The Bell Police Dept is connected to various other public services that the project used to connect with various individuals.

The project also conducted random "Man on the Street" interviews at major intersections.

For the most part, people were very supportive of the project from residents to the larger employers.

Lessons Learned

14. Are there any "lessons learned" from developing/implementing your planning project?

Ms. Peretz reported that City staff spent a lot thoughtful time prior to project to strategize how to identify and gather a comprehensive set of data to really understand the study's central question. They tried to think beyond the current trends and tried correlate the study with other trends impacting the City of Bell. Ultimately, the City wanted to have and use more current information about travel patterns when developing new policies.

15. Do you have any other suggestions for how Caltrans can improve the effectiveness of the planning grants program(s)?

When implementing a project that is going to be related to census information that is, by nature, time sensitive, it would be recommended that it be timed at the beginning of decade so that the information has a longer "shelf life." Otherwise, if done at mid-decade, the information will basically expire within five years.

None, except to say that the city already had an idea of what the outcome of the study would be. The study, however, gave us empirical information we needed to move forward with any possible plan plans related to transportation.

Focus Groups

16. Would you say that this would be a good project candidate to conduct a focus group? Why/Why not?

Not applicable due to distance.

17. If you could contribute questions to be used in a focus group (for gathering community perspectives on planning grant project impacts), what questions would you pose to the group?

N/A

Collaborative Planning for Highway 99, San Joaquin Valley (SJV), Phase I

Organization Name: Sacramento Headquarters; Division of Transportation Planning (*currently on loan to the Deputy Director for Planning and Modal Programs*)

Interviewee Name: Katie Benouar

Interviewee Title: Chief Collaborative Planning Branch, Senior Environmental Planner

Interview Date: February 27, 2009

Interviewer: Jennifer Brickett

Experience

1. How long have you been working at Caltrans HQ (or District X)?

18 years

2. How long have you been involved in applying for/implementing TPSS projects? Please briefly describe your roles.

10 years – Kate has served as project manager.

Current Status and Next Steps

3. Was the project carried forward to the next stage of implementation? If so, please describe.

The product for the Collaborative Planning for Hwy 99, San Joaquin Valley (SJV), Phase I project was the “Inland Central California Region Collaborative Planning Assessment” report. The point of the paper was to explore collaborative planning in the Valley; however, now they are working with the whole state. Research and interviewing for this report was conducted by UC Davis. The final report, which explored collaborative planning, was central to the inland California collaborative planning assessment. The report explored the following: developing a vision for development of in the Valley; existing institutional frameworks; current cooperation. The 99 corridor is a major state highway transportation coordinator and an economic engine (it moves agricultural products) so it is a very important facility/feature. The scope of the project did not change (the product was a report), but researchers looked at the broader economic reach and catchment/market area and decided the area really extended into small mountain counties.

The report was developed by conducting interviews with stakeholders and others who provided recommendations. No subsequent funding was provided to conduct more research in this area. The recommendations from the report proved to be good recommendations. UC Davis continues to work in this area through mapping and database work.

Since the report, two big things have happened:

- 1 The Regional Blueprint Planning Program (grant program for MPOs) was instituted in 2005 by the State of California. The Program provides grants to MPOs to do integrative planning to tie land use with transportation, housing, and the environment. Eight MPOs in the San Joaquin Valley submitted an application together and collectively received this grant.
- 2 The new governor created a partnership (through an EO) for the San Joaquin Valley, including the private and public sector; this new partnership included the same stakeholders.

These new developments have been mutually supported.

UC Davis has simultaneously been working with MPOs to do integrative modeling and planning. Caltrans has funded this from subsequent TPSS special studies.

4. What is the current status of the project funded by Caltrans?

- Plan/study completed – no progress toward implementation
- Some progress toward implementation of plan, but major obstacles exist
- Significant progress – plan is currently being implemented
- Plan has been fully implemented

TPSS Program

5. Was the administration of the TPSS program by Caltrans headquarters effective in terms of: Office of state planning in charge of a-g except e

- Call for projects - yes
- Selection process of projects - yes
- Kickoff meeting - yes
- Provision of technical assistance - yes
- Provision of contracting assistance - no
- Monitoring of project progress throughout the project? How often did monitoring occur? Monitoring has improved, but there is room for further improvement
- Provision of year-end reports and close out reports – there is room for more improvement
- Following-up on projects after project completion – N/A

Additional notes

In previous years, the TPSS was more informal. Kate, however, was familiar with the process, but could see the informality as detrimental to others that weren't familiar with the process. However, in the past three years the program has done a better job at explaining their process. They've also done more outreach and more people are applying. The process has improved.

Contracting is done through the Resource Administration Office and they could improve on their knowledge of the contracting process. For example, in FY 07/08, contracts didn't forward paperwork through as quickly as they probably should have, they provided incorrect information, and disputed an invoice.

The Office is making sure that people are monitoring and they're distributing templates, but they often ask for the same information and they sometimes experience version control issues.

At the end of each fiscal year, the Office should have a meeting or workshop where project managers give a 5 minute overview of their product and explain where others can access the product. The SPR II group does this. The Office's investment in these projects would be enhanced through this information sharing session, which would improve the knowledge of planners.

6. What suggestions, if any, would you make to improve the overall management and administration of the TPSS program?

- 1 Provide better contracting assistance to the Resource Management office.
- 2 Kate does her own monitoring; however, Caltrans could do a better job following up with managers to make sure they're doing monitoring and be clearer when providing instruction. The Office is improving in this area.
- 3 There are not any big glaring issues; however, they can always improve the year end close out process (e.g., be clearer when providing instruction; check version control on reports).

7. Do you feel that there was adequate coordination amongst internal stakeholders (District staff and HQ staff) throughout the life of the project?

Kate often compiles an internal committee for projects that get input from other internal stakeholders.

The level of coordination depends on the nature of project and on the project manager. A meeting at end of each funding cycle would improve coordination.

Monitoring and Measurement of Project Outcomes

8. Did you ever conduct any monitoring of your own project to ensure that self-defined benchmarks were being achieved throughout the project life?

Yes, when you work with a university, you need to monitor production of products. Kate often keeps a binder that houses all the different documents for each milestone.

Kate monitored for the Collab. 99 project and distributed the information throughout the state and on the website, etc.

Project Successes and Challenges/Barriers

9. How do you define “success” for a completed TPSS project? Would you say the planning project that you oversaw was successful? Why, or why not?

Success is when the contractor completes the milestones and delivers the products (e.g., a report, website, meeting), conducts/participates in meetings that need to take place and the products are shared with others.

The Collab. 99 project assisted them in strengthening partnerships with other agencies (e.g., MPOs, other state agencies). Outreach was incorporated throughout the process. There was also stakeholder input and the results were shared.

10. Please provide any significant barriers to project implementation that you experienced.

General barrier 1: It’s difficult for staff to identify and understand what a problem is and turn it into a project proposal; many staffers don’t understand this process. The TPSS could better explain how to apply for funding (e.g., identify an issue and turn it into a proposal). Some staffers don’t understand what projects qualify for funding.

General barrier 2: contracts (as explained in question 5). If people have a bad experience with contracts, they may not apply for funding again.

General barrier 3: developing a proposal, seeing it through contracts, and monitoring the project is a lot of extra work for a staff person –this is challenging for someone who hasn’t done this before.

Barrier specific to collab. 99—in general, the project went smoothly; however, it took some extra time for the contractor to get the report to the final polished stage to be shared.

Scope of Work

11. Explain to what extent you feel that your project completed the original Scope of Work submitted in the initial application.

The scope was completed.

Lessons Learned

12. Are there any “lessons learned” from implementing your TPSS project(s)?

Collab. 99 project—it takes a lot of diligence to make sure projects are all delivered and documented. It’s also important to understand what your role is as a project manager or as a contractor – the Office of State Planning is doing this through technical assistance.

13. Do you have any other suggestions for how Caltrans can improve the TPSS program?

See above.

14. Do you have any pictures of your final project (or pictures from a phase during project development) that you could share with us electronically?

N/A

Kate provided the following additional information in response to several post-interview questions:

- The report was disseminated by UC Davis to everyone that was surveyed for the report, including: community stakeholders; agricultural industry; business sector; economic interest groups; Caltrans districts (3 districts fall within this region); state government (managers and executives within Resources Agency, CA EPA, CARB); in house staff
- UC Davis’ post-report mapping efforts include data layers, including environmental and socioeconomic layers) for land use changes and future transportation projects
- The contractor (i.e., the University) was slow in getting out the report due to Caltrans’ delay in providing comments and back and forth between Caltrans and the contractor
- Project benchmarks included: stakeholder interviews; draft summary; regular project management meetings (monthly); timely response to University comments; distribution of final report to stakeholders.
- The university operates on an academic calendar which makes working with them more challenging
- The Office of State Planning should provide training to contract managers so they can better understand how to manage a contractor and understand what records to keep
- The contracts process is confusing so the Office of State Planning should provide grantees with a graphic showing the contracts process. The contracts process often involves the Division of Procurement and Contracts and the department level DPC.

Community Bus Service Planning Study – City of Sacramento Meadowview and Oak Park Communities

Organization Name: Sacramento Area Council of Governments (*Recipient*)

Interviewee Name: Jim Brown

Interviewee Title: City Planner

Interview Date: February 17, 2009

Interviewer: Lisa McNally

Experience

1. How long have you been working at your current agency/organization?

Jim has been at SACOG 8 years, and 9 years in early 1970s. Total of 17+ years at SACOG. He has been in the transit/transportation planning business for 35 years. Jim's background is in history, geography, and he has a planning graduate degree. Manager of small transit system for four years. Fourteen years as consultant doing transit planning for short-term planning and audits.

2. Have you applied more than once for a planning grant? How long have you been involved in applying for/implementing planning grant projects? Please briefly describe your roles.

His main role has been training and supervising SACOG staff for Caltrans Planning grants. SACOG on average works on \$250K of planning grants per year. SACOG also administers Caltrans discretionary grants for other agencies. They do all the paper work and quarterly reports. Examples include carrying grant for Unitrans (Davis), Regional Transit, Yellow County Transit district, City of Marysville.

Current Status of Project(s) and Next Steps

3. Please describe where the project left off at the end of funding. Do you know what the status of implementation is today?

Community Bus Planning Study. For this study, SACOG looked at two low-income communities to identify and engage communities in innovative ways to do planning for neighborhood transportation planning services. Neighborhood Ride exists as a smaller-vehicles service in communities to help communities connect with the regular regional bus system. Jim helped to start that process in three other communities in Sacramento. In Oak Park, they identified a few community leaders to carry this work forward. For this study, one of the folks offered her home to do provide a potluck dinner with neighborhood to identify bus routes and develop system to persuade them to expand transit district. However, today, there is no additional money to provide transit service. So, the plan is ready to go as soon as funding is made available to expand the network.

4. To what extent has the funded project functioned as a catalyst for other community improvement projects?

This project is a good example of working directly with the community, from which several best practices/lessons learned were derived based on on-the-ground field work/community engagement. In Meadowview, they were trying to work through neighborhood organizations and churches. City of Sacramento has neighborhood Councils (planning; policing). Rather than going out and holding public meetings, they asked to get time on their agendas to make presentation regarding the project to try to get some feedback (included survey work). They found a number of people doing that fieldwork that had other language issues. For this project, a number of Russian people and Mung people, but the team didn't have language resources to interact with them. Those were the folks who were the primary audience for the expanded bus service. This field work from this experience laid the groundwork for the Multi-Lingual Transit Project. This project has helped transit agencies with their approaches for doing outreach.

Planning Grant Program (Administration)

5. What suggestions, if any, would you make to improve Caltrans Headquarters' overall management and administration of the transportation planning grants program?

Caltrans does a really good job with the grants; the way they target their planning to different areas seems effective. SACOG works with HQ and the District office. A lot of the EJ work was handled more out of HQ. For the other Caltrans discretionary funds, SACOG deals more with district folks.

Change in SOW

6. Explain to what extent you feel that your project completed the original Scope of Work submitted in the initial application?

This project was pretty much on target. The downside was not having the money to integrate the solid plan. Maybe half way into the project, they had regional transit folks involved in the meetings. Half way into project, transit district said that there was the real possibility that there may not be any money to implement this. Despite this, SACOG continued forward with the transit plan development and suggested to communities that there are always possibilities for acquiring funding, and to not give up with the vision planning.

7. To what extent did your Scope of Work change? What were the reasons for the change?

It didn't.

Project Successes and Challenges

8. Would you say your planning project was successful? Why, or why not?

One of the successes in Meadowview community where they actively started to encounter the issues about language and meeting people with language difficulty and using the system that was out there, this led to instigating the idea that they were then able to get funding for next project that lead to getting grant money. They were in the community to learn what the real problems were, which they then followed up with in the next project. This was a real success of the Community Bus Service planning study.

9. Based on what you know, did the project meet its objectives? How well?

Yes, and it helped to identify other key issues for which SACOG sought additional funding which resulted in the Caltrans planning grant project: "Multilingual Transit and Alternative Modes Public Information and Outreach Program in Sacramento Area Council of Governments Region."

10. Best Practices / Lessons Learned (If you were collecting activities in the hope of sharing "best practices" with other project implementers, would you put some of this project's activities in that collection?)

See Questions 3 and 11.

11. Please provide any significant barriers to project implementation that you experienced.

Language barriers proved to be an issue at first, but then the project team was able to find translators for the many different languages that were spoken in the community. Trust was built with the community by attending existing community meetings and by maintaining ongoing potluck meetings at community leaders' homes. Also see Question 14.

Community Engagement

12. CBTP Only: Explain how community-based stakeholder collaboration, partnership, and consensus building were encouraged throughout the project.

See Question 11.

13. **What specific methods did you use to involve these groups? (e.g., neighborhood walks, community action/steering committee, technical advisory committee, stakeholder meetings, public workshops/town halls, public hearing with policy body)**

See Question 11.

Lessons Learned

14. **Are there any “lessons learned” from developing/implementing your planning project?**

There was a turf issue: There were some issues with transit district feeling like their toes were getting stepped on by SACOG in this project because SACOG was actually going into the neighborhoods and interacting with community to assist with the transportation/transit planning. To resolve this turf tension, they had a number of meetings with transit district management staff to make sure to bring regional transit staff with them to meetings (about half-way through process), and this became a good partnership.

Another Big Lesson: The agency’s growing self-awareness, and the resulting awareness of the communities with whom SACOG got more involved to come up with the vision of this project. This has led to frustration – no money to implement the project for new transit routes; however, through the process, people learned how government planning worked. So, there was indeed a benefit of the project. If you want to see how service is implemented, you need to put yourself and concerns in front of regional transit directors and your elected representatives and share your local knowledge. How does government work? They are in a continuous process of building their broader planning program. For SACOG, they did a public participation plan. Part of this project was to integrate input into the Agency’s outreach process, SACOG has become good at that. This was all part of building SACOG’s experience with working with community organizations (obvious points such as dealing with translations of acquiring success and building on that success for the MPO; some of the learning from this project was used to inform Blue Print project). Catalyst – not actually it, but supported SACOG efforts on similar plans.

15. **Do you have any other suggestions for how Caltrans can improve the effectiveness of the planning grants program(s)?**

EJ Grants Challenge: If grant takes 3 years, they were 1.5 years into a project before they received all the completed paperwork, and Caltrans often cannot extend deadline for the project, so it creates urgency and frustration. If we could include EJ grant project work in regular work program, this could help to streamline the project process.

The solution may be to streamline the process into a broader work plan. SACOG has a MOU with Caltrans with overall work program that is approved by Caltrans and Feds. With other Caltrans grants they are incorporated, but the EJ grants are not. Separate funding agreements, but reason for this is unknown. The separate funding agreement may inhibit some other agencies from participating in EJ grants.

EJ Grants Challenge: Caltrans wants more of the money to go out to smaller agencies in community, but these smaller agencies typically do not have the administrative resources to handle the paper work required to administer state and/or federal funds. SACOG has worked with staff at these smaller agencies, but to some degree, they have backed off from doing that. A lot of their work is working in combination with community-based organizations. The question is whether this makes the program more or less effective.

Focus Groups

16. **Would you say that this would be a good project candidate to conduct a focus group? Why/Why not?**

No, given that there has been no money to actually implement the service improvements in the two neighborhoods.

17. **If you could contribute questions to be used in a focus group (for gathering community perspectives on planning grant project impacts), what questions would you pose to the group?**

What could be done better? What other types of projects would be useful to your community to help agencies focus their work to ensure that studies and changes speak more specifically to needs of the communities.

Corridor Study for Evaluating Transit Priority Measures within Urban Villages (Currently retitled as Mid-City Rapid Bus)

Organization Name: San Diego Association of Governments

Interviewee Name: Miriam Kirshner

Interviewee Title: Senior Planner

Interview Date: May 6, 2009

Interviewer: Vicky Liu

Experience

1. **How long have you been working at your current agency/organization?**

About 3 years

2. **Have you applied more than once for a planning grant? How long have you been involved in applying for/implementing planning grant projects? Please briefly describe your roles.**

Miriam has applied for a planning grant for the Hillcrest Corridor Mobility Plan, in coordination with the City of San Diego. For the Mid-City Rapid project (the subject of this interview), the City of San Diego was actually the grant recipient.

Current Status of Project(s) and Next Steps

3. **Please describe where the project left off at the end of funding. Do you know what the status of implementation is today?**

At the end of the Caltrans-funded portion of the project, the project team completed preliminary design for the center segment of the project and completed a Transit Signal Priority technology survey and treatment plan. Since that time, the project team has advanced the project further by extending the area of preliminary design, completing an environmental document, developing a Signal Priority Procurement Plan, and applying for federal funds to build the project.

4. **To what extent has the funded project functioned as a catalyst for other community improvement projects? The El Cajon Boulevard Business Improvement District is using the transit concept as a marketing tool for other community events and development projects.**

N/A

Planning Grant Program (Administration)

5. **What suggestions, if any, would you make to improve Caltrans Headquarters’ overall management and administration of the transportation planning grants program?**

No suggested provided.

Change in SOW

6. **Explain to what extent you feel that your project completed the original Scope of Work submitted in the initial application?**

The City originally applied to prepare a signal priority plan in a different corridor, but shifted to this corridor since it is a funded and prioritized planning project. Aside from the change in corridor, the project fulfilled the scope of work requirements.

7. To what extent did your Scope of Work change? What were the reasons for the change?

The Scope of Work did not change. However, the project team subsequently prepared a more detailed signal priority procurement plan that expanded on the original scope.

See Question 6.

Project Successes and Challenges

8. Would you say your planning project was successful? Why, or why not?

The project has been successful to date but the project team is still working to implement the recommendations.

9. Based on what you know, did the project meet its objectives?

Yes.

10. Best Practices / Lessons Learned (If you were collecting activities in the hope of sharing “best practices” with other project implementers, would you put some of this project’s activities in that collection?)

No answer provided.

11. Please provide any significant barriers to project implementation that you experienced.

The Mid-City Rapid project requires small changes to the street system, including lane striping, signal phasing, and on-street parking that can be controversial.

Community Engagement

12. CBTP Only: Explain how community-based stakeholder collaboration, partnership, and consensus building were encouraged throughout the project.

During the original planning phase, the project team worked through a project working group that included members from the affected community planning groups. The project team also held two community-wide Open Houses, and attended numerous community planning group meetings.

13. What specific methods did you use to involve these groups? (e.g., neighborhood walks, community action/steering committee, technical advisory committee, stakeholder meetings, public workshops/town halls, public hearing with policy body).

The project team used a project working group, held Open Houses, established a web page, used exercise and feedback forms, and provided discussion items to the SANDAG Transportation Committee.

Lessons Learned

14. Are there any “lessons learned” from developing/implementing your planning project?

No answer provided.

15. Do you have any other suggestions for how Caltrans can improve the effectiveness of the planning grants program(s)?

No answer provided.

Focus Groups

16. Would you say that this would be a good project candidate to conduct a focus group? Why/Why not?

ICF did not pose this question as Caltrans had already selected focus group projects.

17. If you could contribute questions to be used in a focus group (for gathering community perspectives on planning grant project impacts), what questions would you pose to the group?

No answer provided.

Cutler Orosi

Organization Name: Local Government Commission (*Sub-Recipient*) and Caltrans District 6 (*District Liaison*)

Interviewee Name: Marta Frausto

Interviewee Title: Native American Liaison

Interview Date: February 24, 2009

Interviewer: Lisa McNally

Experience

1. How long have you been working at Caltrans District 6?

Marta has been at Caltrans District 6 for 18 years.

2. How long have you been involved with overseeing/managing EJ and/or CBTP projects?

Marta has been involved in EJ and CBTP grants for about a year. She has been involved in overseeing and managing all state grants for several years. Currently, she’s the Grants Coordinator at District 6.

3. Please briefly describe the role(s) you played in managing EJ/CBTP projects.

Working with Caltrans District staff, quarterly reports, outreach for grants, and communicating with grant sub-recipients on an on-going basis.

Current Status and Next Steps

4. Was the project carried forward to the next stage of implementation? If so, please describe.

There have been some improvements, for a Caltrans contact to talk to colleague about status of the project today. They do RGIC review board.

Given the success of the outreach project, there was a write-up done by NCHRP a couple of years ago, published on January 17, 2007. It was called “West Fresno Charrette.”

5. Was the project outcome shared with stakeholders? If so, who?

Al Diaz at District 6 may be able to provide updates and provide information about specific improvements completed since the end of the planning process.

Planning Grant Program (Administration)

6. What suggestions, if any, would you make to improve Caltrans Headquarters’ overall management and administration of the transportation planning grants program?

Marta says that it would be helpful to see consistencies between EJ and CBTP grants in terms of when they are due, etc. For example, the EJ grant has a report that is due at one time, and CBTP has a different due date. There are a lot of inconsistencies in due dates between the two grants that could be put in sync, especially because Districts usually have one person overseeing both grants. Also, when the policies for EJ and CBTP are developed, there are no policy committees; District staff should be involved in policy development so that it is not a top-down effort coming from Headquarters. The grant application and administration process could be improved by obtaining some nitty-gritty input from District staff because it is the districts who are in the fields administering the grants and helping the process along.

Regarding quarterly reports: Preparers of the monthly reports need to understand that there is a difference between what funding recipients do internally (grant processing) versus what grant recipient needs to be accounting for in their activities, and what they are accomplishing in the grant project. It is these activities that need to be accounted for in the reports.

Monitoring and Measurement of Project Outcomes

7. What benchmarks, if any, did you use to “measure” the impact of the project on the intended community?

Marta thought that there were measurements a few years ago for managing CBTP grants. It said once improvements were identified in a planning grant, the recipients of funds were supposed to be advocates for those improvements and support those improvements in becoming policy. This came out of Office of Community-Based Transportation Planning. In reality, the idea of turning these improvements into a policy hasn't been worked into the process. Maybe this is because there are no real guidelines for this.

8. Did you conduct any monitoring of your project to ensure that defined benchmarks were being achieved throughout the project life?

Something that District 6 does that seems to be an effective monitoring approach is that they make sure that in the SOW of their projects, that there is actually wording that says draft and final reports will allow for review and approval by Caltrans. Otherwise, you have contracts with local jurisdictions, but and they can do whatever they want. So, through approved reports, the District gets a hold on jurisdiction accountability. Ultimately, what you need out of the project is a report, and to make sure that the report requires Caltrans approval, before all the funds can be administered; this would help to improve accountability from the project recipient. Before you have a final report, Caltrans wants to see draft to ensure that objectives were met. Something that has been really helpful has been, recently, this last time when they were reviewing scopes of work and budgets, they were preparing contracts for CBTP, the tasks finally got synced up with items for the budget. Before, the SOW said one thing, and something in the timeline said another and the contract may have said something different. CBTP at HQ started REQUIRING that SOW and budget and timeline all jived, which has really helped District staff. This has acted as a good metric.

Project Successes and Challenges/Barriers

9. How do you define “success” for a completed project? Would you say the planning project that you oversaw was successful? Why, or why not?

Marta sees “success” as a project helping to support or develop advocates for a project after it is completed. This requires a particular investment in the project by the funding recipients and the participants in the plan, as well as Caltrans staff. She thinks that if Districts had more direction or structure on how to be better advocates of these types of projects and the goals these projects strive to achieve, the project would on the whole be considered more successful. Advocates try to achieve a difference, or improvements for the community. A successful project fosters such advocates.

10. Please provide any significant barriers to project implementation that you experienced.

One barrier is that it is not clear amongst District staff what the next step in project implementation after the last amount of funding has been administered to planning grant recipient. After funding ends, who is actually responsible for advocating its implementation? Verifying implementation could fall to Intergovernmental Review. Currently, District staff sends final reports to HQ and the project closes, but then what? Once that project is done, then that goes to IGR?

Also, Marta believes that there isn't a good understanding by staff of what EJ is, and there is a need to develop a consciousness for those communities.

Critical issue: When they do outreach with communities, the selling point is that the community has to identify what they want to see in terms of improvements. But, once the plan is completed, the community has no idea how to fend for itself. One way to approach this challenge is to institutionalize a type of training to those community organizations to start advocating for their own projects. I think in Cutler Orosi there was an advocacy group that was initiated. This might be a best practice for consideration. How do these communities know how to go from their plan to realizing that plan? Perhaps a certain type and amount of funding should be set aside for training those community organizations that play a big role in the EJ project (i.e., development of a vision plan) to help carry the plan through to a completed project.

Community Engagement

11. Explain how the project involved the public, community-based organizations, low-income and minority communities, Native American Tribal Governments, and under-represented groups in planning and decision-making throughout the project.

Outreach involved campesinos in conducting the outreach and traditional rural African communities. The community groups became line items in to conduct the outreach. I compare this to consultants who do not know how to do outreach with communities (e.g., Visalia) if they are coming from outside of the community. It is useful to have “train the trainer” for doing the outreach.

Also, it would be useful to add a provision of dinners for meetings, and not just provide snacks. A successful meeting also has a nutritious value for the participants. When the project can depend on or hire the community to provide the food, which is culturally relevant, more people feel more at home attending and being a part of the meeting. This has been a lesson learned from the Cutler Orosi project.

Lessons Learned

12. Are there any “lessons learned” from implementing your project?

At the District level, you do need someone who oversees all of the grants. In the past, District 6 has had project managers, but didn't have someone pulling it all together. Because Marta oversees all the grants, she thinks she can be more helpful and make the connections across the grants. This has seemed to increase the efficiency of moving the grants along, and has helped address any issues in a more productive way since Marta can bring combined experience to any issues along the way.

An example of increasing efficiency and making connections is that Marta is talking to people at the City of Fresno for different grant project, but they don't know what each other are doing. Because she's helping to coordinate the funding grants at the District, she can help get information in sync with recipients at the City.

13. Do you have any other suggestions for how Caltrans can improve the effectiveness of the EJ/CBTP transportation planning grants program(s)?

The Federal grants seem to be achieving different goals or operating on different deadlines. Could there be something that ties all of these different grants together to increase efficiency of administration?

Focus Groups

14. If you could contribute questions to be used in a focus group for gathering community perspectives on planning grant project impacts, what questions would you pose to the group?

N/A

15. Is your project a good candidate for a focus group? Why or why not?

N/A

Eastside Light Rail Bike Plan

Organization Name: Los Angeles County Metropolitan Transportation Authority (*Recipient*)
Interviewee Name: James Rojas
Interviewee Title: Transportation Planner
Interview Date: February 20, 2009
Interviewer: Lisa McNally

Experience

1. How long have you been working at your current agency/organization?

James has been at Metro for 10 years.

2. Have you applied more than once for a planning grant? How long have you been involved in applying for/implementing planning grant projects? Please briefly describe your roles.

James has been involved in three Caltrans planning grants. His primary role has been developing the grants and acting as the liaison with sub-recipients (for this project, Los Angeles Bike Coalition) and District 7.

Current Status of Project(s) and Next Steps

3. Please describe where the project left off at the end of funding. Do you know what the status of implementation is today?

The planning project was completed. Metro is now applying for funding to implement the development of bike lanes around the rail line, focusing on Proposition 1B funds sources. The development of the rail line is slated for June 2009. An Eastside Light Rail Transit line project that was already in the works. Normally, light rail design plans focus on pedestrian access within a quarter mile radius around the station. The Light Rail Bike plan expands the scope of the existing Light Rail Transit Line by studying access opportunities for residents who live outside of the quarter-mile project area through the development of cycling options.

Recommendation

Identify opportunities to attach innovative planning studies to existing projects that already have dedicated funding to increase the chances of the planning vision being implemented.

4. To what extent has the funded project functioned as a catalyst for other community improvement projects?

This was the first time anyone thought about integrating bike and rail planning in the development of station plans. Usually these ideas for nexus planning occur after the fact (or, after the first project is completed).

Planning Grant Program (Administration)

5. What suggestions, if any, would you make to improve Caltrans Headquarters' overall management and administration of the transportation planning grants program?

James did not work with Caltrans Headquarters in developing the grant application, or in administering it. He worked primarily with District 7 and the Los Angeles Bike Coalition to move the planning grant work forward on the ground.

Change in SOW

6. Explain to what extent you feel that your project completed the original Scope of Work submitted in the initial application?

From James' perspective, the project stayed on task.

7. To what extent did your Scope of Work change? What were the reasons for the change?

N/A

Project Successes and Challenges

8. Would you say your planning project was successful? Why, or why not?

The planning project was very successful. Metro and the sub-recipient, Los Angeles Bike Coalition, engaged the community in the bike planning in a very hands-on way. We helped local residents realize what biking on the east side was like by encouraging them to get on a bike and join historical planning rides that the sub-recipient organized and led around the area where the station was being built. These bike rides helped residents witness first-hand the infrastructure complexities in the neighborhoods. For example, we identified arterials and other biking barriers that have been preventing biking in the area, as well as opportunities for developing supportive biking infrastructure. About 100 people in the community participated in these historical tours /and planning bike rides. This was one of the first times this hands-on approach was done in the area.

9. Based on what you know, did the project meet its objectives? How well?

Yes.

10. Best Practices / Lessons Learned (If you were collecting activities in the hope of sharing "best practices" with other project implementers, would you put some of this project's activities in that collection?)

You have to be innovative in your planning to engage residents in the process. James saw adding the element of a geographic and cultural history element to the planning process that proved to be an important tool for pulling a broader swath of people into the process. The Bike Coalition played a major role in getting out the word through social networking outlets to post this information. Based on the public turn-out and participation in the bike rides, their outreach methods were successful.

11. Please provide any significant barriers to project implementation that you experienced.

James did not experience any barriers to moving the project through completion.

Community Engagement

12. CBTP Only: Explain how community-based stakeholder collaboration, partnership, and consensus building were encouraged throughout the project.

N/A

13. What specific methods did you use to involve these groups? (e.g., neighborhood walks, community action/steering committee, technical advisory committee, stakeholder meetings, public workshops/town halls, public hearing with policy body)

N/A

Lessons Learned

14. Are there any "lessons learned" from developing/implementing your planning project?

N/A

15. Do you have any other suggestions for how Caltrans can improve the effectiveness of the planning grants program(s)?

James has had a good experience working with District 7. They mostly played an administrative function. He felt like Caltrans was responsive to any concerns Metro had related to this project.

Focus Groups

16. Would you say that this would be a good project candidate to conduct a focus group? Why/Why not?

No, because the rail station has not yet been developed, and thus, the bike lanes have not been developed. We won't be able to study how useful the bike lanes are for another 2-5 years.

17. If you could contribute questions to be used in a focus group (for gathering community perspectives on planning grant project impacts), what questions would you pose to the group?

Did the design meet your expectations? Original concept of design now fit the uses of the bike lane?

Fruitvale Alive! Community Transportation Plan

Organization Name: The Unity Council (*Subrecipient*)

Interviewee Name: Marsha Murrington

Interviewee Title: Unity Council, Executive Vice President

Interview Date: March 5, 2009

Interviewer: Noé Noyola

Experience

1. How long have you been working at your current agency/organization?

Ms. Murrington has been on the Unity Council staff for approximately 15 years.

2. Have you applied more than once for a planning grant? How long have you been involved in applying for/implementing planning grant projects? Please briefly describe your roles.

Ms. Murrington indicated that she has not been directly involved in other planning grants applications, though she believes the Unity Council has applied for others. In this instance, she was the supervising staff member of the team that put together the application and implemented the project.

Current Status of Project(s) and Next Steps

3. Please describe where the project left off at the end of funding. Do you know what the status of implementation is today?

Since the grant was completed several items have been implemented in the Fruitvale District. Specifically, the project led to the construction of pedestrian bulb outs, trees, safety, benches, and better bus shelters.

The priorities, however, are continuing to be implemented. There have been community meetings to ensure that the community is still on board with the projects. So, a lot of it is underway, but Ms. Murrington did not know when it is going to be completed given that this is long term project. Still, construction plans have been drawn up, and the capital phase is being undertaken slowly. From all indications, the community, both from the City agencies and grassroots levels, is still on board with the priorities put forward in Fruitvale Alive!

4. To what extent has the funded project functioned as a catalyst for other community improvement projects?

The project became a catalyst in that the process brought the community together. Different groups from throughout the Fruitvale District such as merchants and neighborhood associations collaborated to make the plan happen.

Separately, the Unity Council is undertaking another similar plan for Foothill corridor, another principal street within the Fruitvale District. The Fruitvale Alive! was a catalyst for that project because both areas had similar problems, with unsafe streets for pedestrians and some crosswalks very dangerous. With partial funding from the City of Oakland Redevelopment Agency, the Foothill Corridor planning process has begun with a Community Visioning process. According to Ms. Murrington, completing Fruitvale Alive! gave the Unity Council the confidence that they would be able to complete another similar project.

Other projects seemed to have arisen after Fruitvale Alive! though there is no direct link. For instance, the Unity Council just finished another project related to the restoration of a creek. It involved property owners with retaining walls adjacent to the creek. In some cases, property owners were slated to lose property or structures. Ms. Murrington believes that the Unity Council was, in part, contracted to do

community engagement because of the work done by Fruitvale Alive! They began by promoting returning creek to natural state as the ultimate goal and gained lots of buy in from all stakeholders.

Planning Grant Program (Administration)

5. What suggestions, if any, would you make to improve Caltrans Headquarters' overall management and administration of the transportation planning grants program?

Ms. Murrington reported "no glitches" in the administration of the project.

Change in SOW

6. Explain to what extent you feel that your project completed the original Scope of Work submitted in the initial application?

The Scope of Work was completed fully. If anything, the scope may have increased after the plan was submitted, but not by choice. According to Ms. Murrington, there were some community members or groups that kept asking for things not in the original plan, like more stop signs at given locations that had already been considered and were deemed infeasible. The Unity Council has encountered frustration with how to address these post-project issues that, for whatever reason, were not brought up by their proponents during the planning process.

7. To what extent did your Scope of Work change? What were the reasons for the change?

The scope of work stayed consistent from application to implementation.

Project Successes and Challenges

8. Would you say your planning project was successful? Why, or why not?

Yes the project was successful because the tasks were completed, the plan was submitted, and changes are taking place. However, the biggest issue of pedestrian/car collisions, and the entire reason behind the study, continues to be a problem. A child was recently killed and several other situations have occurred involving both seniors and young children. Signals have been installed and other traffic calming strategies have been incorporated, but this is an issue that will likely continue as long as cars exist as long as cars are operated in a neighborhood as active and dense as the Fruitvale District, or unless signals are installed at every corner causing bottlenecks and more problems. Nonetheless, Ms. Murrington states that in her observation, traffic has slowed down. No follow up studies to measure rates of traffic or collisions have since been implemented.

9. Based on what you know, did the project meet its objectives? How well?

The project met its objectives in that all the tasks were completed. In fact, Ms. Murrington feels that the objectives were to some extent exceeded because the project also carried on with some areas and issues that surfaced during the process

10. Best Practices / Lessons Learned (If you were collecting activities in the hope of sharing "best practices" with other project implementers, would you put some of this project's activities in that collection?)

Biggest success or lesson learned was the community engagement that was undertaken, it involved figuring out different access points for the various community segments to be involved. A parent with children and a senior citizen have different issues that needed to be heard and accounted for.

With every action that was taken by the Unity Council in terms of modifying community space, it had to be clear that the underlying intention was to make for more pedestrian friendly and beautiful community. Otherwise, if community changes are imposed without any real input from the community, then the daily users of the given area will simply not have the sense of ownership and will likely care less for the changes that eventually transpire.

11. Please provide any significant barriers to project implementation that you experienced.

Specifically, in terms of the traffic safety plan, much attention was paid to the infrastructure but less so was given to driver awareness and education. For instance, being such a large immigrant community, some education could have helped to bridge a potential cultural divide regarding driving rules. Similarly with young drivers, it is commonly understood that younger drivers are more likely to be involved in traffic collisions/accidents so more emphasis on their education would have been helpful.

One key challenge whenever conducting community engagement is to keep community engaged over the long term. People that participated in the planning process will often ask when the changes will take place. The planning and implementation process are both very slow so constant interaction or updates need to be given to the community. The City, Ms. Murrington explained, cannot move as fast as the private sector, so patience is a necessary component to any community process.

As was mentioned earlier, a challenge surfaced for this project after the plan was completed. People came to the process late and tried to change or alter the design(s) in significant way. Ms. Murrington's suggestion is to always proceed to design but try to get people involved that come later in some capacity while still respecting the community process that took place.

Community Engagement

12. CBTP Only: Explain how community-based stakeholder collaboration, partnership, and consensus building were encouraged throughout the project.

N/A

13. What specific methods did you use to involve these groups? (e.g., neighborhood walks, community action/steering committee, technical advisory committee, stakeholder meetings, public workshops/town halls, public hearing with policy body)

The Unity Council laid out a very clear process for community engagement, to make sure of that objectives were met and that the appropriate community segments were involved. The process involved using existing groups to spread the message and garner feedback. For instance they went where the seniors congregate normally. They involved the police department and figured out where the hotspots were and asked who they were people stopping. To understand the traffic/pedestrian dynamic better, they sent out community representatives at different times throughout the day walk common routes first hand, cross the dangerous intersections, and to talk to pedestrians. Ms. Murrington described the effort as a big campaign to get out there and be more visible by using real people. At one point, the Unity Council organized individuals to carry signs during peak traffic hours that read "slow down for pedestrians."

Lessons Learned

14. Are there any "lessons learned" from developing/implementing your planning project?

N/A

15. Do you have any other suggestions for how Caltrans can improve the effectiveness of the planning grants program(s)?

One thing that has been a bit confusing about grant process is that it took a very long time to get to get a project underway and that it's important to manage expectations. Frequently project like this are an extensive process, usually it starts and then takes a couple years later just to have designs that can be shown for funding. The community says, "We spent all that time, when is this going to happen?" People don't often understand how long a collaborative community process takes. The Unity Council tried to explain while getting input how the process would unfold, but still it seemed to take an especially lengthy time to prepare the designs. Consequently, the designs are required to raise funding for construction.

Focus Groups

16. Would you say that this would be a good project candidate to conduct a focus group? Why/Why not?

Yes, it would be a good candidate for a focus group since the project is relatively old and some implementation has taken place.

17. If you could contribute questions to be used in a focus group (for gathering community perspectives on planning grant project impacts), what questions would you pose to the group?

None.

Highway 33 and Downtown Firebaugh Linkage Study (2006) and Robert Cabral Station Neighborhood Plan (2006)

Organization Name: Local Government Commission (*Sub-Recipient*) and Opticos Design (*Project Consultant*)

Interviewee Name: Stephan Pellegrini

Interviewee Title: Principal

Interview Date: February 13, 2009

Interviewer: Lisa McNally

Experience

1. How long have you been working at your current agency/organization?

Stephan has been at Opticos Design since 2002.

2. Have you applied more than once for a planning grant? How long have you been involved in applying for/implementing planning grant projects? Please briefly describe your roles.

Stephan has been involved in six different projects funded by either EJ or CBTP planning grants. For all of these projects, Opticos has been in collaboration with the Local Government Commission (LGC), the sub-recipient of the grant funds for the Firebaugh project and a consultant for the Cabral Station projects. LGC takes the primary role in community facilitation and project organization. Opticos serves as designer for the project. The design of the plan follows three general steps:

1. Initial background meetings with community analysis determining such issues as walkability in an area. They do a lot of mapping. From 1000 feet up, street grid, land use, and identifying any sort of natural constrains in the area. They collect information by walking and driving, and do this from the perspective of primary stakeholders (e.g., city planning office, city manager office, those administering the grant from local government level).
2. With LGC leading the facilitation, they lead a community charrette typically lasting from 5-6 days. They will start on the first day with targeted stakeholders meetings where they organize groups of folks that need to provide input. Folks who can help with implementing the plan down the road are identified early on in this process. A lot of things tend to come together at this point because it is the community members who get things going. First charrette held with community advocates, such as local business owners; folks who work for primary instructions (school, churches, community centers [hospital]). They also typically engage emergency responders and law enforcement and local organizations important in community (e.g., Kiwanis).
3. Then they do an opening public workshop and invite the general public and ask them to provide input into planning area and start with process with basic ideas about visioning and how they envision community changing in 20 years, values in community, and give them a short introduction of design elements (e.g., connectivity, safe routes, and the sorts of physical environmental that goes with that) which are relevant to the context of the grant). Essentially, they provide a primer on how to go about approaching these issues. Open public walks (walking audits) on the second day. People then craft their visions on butcher paper in teams and share with the group. Opticos, as design team, walks around during facilitation and brainstorming and will sometimes mill around and listen to others and develop laundry list of the sorts of things that come up. If strategies are repeated often, those represent ideas that a lot of people most likely support.

Then, with all of this input, Opticos will spend 2-3 days crafting a design that reflects strategic information received from stakeholders and community vision and synthesize input. Then they do a third public presentation and talk about beginning, process, what they talked with, and then unveil / present their vision, then have feedback loop at end of charrette. On the last night of the charrette they

share “finalized” plan with the community, including City decision makers. There may be some comments that come back from that more informal sharing of the plan. Then they collaborate with LGC to write the final plan and LGC may provide input on community input section. This may take about 5 months. Then the plan gets sent to City, and that might go through 1-2 more feedback loops.

Firebaugh

In the case of Firebaugh, they made a presentation to the City Council presenting the final plan. The City gave a statement of support for the plan, but there was no formal adoption. The resulting plan was used to inform their General Plan. In some cases the plan will get adopted as a formal community plan by the government.

Current Status of Project(s) and Next Steps

3. Please describe where the project left off at the end of funding. Do you know what the status of implementation is today?

See Question 4.

4. To what extent has the funded project functioned as a catalyst for other community improvement projects?

Stockton Train Depot

Caltrans project has helped to secure funding from FTA. Rail Commission is now conducting a 4-million dollar improvement project. They are currently in process of purchasing and renovating dilapidated homes in the immediate vicinity. That plan has gone pretty far. Two years after the visioning plan was financed by the Caltrans planning grant, the Rail Commission asked Opticos to conduct an update to expand the boundaries of project area. Exploring the development of a preservation district. This continuity and momentum speaks to the initial plan laying the groundwork for development in the area.

Planning Grant Program (Administration)

5. What suggestions, if any, would you make to improve Caltrans Headquarters’ overall management and administration of the transportation planning grants program?

Stephan has found that sometimes there is a disconnect between what Caltrans is interested in doing and what the local community input suggests. He also found that things only get so far or only go to their Supervisor and Caltrans Supervisor will say “this isn’t what we do,” so the process stops there. Challenging: Get to certain point, and answer is no, there is no opportunity to reengage or to come up with something different at that point. This could happen in a dysfunctional way, and three months later someone says the plan is great, but none of street sections you proposed are actually implementable.

At same time, he has see Caltrans increasingly amenable to discussion, but this is still a primary challenge to make sure that some of these things that are developed in vision planning that are specific to the locale’s issues can be more seamlessly integrated into Caltrans procedures and expectations. The integration of these various needs should be both bottom up and top down to be fully integrated as workable policy.

Caltrans has been increasingly involved in more of a context-sensitive approach, but things may not be broached based on location 4-lane state highway in Firebaugh, for example; so, yes, local issues often get lost at top down (Caltrans) approach.

Recommendation

Maybe create a framework solutions are still viable and empowering Local District folks to support those local solutions.

Change in SOW

6. Explain to what extent you feel that your project completed the original Scope of Work submitted in the initial application?

SOW remained on target on target throughout the project process.

7. To what extent did your Scope of Work change? What were the reasons for the change?

SOW remained on target on target throughout the project process.

Project Successes and Challenges

8. Would you say your planning project was successful? Why, or why not?

Yes. One relatively neat thing about Firebaugh is that when LGC got grant and approached Opticos, they had a 6-month period before the community process needed to start. During this time, they were able to organize a “Design Studio” with Berkeley graduate planning students. This Studio—whereby students helped to lead workshops explaining basic planning approaches and the objectives of the upcoming work—ended up being very valuable for the community in terms of defining feasible objectives of the project later on. Stephan teaches at UC Berkeley, so was able to gather students and get them involved in this process. They brought the students to Firebaugh before the charrette ever occurred and they presented the initial concepts to get community thinking about options. This provided to be an interesting way to get an additional feedback loop. Furthermore, some of these students have gone on to continue to do similar work in the San Joaquin Valley since then.

9. Based on what you know, did the project meet its objectives? How well?

Yes.

10. Best Practices / Lessons Learned (If you were collecting activities in the hope of sharing “best practices” with other project implementers, would you put some of this project’s activities in that collection?)

Firebaugh

The next steps for implementation seemed to be very dependent on the City Manager. There was no Staff Planners and very little in terms of staff resources. The City Manager took the plan and started to move forward with implementing some items in the plan. For example, on P Street they were able to implement a few of the low-cost strategies (easy and cost effective such as striping a crosswalk and bike lane and sign posts.). The LGC took the lead on this. They were pushed to identify low-cost, short-term effective strategies to improve livability and safety along Hwy 33.

11. Please provide any significant barriers to project implementation that you experienced.

Firebaugh

A significant challenges was that the City didn’t have sufficient resources for more in-depth structural changes, so challenging to come up with solutions that with little resources (human and financial resources).

Sometimes dysfunctional relationship with Caltrans results in barriers.

Resources: A lot of these communities are so far behind on their infrastructure investment and improvements that moving forward is more difficult because the basic infrastructure is lacking in some areas. Additionally, their zoning plans and policies are also outdated, making it difficult to propose solutions that promote newer trends in planning approaches.

Community Engagement

12. CBTP Only: Explain how community-based stakeholder collaboration, partnership, and consensus building were encouraged throughout the project.

See below and question 2.

13. What specific methods did you use to involve these groups? (e.g., neighborhood walks, community action/steering committee, technical advisory committee, stakeholder meetings, public workshops/town halls, public hearing with policy body)

Opticos is an architecture firm, and was not directly responsible for community engagement. The Local Government Commission was more involved in the community engagement process. However, Opticos' charrette plan provides a continuous feedback loop with community participants to ensure that what is being expressed is being heard by those putting together the plans.

Lessons Learned

14. Are there any "lessons learned" from developing/implementing your planning project?

N/A

15. Do you have any other suggestions for how Caltrans can improve the effectiveness of the planning grants program(s)?

Opticos does a lot of work with zoning and development standards. In many of the communities they work in (e.g., communities that have received Caltrans planning grants), their zoning is very outdated.

Recommendation

In many of these poor communities, existing zoning, because it is restrictive and outdated, is not encouraging people to invest in downtown. However, updated zoning changes may help revitalize and help these places turn around. At the same time, a lot of these communities don't have the resources to make the *zoning changes*, which is a major impediment. Stephan thinks part of making places more livable often has to do with physical form of these places. It would be an interesting concept if Caltrans could assist in development of a series of context-sensitive street standards for local municipalities to adopt that could be pre-tested knowing that they would work in a lot of these communities. A lot of these communities have similar right of way dimensions and street structure, thereby making a general zoning guidance applicable to many of these poorer communities, while assisting Caltrans district offices to approve suggested vision planning that affects the roadways that Caltrans maintains.

Therefore, if the reality of outdated zoning policies could be on Caltrans' list to be more supportive of allowing some of these communities/funding them to update their zoning standards would be helpful. Also, in local communities, their local street standards are actually non-existing standards.

Focus Groups

16. Would you say that this would be a good project candidate to conduct a focus group? Why/Why not?

Stockton Train Depot

There are a significant number of houses that are in foreclosure, abandoned. But, the businesses in that area in the other direction is still around, so those on the administrative and business side might make for good focus group participants, but ICF may have trouble getting residential community members involved in a focus group.

17. If you could contribute questions to be used in a focus group (for gathering community perspectives on planning grant project impacts), what questions would you pose to the group?

It would be helpful to understand:

1. Whether those who were meant to be impacted by the project continued to be so; if they themselves have experienced some of the improvements?
2. If the priorities that were identified in the charrette were still priorities today, and if in the process of implementing the project if priorities have changed?

In Firebaugh

It would be interesting to know if in Firebaugh, if a river front trail that was in discussion during the charrette ever got solidified when they went into implementing the City's general Plan. Where are those discussions today? In the vision planning, Opticos encouraged the City to consolidate 10 acres on southeast edge of town to bring in new retail. The City Manager (Ramirez) was looking at a trailer park project and thinking about using eminent domain to consolidate land. But the plan would have been putting majority of retail across the highway for a community that is not car dependent, so this is very dangerous placement. Opticos instead encouraged City Manager to develop at section of Hwy 33 at main east-west artery. The City Manager actually owned a lot of the property in question. In talking with Opticos, the City Manager was urged to think about other types of development that were in line with what was in line with the visioning plans. To what extent have other planning decisions been influenced by the vision planning?

Highway 33 & Downtown Firebaugh Linkage Study: Context Sensitive Planning for Community Revitalization; Cutler-Orosi Charrette; Robert J. Cabral Station Neighborhood: A Plan for Revitalizing East Downtown Stockton

Organization Name: Local Government Commission (*Sub-Recipient*)
Interviewee Name: Paul Zykofsky and Josh Meyer
Interviewee Title: Zykofsky— Director of Land Use & Transportation Programs
Meyer—Program Manager (Firebaugh) at Local Government Commission
Interview Date: February 12, 2009
Interviewer: Lisa McNally

Experience

1. How long have you been working at your current agency/organization?

Paul has been at LGC for 14-1/2 years. Josh has been at LGC 12 years.

2. Have you applied more than once for a planning grant? How long have you been involved in applying for/implementing planning grant projects? Please briefly describe your roles.

LGC has applied for approximately 29 grants. We first applied in 2001 (Cutler-Orosi).

Our role has been to:

- Partner with the local jurisdiction in writing the proposal (as a nonprofit co-applicant)
- If the grant is awarded, we typically manage the project for the local jurisdiction. That includes assembling the planning/design team that will work on the project (depending on the scope and issues), collecting data and maps for the project area, helping with the outreach and publicity for the workshops, organizing the charrette events, setting up focus groups and stakeholder interviews, facilitating the workshops, interpreting to Spanish and arranging for other languages as needed, directing the planning/design team, and writing portions or all of the resulting report and plan. We often also provide follow-up presentations to decision-makers which can also act as an informal resource after the grant is closed.

Current Status of Project(s) (and next steps)

3. Please describe where the project left off at the end of funding. Do you know what the status of implementation is today?

Highway 33 and Downtown Firebaugh Linkage Study (2007)

See page 3-34 of the final report, *Potential Funding Sources*. This is a good framework to identify practical next steps for this project. This essentially shows where we left off. It includes a timeline for implementation. Caltrans said they had funding available for Highway 33 for highway beautification. Jose Ramirez, City Manager, says they are moving forward with design work to share with Caltrans (e.g., plans for placement of median improvements) and are currently looking at how to spend available money (see matrix on page 3-34) based on recommendations from report.

Firebaugh's P Street improvements were a major focus for this study. The community vision plan identified locations along P Street—an important north-south route, and identified safe-routes to school—that should have strategies implemented. Some reconstruction was done. P Street is key link

from downtown to residential neighborhoods and a linkage to schools located at southern end of town. Shortly after the plan was finished, Opticos contacted the city's traffic consulting engineer about what they should do and how they should design that road. The City seems not yet to have put in high-visibility cross-walk and bike-lane markings. On a recent visit, it also looked like P Street was re-paved. Parallel to the planning grant, the City was making use of a Technical Assistance grant which allowed Applied Development Economics to conduct a retail study. There were also recommendations for a trail network to be developed that lead to schools. The City also managed to provide funding to businesses on Main Street to do façade improvements, and some buildings have been spruced up since the plan was finished.

The City has also completed a few streetscape improvements downtown, erecting aesthetic sign posts and also completed quality of life improvements (i.e., the City had a problem with trucks parking along the highway which were a nuisance to residents who used the highway as a walking route to get to daily destinations and close to homes. The City erected "no-truck parking" signs along that residential part of the highway, and according to the Local Government Commission, it looked like they were enforcing this because no trucks were parked there during a recent visit).

Important Consideration

Firebaugh has a City Manager who is a real go-getter who wants to get things done; he has secured a lot of grants for the City. He is someone in town who is depending on successes of project. However, a challenge is that they don't have a City Planner on staff. In general, these types of projects have little staff to help them to the next stage of implementation.

They were also going through a General Plan update; the consulting firm working on that (Collins and Shetler) participated in workshop help by LGC. They were working on LGC recommendations to see if they were incorporated into plan.

Stockton Depot Neighborhood Revitalization Planning (2005)

The LGC team worked with Odyssey. LGC went on to work on Phase 2 project (not Caltrans funded) that grew out of this project and San Joaquin Valley Rail commission. They involved the community and garnered consensus on the direction of how to enhance the train depot into more complete multi-modal transit center. Rail commission went on to continue with design work and the community acquired property adjacent. On one hand, they talked about flattening the whole block, which would have been easier to do than get input on how to reshape it using existing infrastructure. Instead, things have evolved because efforts of rail commission pushing to maintain small blocks to revitalize this place.

Another success related to this project: The context of the neighborhood was that it is an old neighborhood primarily consisting of Latino residents. They were generally very uncomfortable with the planning because they felt things were going to be knocked down. However, through one-on-outreach, they were able to get people comfortable to come out and have them identify a lot of things such as where they thought transit stops should go. They were able to get a native Spanish speaker and he and Josh went door to door and talked to people. The Rail Commission did want to open their doors.

Key Message

Before the design workshops were held, there was an idea that this was a difficult project because it would be easier to buy the land, tear down dilapidated homes, and put in a big box; however, the rail station recognized that this was right near a strong asset (the train depot), and it was worth the investment to maintain the area – they were looking for a more nuanced approach to revitalization. Through the charrette, the owners started to get very interested in the discussion. This process, with the associated investment, helped facilitate the discussion – a deal was made to acquire property by the rail commission. It was a unique situation in that you have someone who has a property owner (rail commission) with money. The rail commission was pushing for changes and the City was going along with those ideas, Josh had to keep going to the City until he pulled Community Development worker with Public Works Director and they bought into the planning ideas for revitalization. The

focus was really on reconnecting the station with downtown Stockton, but also improving the surrounding area at the same time.

4. To what extent has the funded project functioned as a catalyst for other community improvement projects?

The Stockton Depot project helped to lay the groundwork for further development and investments from the Rail Commission.

Planning Grant Program (Administration)

What suggestions, if any, would you make to improve Caltrans Headquarters' overall management and administration of the transportation planning grants program?

Recommendation

Develop workshops for Caltrans district office liaisons working on planning grants to train them on common issues and typical strategies used by those involved in the planning grants process. With different district areas requiring different approaches, this would help to decrease the occurrence of blockades when trying to move from the vision planning process to implementation and overall generally help to streamline the interface between applicants and District liaisons.

Recommendation

Has there been an internal, consistent circular/briefing page developed for project managers in different Districts for orientation to being involved in planning grants? Here are the standard operating procedures for these grants. Rules need to be clear. All districts should start with that at a minimum. Could include, for example, the kinds of things that can be paid for (reimbursement/refreshments); for example, there has been an issue with travel in Riverside county; walkabouts are OK, standard rules that apply. Is there someone pm can have discretionary ability to decide (if too broadly applied, they could have grand luncheons, and so that would need to be checked, of course).

Another Challenge

Contracting Process: Sometimes it takes longer than it should. It can be months before applicants hear back from Caltrans with the formal contract to proceed. There should be more emphasis on expediting the process because a community may want to start planning sooner because, for example, the General Plan is in the works and input is needed, or maybe some other project needs the planning vision process as leverage to being more successful in its efforts. Also, they noticed that the announcement of the grant has gotten later, which could just mean there are less Caltrans resources to work on processing the grants.

Change in SOW

5. Explain to what extent you feel that your project completed the original Scope of Work submitted in the initial application?

It stayed on task.

6. To what extent did your Scope of Work change? What were the reasons for the change?

N/A

Project Successes and Challenges

7. Would you say your planning project was successful? Why, or why not?

Yes. People from the community were engaged and developed plan based on their input.

8. Based on what you know, did the project meet its objectives? How well?

See Question 8.

9. Best Practices / Lessons Learned (If you were collecting activities in the hope of sharing “best practices” with other project implementers, would you put some of this project’s activities in that collection?)

N/A

10. Please provide any significant barriers to project implementation that you experienced.

N/A

Community Engagement

11. CBTP Only: Explain how community-based stakeholder collaboration, partnership, and consensus building were encouraged throughout the project.

Firebaugh

Even if concrete project does not occur afterwards, the process still has a positive effect. Community members got involved – local human capital was well invested; this process may have been helpful in getting resident more involved, more aware, but results are not easily measurable. The timing was such that we could work with UC Berkeley design students for pre-charrette analysis for possibilities for community. Opticos (Stephan P.) was teaching a course at UC Berkeley. The City got a lot more out of this, too. Students volunteered. Some of these students have gone on to work in the Central Valley.

12. What specific methods did you use to involve these groups? (e.g., neighborhood walks, community action/steering committee, technical advisory committee, stakeholder meetings, public workshops/town halls, public hearing with policy body)

Cutler-Orosi Charrette

Challenges for LGC for this project is that they were working with 2 unincorporated towns, so don't have staffing that you would otherwise have. Don't have City Manager City Developer. Because unincorporated. On plus side, did have folks from the County, and worked closely with them. They got a lot of people to participate in the project. Why? Because they got community leaders engaged. Paul recalls that after a charrette, they set up a non-profit to go after grants to make other improvement that were not related to highway that goes through two towns. When they conducted a workshop to identify biggest priorities, the biggest was a lack of a recreation center. No pools. LGC lead the outreach. Prior to the design charrette, worked with Cset Inc. non-profit that worked in the community. They reached out to school district and Catholic communities and other groups that had social services in town. They did very good outreach prior to workshops.

Other Strategies to Engage

They were aware of the schedules of a farm workers project, and a housing project that had recently been built in Cutler, the Villa De Guadalupe (housing complex) did outreach there, and 40 people ended up at this meeting (which was all conducted in Spanish). These guys who came on Saturday. Had a Steering Committee and they were helping them get people involved. Also, Caltrans provided changeable message sign in English and Spanish sign about meetings. Spanish translation headsets. Nonprofit in Fresno that asks for small donation. Caltrans may consider investing in Spanish translation headsets as a tool for Caltrans community meetings.

Paul says that Caltrans did complete a sidewalk between Cutler and Orosi, but it is only about less than a mile. The more complicated approaches suggested in the planning vision have not been completed. The major recommendation was to reroute the highway (HW63) around the towns and they identified a by-pass route. Caltrans and the towns didn't think that the road could be narrowed unless they got trucks off the highway. The visioning plan identifies county roads that could replace existing highway. Then, old HW63 could be narrowed down making it more pedestrian-friendly with roundabouts which would thus create a different environment along the highway. Right now, there are three schools around the highway or very close to it. This is not best environment when you have

trucks passing on the road all day long. They erected signage for decreasing speed down to 35, since historically, they have had serious crashes there.

The Cutler-Orosi project developed a visioning and advocacy committee that was responsible for maintaining the planning process throughout the project. This committee subsequently provided the basis for a local non-profit that addresses broader local community and social issues that was formed in May 2003.

Design Exceptions

The County says they are running into problems in moving the plan through. It has been hard to determine who has been dragging their feet in implementation. Was it the engineers in the county? Was it Caltrans? Bulb outs/curb extensions were suggested implementations to be built around school. However, it became clear that Caltrans was not ok with these planning concepts. Yes, these approaches were context sensitive, but Caltrans goes by the books in terms of what are acceptable alterations on highways. Caltrans has a harder time looking at the context, which is that HWY 63 is used by pedestrians and bicyclists. Note that Caltrans did develop manual for highways that are main streets, but still have to go through exception process. *The point is not to identify the source of hold-up, but to state that there are so many players involved in implementation that there is great potential for hold-up and impasse along the way.*

Recommendation

Caltrans district offices, with whom planning grant recipients work throughout the project, have such different interpretations of acceptable projects and the basic ability to implement next steps (e.g., their decision-making influence) can do versus Headquarters perspectives. For example, in one of the districts, the grant sub-recipients conducted a walkability audit. On Saturday morning, they broke up into groups to assess what is and isn't working. In District 3, they had Caltrans staff tell them that people walking along the road must wear helmets and reflective vests. In another community assessment case, folks were required to get an encroachment permit. Therefore, there is a disconnect between basic community assessment strategies and approaches for improving livability and unsupportive policies that neglect typical efforts and strategies used by planners to carry out the vision planning process with the community.

Lessons Learned

13. Are there any “lessons learned” from developing/implementing your planning project?

N/A

14. Do you have any other suggestions for how Caltrans can improve the effectiveness of the planning grants program(s)?

N/A

Focus Groups

15. Would you say that this would be a good project candidate to conduct a focus group? Why/Why not?

Maybe. Cutler Orosi would probably be better than Stockton project.

16. If you could contribute questions to be used in a focus group (for gathering community perspectives on planning grant project impacts), what questions would you pose to the group?

What process was used to engage the community? Was that process effective? Did residents feel that their issues/concerns were addressed? Did the engagement process help increase community involvement in other issues/planning processes? Has the resulting document directly or indirectly influenced planning or some other activity (e.g., fundraising) in the community?

General Interviewee Comments

Challenge

It is very difficult for former grant recipients to know how much of the project has been implemented since funding completion. This is because the organizations that are involved in conducting the planning grant project are not necessarily given additional funding to return to the project site 3-5 years later to determine what has happened since then. For example, the Local Government Commission, a non-profit, serves the local government. What the organization has been able to collect in terms of project status has therefore been hit or miss, depending on involvement in other projects that happen to be in the same vicinity. Because of the nature of their relationships and long-term investment in a given area, LGC does go back from time to time to the communities to see what has changed overtime, but we don't have funding to investigate this further, or do a more in-depth, line item comparison or analysis of what exactly in the vision plan was implemented.

Recommendation

Caltrans should support the former recipient's efforts to talk to a local jurisdiction who was involved in project to find out what happened 3-5 years to do a comparative analysis. This cannot necessarily be completed within 1-year; in order to get a good sense of who has been impacted and to what extent; the wait is usually more like 3-5 years. (Paul has heard bits/pieces about where these projects are in implementation primarily because he works with many of these organizations on projects. He hasn't been able to go back to the county or to Caltrans to formally determine where the project is, in comparison with what was actually articulated in the visioning plan.)

Comment on Caltrans' current Planning Grants Workshop: Helpful to those who are applying for the first time.

Hoopa Traffic Calming

Organization Name: Hoopa Valley Tribe (*Direct Recipient*)

Interviewee Name: Warren Tamerius

Interviewee Title: Transportation Planner, Hoopa Tribe

Interview Date: February 26, 2009

Interviewer: Noé Noyola

Experience

1. How long have you been working at your current agency/organization?

Mr. Tamerius has worked with Roads Department of the Hoopa Tribe for 5 years, but has been with tribe over 20 years. His role initially was an administrative assistant to help facilitate projects, and delivery projects. Now, he is a Transportation Planner so he has seen the life of the entire project.

2. Have you applied more than once for a planning grant? How long have you been involved in applying for/implementing planning grant projects? Please briefly describe your roles.

The application for the Caltrans project took place prior to Mr. Tamerius' employment with the Roads department. Still, he was aware that the tribe had agreed to grant and it was applied for by a separate division. The Roads department inherited the project and continued the process.

The tribe consequently applied for another Environmental Justice Grant the following year to create a long range transportation plan.

Current Status of Project(s) and Next Steps

3. Please describe where the project left off at the end of funding. Do you know what the status of implementation is today?

Previous studies had indicated high numbers of collisions so the Tribe applied for a grant focused on traffic calming and safety for Hoopa's main road through town, a state right-of-way. The community feedback expanded the discussion to include revitalization of the surrounding downtown blocks of the small town.

The plan submitted to Caltrans included 20 year plan with a priority list of projects as specified by the Indian Roads and Reservations (IRR) program and it focuses on a traffic calming as well as revitalizing downtown.

Soon after completion Tribe began dialogue with Regional Transportation Planning Agency (RTPA) to acquire funding, mainly focusing on projects within Hoopa's downtown area.

4. To what extent has the funded project functioned as a catalyst for other community improvement projects?

A Project Study Report was completed in order to be included in State Transportation Improvement Program (STIP). This process took about a year to gather ideas through more community meetings with residents and stakeholders. The Project Study Report addressed related issues such Storm Water planning, sources of funding, and essentially provided a breakdown for how the projects could be implemented.

Caltrans also has used the Project Study Report as source for directing funding. It was reviewed and the tribe addressed the comments, eventually being signed off by District 11 director. The Tribe then requested to be put on STIP cycle, approval was granted by RTPA and a few months after the California Transportation Commission awarded STIP dollars. Construction on priority projects is slated to begin in 2012.

Caltrans has provided technical support on the state right-of-way and it has become a joint Caltrans/tribal project. Currently, they are at the pre-environmental review phase preparing to submit Environmental documents. Some preconstruction studies have already been done. Simultaneously, they are working to submit "shovel ready" candidate projects for Stimulus funding.

Planning Grant Program (Administration)

5. What suggestions, if any, would you make to improve Caltrans Headquarters' overall management and administration of the transportation planning grants program?

Mr. Tamerius found the billing process very straightforward and indicated that there was "Nothing I would do differently. Records were detailed and the application process leaves plenty of room for flexibility."

Change in SOW

6. Explain to what extent you feel that your project completed the original Scope of Work submitted in the initial application?

The original scope resulted from data from a report the medical center put together related to automobile/pedestrian/bicycle collisions on Highway 96. The original intent was to look at traffic calming but the conceptual plan stretched beyond the additional scope, maybe extra than just the safety features.

7. To what extent did your Scope of Work change? What were the reasons for the change?

Supplemental ideas that surfaced and that augmented the Scope of Work included the creation of public restrooms, and meeting facilities to help the Downtown to be used more as a public area. The conceptual plan ended up being a blue print for different types of plans that the tribe can pursue.

The tribe extended some of the work after submission of the completed plan and continued doing outreach about the broader downtown revitalization. Mr. Tamerius reported that the work plan submitted with the application did not anticipate the change.

Project Successes and Challenges

8. Would you say your planning project was successful? Why, or why not?

Mr. Tamerius replied "Yes, definitely." The main reason he cited was the "huge" public turnout. The Hoopa Tribe conducted 8 months of planning into a weekend, a 4 day design fair that consisted of a variety of activities for visioning and engaging community concerns. It was an extensive process that looked at all the layers brought from the public, from traffic safety to downtown economic activity. In the end, the 250 people that participated left knowing that their issues had heard.

9. Based on what you know, did the project meet its objectives? How well?

Through the planning process the safety issue continued as a central concern but consensus was built that the scope needed to be expanded. Feedback from the community forced us to rethink the priority beyond traffic safety to make sure to include downtown improvements such as sidewalks, signage with maximum reflectivity, and repositioning of streets.

10. Best Practices / Lessons Learned (If you were collecting activities in the hope of sharing "best practices" with other project implementers, would you put some of this project's activities in that collection?)

The biggest success cited was that the Tribe conducted a more honest and true assessment of what is needed for the community. The Hoopa Reservation is very rural and the weather can be extreme in the summer and the winter. Most individuals need and use automobiles for transportation so the reservation has developed in a manner that is unfriendly and dangerous to pedestrians, especially Downtown Hoopa.

Caltrans district staff was reported to be very incredibly open and encouraging. When the grant for the plan came, Caltrans district staff, Bryan Travis, seemed to become very excited about the project and said "this could be amazing." Hoopa staffers reported that having Caltrans staff that are excited will tend to make that excitement rub off on them and helped them see potential that was always

there. Bryan Travis eventually moved to Sacramento, but having someone that could see the outcome with his energy helped drive momentum.

The Project Study Report also reported to have been a huge success. Hoopa was the first tribe to get it done on its own initiative. They went through all the necessary hurdles and were very proud of the development in that it enabled them to get on the State funding cycle.

11. Please provide any significant barriers to project implementation that you experienced.

In terms of disappointments, the conceptual plan funded by Caltrans exposed and highlighted the fact that there are limited resources going to Indian country. The PSR and STIP funding focus on the Highway 96 and the area about 80 feet adjacent to the state right-a-way, but no funding will be brought to the reservation's other surrounding needs.

Community Engagement

12. CBTP Only: Explain how community-based stakeholder collaboration, partnership, and consensus building were encouraged throughout the project.

N/A

13. What specific methods did you use to involve these groups? (e.g., neighborhood walks, community action/steering committee, technical advisory committee, stakeholder meetings, public workshops/town halls, public hearing with policy body)

The most important effort the tribe made was to engage people in the decision making process. The Tribe took surveys to gather comments and even went door to door in some instance. Their community meetings were formatted in a way to encourage people to get out their chair to get them to feel as though they were moving toward something, to get them "fired up." At meetings, the Tribe was prolific in their use of digitally-edited photographs and it helped thinking beyond what they always knew.

Another important element to consider is that the provision of food at gatherings is somewhat of a tribal custom. Food also helps to attract people to meetings and the tribe had set aside a budget for food. Similarly music really helped make discussion more meeting more informal and helped create a sense of an extended family gathering.

The centerpiece of the Tribe's efforts was the development of a 4-day Design Fair. They planned it out for 8 months and formed committees and subcommittees, and organized volunteers. They also gathered donations for door prizes, and ensured proper meeting facilities. The fair was reportedly flawless and included:

- Activities, food, and a presentation
- Use of blank butcher paper to capture concerns
- Use of stickers to conduct dot voting to establish priorities to get a measure on the consensus of community to help guide the process into a set of goals
- A walk thru audit of downtown
- Use of large printed maps for people took a full day to overlay and redraw downtown with different ideas that were presented later.

Lessons Learned

14. Are there any "lessons learned" from developing/implementing your planning project?

See Question 10.

15. Do you have any other suggestions for how Caltrans can improve the effectiveness of the planning grants program(s)?

None at this time.

Focus Groups

16. Would you say that this would be a good project candidate to conduct a focus group? Why/Why not?

Yes, the Tribe and the community's interactions indicate a strong support of the planning process.

17. If you could contribute questions to be used in a focus group (for gathering community perspectives on planning grant project impacts), what questions would you pose to the group?

- Did participants in the planning process walk away with a sense that their ideas were heard?
- Did those ideas gain traction or were the planners set on their own vision?

General Interviewee Comments

Jack London Square In-fill BART Station Feasibility Study, November 2001

Organization Name: Bay Area Rapid Transit (BART) (*Subrecipient*)

Interviewee Name: Val Menotti

Interviewee Title: Alameda County Manager, Planning

Interview Date: February 19, 2009

Interviewer: Noé Noyola

Experience

1. How long have you been working at your current agency/organization?

Mr. Menotti has significant experience with BART and was the former Alameda County Manager of planning.

2. Have you applied more than once for a planning grant? How long have you been involved in applying for/implementing planning grant projects? Please briefly describe your roles.

Mr. Menotti indicated that BART has applied for approximately 7-8 Caltrans grants. The Jack London BART infill was one of the first. Mr. Menotti's role was that of a Principal in Charge. He reported that he was significantly involved with the Jack London BART Infill Station grant and project management.

Current Status of Project(s) and Next Steps

3. Please describe where the project left off at the end of funding. Do you know what the status of implementation is today?

The project was completed. The feasibility study portion resulted in the Jack London Station being considered a non-starter and infeasible. Three alternatives were considered as infill, but grade of the existing track meant that a retrofit of the tracks would be required, a tremendously cost prohibitive option. The other station alternatives were at a distance from Jack London district and negated the proximity that was desired. Several alternatives surfaced once that determination was made but most, if not all, were determined to be non BART options. These included underground prototype rail shuttles, distinctive buses, etc. The study recommended that Light Rail Vehicles (LRV), or more commonly known as street cars. Mr. Menotti reported that BART, as an agency, did not have the influence or the jurisdiction to pursue these options further, instead considered it a matter for the City of Oakland to pursue. To Mr. Menotti's knowledge, the city has not pursued further activity.

4. To what extent has the funded project functioned as a catalyst for other community improvement projects?

Because the original project goal of an in-fill BART station proved to be infeasible, the study itself proved to be a catalyst of ideas not only for various alternatives to connect JLS to BART, but also to establish downtown transit circulator. Also, the island City of Alameda, which is separated from JLS by the Oakland Estuary, initiated a study to consider the creation of a rail shuttle link through JLS to the 12th Street BART Station. The study appears to have been completed but no specific plans or funding have been realized.

The City of Oakland has also adopted an Estuary Plan that suggested the possibility of connecting JLS and BART. BART is also partnering with the Metropolitan Transportation Commission for specific Lake Merritt transportation plan that also consider how to link JLS. Both of these areas are bookends with JLS in the middle. Though these plans are not specifically tied to JLS, they do include the JLS linkage as part their larger scope.

Finally, there were two significant retail centers being created at JLS that are obligated to create a shuttle to BART. Though these are not directly resulting from the Caltrans study, they further point to the need that exists for the link from JLS to BART.

Planning Grant Program (Administration)

5. What suggestions, if any, would you make to improve Caltrans Headquarters' overall management and administration of the transportation planning grants program?

BART has been fortunate to receive several grants to address a variety of planning projects. One issue used to be the lack of communication and lag time from grant application to actual funding. It used to be call for projects went out in October, then applicants would not hear much until June, and finally, an agreement came to pass in October. It would literally take a year later before anything was done. This meant that the Caltrans grants could not help address short term needs. Mr. Menotti reported that the process has been shortened somewhat.

Change in SOW

6. Explain to what extent you feel that your project completed the original Scope of Work submitted in the initial application?

The study completed the scope of work in that it determined the feasibility of the proposed BART station.

7. To what extent did your Scope of Work change? What were the reasons for the change?

Originally, the City of Oakland had asked BART about the possibility Jack London station. BART was open to addressing the idea, and partnership emerged to apply for the Caltrans grant. The study determined the infeasibility of an in-fill BART station at JLS, and also analyzed other alternatives to enhancing transit to and from JLS. Though the study was entitled as an "In-fill Station Feasibility," the scope initially did include addressing other alternatives.

Project Successes and Challenges

8. Would you say your planning project was successful? Why, or why not?

The project successes included the partnership between the various stakeholders. From the perspective of BART it was a success because it helped the agency address an issue that one of its partner communities wanted addressed.

9. Based on what you know, did the project meet its objectives? How well?

See Question 14.

10. Best Practices / Lessons Learned (If you were collecting activities in the hope of sharing "best practices" with other project implementers, would you put some of this project's activities in that collection?)

See Question 14.

11. Please provide any significant barriers to project implementation that you experienced.

One significant barrier within this project is a disconnect between the planning study results and the implementation. Since the JLS Station proved a non starter, the other transit alternatives were not BART solutions. If implemented, BART would not be the operator of these links. They would likely require a possible a property tax and extensive community reengagement from the City of Oakland. Mr. Menotti reported that there were many obstacles in Oakland to getting done.

Also, once the in-fill station was ruled out, there was disagreement among the stakeholders about the best alternatives modes for a downtown circulator. While the most popular mode amongst the merchants and residents was the street car alternative, the policy advisors recommendation was to have a shuttle bus because of lower costs.

Community Engagement

12. CBTP Only: Explain how community-based stakeholder collaboration, partnership, and consensus building were encouraged throughout the project.

Several community meetings, focus groups, and a policy advisory council that included city council members and BART Board of Directors.

13. What specific methods did you use to involve these groups? (e.g., neighborhood walks, community action/steering committee, technical advisory committee, stakeholder meetings, public workshops/town halls, public hearing with policy body)

The study itself was presented in a manner that explained the stake holder collaboration and guidance. The study started by addressing the initial question about an infill station, but then gathered feedback on how to proceed with alternatives. With each step, the stakeholder guidance and logic behind each the study's direction were documented.

Lessons Learned

14. Are there any "lessons learned" from developing/implementing your planning project?

For BART the study was useful as a longer term transit strategy. It helped the agency reframe the discussion and to better understand the needs. Initially the solution was thought to be more BART related capital improvement, but once the study results came through and explained that technical obstacles were too severe for an infill station, the question was reframed to come up with alternative solutions that did not involve BART technology. The study helped the agency field a request from a partner city, scientifically address the request, and ultimately place the onus for action back on the city since BART alternatives were deemed infeasible.

15. Do you have any other suggestions for how Caltrans can improve the effectiveness of the planning grants program(s)?

Because the final recommendation of the study proved to be a non-BART technology alternative, it was difficult for BART to pursue any level of implementation. Mr. Menotti suggested that to improve effectiveness of the planning grants, that these include some type of funding or mechanism that ties them to implementation.

Focus Groups

16. Would you say that this would be a good project candidate to conduct a focus group? Why/Why not?

This would not be a good focus group subject because no actions or groups have continued after the study.

17. If you could contribute questions to be used in a focus group (for gathering community perspectives on planning grant project impacts), what questions would you pose to the group?

No questions suggested.

General Interviewee Comments

LA County Bike Transit Center Implementation Plan

Organization Name: Bikestation Coalition (*Sub-Recipient*)

Interviewee Name: Andrea White

Interviewee Title: CEO, Bikestation

Interview Date: February 25, 2009

Interviewer: Lisa McNally

Experience

1. How long have you been working at your current agency/organization?

Andrea has been at Bikestation for 5 years.

2. Have you applied more than once for a planning grant? How long have you been involved in applying for/implementing planning grant projects? Please briefly describe your roles.

The plan was half way through the development process in terms of community outreach and planning the plans when Andrea got involved with it. The public outreach was conducted to help ascertain the needs of the bicycling public. Bikestation held charrettes and a stakeholder technical advisory committee and conducted surveys. They did all for this for each of the four locations. The community wasn't involved in designing the facility; instead, they defined the bike/ped commute needs in each of the areas.

Current Status of Project(s) and Next Steps

3. Please describe where the project left off at the end of funding. Do you know what the status of implementation is today?

This project won the American Planning Association Award in 2005. The plan has been successful in getting cities to follow through with the envisioned bike transit centers and actually implement the facilities for bike-transit centers—Pasadena, Norwalk, Los Angeles (North Hollywood), and Santa Monica. The only city where there is no movement is Norwalk. It was known at the time that Norwalk was the least likely to implement the transit center because they are located in a zone that is more urban sprawl zone.

Pasadena went forward and had designs engineered. However, they haven't yet put out an RFP to build the facility. What is holding that up is that the identified site is a metro right-of-way and the City is having a hard time getting it turned over to them by Metro.

North Hollywood: The construction of that facility was put out to bid a year ago. Andrea doesn't know what happened to that bid, however. It is frozen at the moment. The plan is for it to be carried out by a LA "redevelopment agency" because the development of a transit center was tied to a larger redevelopment plan.

Santa Monica has been really successful in moving their plan forward. Last year they hired Bikestation to do conceptual designs for three sites on the promenade, which consists of a three-block radius. These are all located in ground floor of parking structures. They are in the middle of getting parking structures upgraded, and as a part of that, they wanted to build in the bike transit centers. The conceptual plans are done and the operational planning process is happening right now. Santa Monica was planned even though they don't have metro rail stations, this is because they do have heavily-used metro bus stations.

4. To what extent has the funded project functioned as a catalyst for other community improvement projects?

Bikestation had been working on centers for years before, but this plan helped to put together in a consistent and rigorous framework that could be used by other stakeholders to implement. The plan developed in this project is now the framework that Bikestation's uses for all of its Bikestation projects. Even if their projects are not focused on transit center development, they can indirectly connect a lot to the existing plan. Overall, this plan has helped elevate the knowledge base of bike transit centers.

Planning Grant Program (Administration)

5. What suggestions, if any, would you make to improve Caltrans Headquarters' overall management and administration of the transportation planning grants program?

Bikestation mostly worked with Lynne Goldsmith at MTA (unavailable for this interview). Some of the difficulty of that had to do with geography since Metro is downtown LA and Bikestation is in Long Beach. Bikestation has always had a good report with Caltrans District office. It was a good relationship throughout the project. The MTA is the big player in transportation planning in the region. They didn't want to do just one facility plan. Bikestation wanted to show that this could be done across the region. The MTA is really the right partner for that. This is a planning document. The intent was that the plan would be implemented, MTA was responsible for implementing the Long Beach facility.

Change in SOW

6. Explain to what extent you feel that your project completed the original Scope of Work submitted in the initial application?

What happened in the slight change in the SOW, a decision was made to put one of these facilities on each of the different lines. The Sierra Madre one was on the Green Line, but that changed to Norwalk (also on the Green Line). It was decided to be planned for each of the Metro lines, showing they could be implemented across a range of different types of areas. (Blue[Long Beach], Green [Norwalk], Red [N. Hollywood] Gold Line [Pasadena]. Fifth line is Orange Line BRT.

7. To what extent did your Scope of Work change? What were the reasons for the change?

See Question 6.

Project Successes and Challenges

8. Would you say your planning project was successful? Why, or why not?

The project has been, on a scale of 1-10, in accomplishing what it said it would accomplish, the big goal was to implement these specific facilities, she would give it a 6-7, but in a broader sense and with a broader set of goals regarding it resulting in a framework and catalyzing these facilities in moving forward, from perspective of creating a rigorous body of work that hadn't existed before and showcasing the entities that were involved, she would give it a 8-9. Additionally, the project was successful in that it helped to fortify relationships with MTA, the community, the cities.

9. Based on what you know, did the project meet its objectives? How well?

Yes. See above.

10. Best Practices / Lessons Learned (If you were collecting activities in the hope of sharing "best practices" with other project implementers, would you put some of this project's activities in that collection?)

Process issues: From the way the plan is structured, to what the stakeholder outreach looks like and the methods used for community engagement to some of the needs assessment methodologies for counting ridership and creating a standard for you deliverables.

11. Please provide any significant barriers to project implementation that you experienced.

At the end of the project, she thinks there was an audit by Metro which was completely understandable since they do random audits. They ended up getting an onerous amount of information. Maybe on a random basis, Caltrans funded projects should be audited since these projects are funded by tax payers' money. This might help to create an incentive to ensure that money flow is documented, and overall, to help drive the projects through completion, and even on to being successful in moving on to the next phase.

Community Engagement

12. CBTP Only: Explain how community-based stakeholder collaboration, partnership, and consensus building were encouraged throughout the project.

She was mostly involved in the outreach for the Santa Monica portion of the study. Her experience was very positive. She saw that there were a number of opportunities for people to get involved. She does feel like the needs that were defined were addressed in the design of the facility. The facilities that are being conceptualized and implemented right now in Santa Monica are all on the promenade; interestingly, they determined that there were needs like this all over the city.

13. What specific methods did you use to involve these groups? (e.g., neighborhood walks, community action/steering committee, technical advisory committee, stakeholder meetings, public workshops/town halls, public hearing with policy body)

See Question 12.

Lessons Learned

14. Are there any "lessons learned" from developing/implementing your planning project?

N/A

15. Do you have any other suggestions for how Caltrans can improve the effectiveness of the planning grants program(s)?

N/A

Focus Groups

16. Would you say that this would be a good project candidate to conduct a focus group? Why/Why not?

Santa Monica would be good location for a focus group. It's hard to talk about something that hasn't been implemented and operation for a period of time.

17. If you could contribute questions to be used in a focus group (for gathering community perspectives on planning grant project impacts), what questions would you pose to the group?

Do they feel like they were listened to during the process and do they feel like what was designed was the into consideration.

Why hasn't the project been implemented?

What needs to happen to get it implemented. The nice thing about Bike Transit centers is that they have a good record with Caltrans; however, once the grant is issued, the envisioned plan doesn't always get implemented. But, Bikestation has been able to show that they can take it to the next level. Bikestation is able to keep people focused and they have a niche knowledge about what works and doesn't work related to the development of transit stations.

Liaison between OSP and TPSS Funding Recipients

Organization Name: Sacramento Headquarters; Division of Transportation System Information
Interviewee Name: Meg Rife
Interviewee Title: Resource Manager
Interview Date: February 19, 2009
Interviewer: Jennifer Brickett

Experience

18. How long have you been working at Caltrans HQ (or District X)?

N/A

19. How long have you been involved in applying for/implementing TPSS projects? Please briefly describe your roles.

Meg Rife is the Resource Manager for the Caltrans Transportation System Information. She serves as the liaison for the Office of State Planning and TPSS funding recipients. As a liaison, all funding and expenditure information is streamlined through her. Meg helps prepare work plans to ensure that grant recipients use the funding as they're suppose to.

Current Status and Next Steps

20. Was the project carried forward to the next stage of implementation? If so, please describe.

N/A

21. What is the current status of the project funded by Caltrans?

- Plan/study completed – no progress toward implementation
- Some progress toward implementation of plan, but major obstacles exist
- Significant progress – plan is currently being implemented
- Plan has been fully implemented

N/A

TPSS Program

22. Was the administration of the TPSS program by Caltrans headquarters effective in terms of:

- Call for projects
- Selection process of projects
- Kickoff meeting
- Provision of technical assistance
- Provision of contracting assistance
- Monitoring of project progress throughout the project? How often did monitoring occur?
- Provision of year-end reports and close out reports
- Following-up on projects after project completion

Working with contracts is a challenge due to the different processes for each type of contract. This can be confusing to TPSS grantees if they don't know which type of contract mechanism they want to use. Usually either the TPSS staff, Division of Transportation Planning resource management staff, or Contracts staff can help a TPSS grantee with the process. For example, CMAS contracts have to follow a certain format – if you

don't use the correct template, you may run into problems later in the process. Grantees must rely on contracts staff to provide the correct template. The template provided this fiscal year didn't include a clause for amending the contract for time. They ran into delays because of the Governor's executive order suspending personal services contracts. They weren't able to amend a couple of their existing contracts to include the additional time and lost funds encumbered, plus they have to go through the entire contract process again.

Also, at this time the Department's Purchasing staff (which is part of Contracts) has a large backlog of paperwork, so it takes a lot of time to get a contract through the process, which can delay projects. Meg has also heard some discussion from management staff that grantees need to be provided additional information about the contracts deadlines so the contracts can processed within the fiscal year.

23. What suggestions, if any, would you make to improve the overall management and administration of the TPSS program?

Ms. Rife said that the TPSS funding process has improved. Originally, 80% of funding for project activities came through state funding and each funding recipient had to contribute a 20% match. However, now all funding comes from the Office of State Planning which has improved the process. The process continues to improve each year. For example, the coordination between the Office of State Planning and the funding recipients has improved. Challenges include understanding new rules and processes and making sure contracts keeps moving.

24. Do you feel that there was adequate coordination amongst internal stakeholders (District staff and HQ staff) throughout the life of the project?

N/A

Monitoring and Measurement of Project Outcomes

25. Did you ever conduct any monitoring of your own project to ensure that self-defined benchmarks were being achieved throughout the project life?

N/A

Project Successes and Challenges/Barriers

26. How do you define "success" for a completed TPSS project? Would you say the planning project that you oversaw was successful? Why, or why not?

N/A

27. Please provide any significant barriers to project implementation that you experienced.

N/A

Scope of Work

28. Explain to what extent you feel that your project completed the original Scope of Work submitted in the initial application

N/A

Lessons Learned

29. Are there any "lessons learned" from implementing your TPSS project(s)?

N/A

30. Do you have any other suggestions for how Caltrans can improve the TPSS program?

See above.

31. Do you have any pictures of your final project (or pictures from a phase during project development) that you could share with us electronically?

N/A

Manila Community Transportation Plan—Phase II

Organization Name: Humboldt County Association of Governments (*Recipient*)

Interviewee Name: Spencer Clifton

Interviewee Title: Executive Director

Interview Date: February 18, 2009

Interviewer: Vicky Liu

Experience

1. How long have you been working at your current agency/organization?

25 years.

2. Have you applied more than once for a planning grant? How long have you been involved in applying for/implementing planning grant projects? Please briefly describe your roles.

Spencer applies for a Caltrans EJ or CBTP grant annually. He is responsible for administrative oversight of the grant. The agency typically handles three or four outsourced Caltrans funded and non-Caltrans funded projects annually.

Current Status of Project(s) and Next Steps

3. Please describe where the project left off at the end of funding. Do you know what the status of implementation is today?

The project team completed the community plan. However, the Manila Community Service District (MCSCD) and the County has had difficult obtaining funding to accomplish the improvements. As the road identified for traffic calming measures is also a state highway, Caltrans has the ultimate jurisdiction over the road and would need to agree to focus resources in the area. The County has found that as a small community with low amount of traffic, Manila is not competitive when applying for transportation improvements funds.

4. To what extent has the funded project functioned as a catalyst for other community improvement projects?

The plan has had the added benefit of serving as a framework for the MCSD to develop and implement an overall community improvement plan or a general plan which it hadn't had the resources to accomplish previously.

Planning Grant Program (Administration)

5. What suggestions, if any, would you make to improve Caltrans Headquarters' overall management and administration of the transportation planning grants program?

Caltrans' role in delivering the grant program and the resources staff made available to the recipients were more than adequate.

Change in SOW

6. Explain to what extent you feel that your project completed the original Scope of Work submitted in the initial application?

Spencer believes the scope of work was completed.

7. To what extent did your Scope of Work change? What were the reasons for the change?

The Scope of Work did not change significantly.

Project Successes and Challenges

8. Would you say your planning project was successful? Why, or why not?

The planning process was successful because there was a strong inter-agency collaboration between the County, Caltrans, and MCSD. The plan was well-received by the public.

9. Based on what you know, did the project meet its objectives? How well?

The project met its objectives fully.

10. Best Practices / Lessons Learned (If you were collecting activities in the hope of sharing "best practices" with other project implementers, would you put some of this project's activities in that collection?)

Spencer suggested that grantees educate community members about the limited availability of transportation improvement funds. Because Caltrans funded the planning effort, the community was under the impression the agency would also fund the improvements suggested. Spencer also spoke highly of the multi-agency collaboration.

11. Please provide any significant barriers to project implementation that you experienced.

The planning process did not experience significant barriers.

Community Engagement

12. CBTP Only: Explain how community-based stakeholder collaboration, partnership, and consensus building were encouraged throughout the project.

The project team mailed out surveys, put notices in the local paper, and sent information home with elementary school students. As the community is small, advertising the project was not a complex process.

13. What specific methods did you use to involve these groups? (e.g., neighborhood walks, community action/steering committee, technical advisory committee, stakeholder meetings, public workshops/town halls, public hearing with policy body)

The project team hosted multiple community meetings.

Lessons Learned

14. Are there any "lessons learned" from developing/implementing your planning project?

See Question 10.

15. Do you have any other suggestions for how Caltrans can improve the effectiveness of the planning grants program(s)?

N/A

Focus Groups

16. Would you say that this would be a good project candidate to conduct a focus group? Why/Why not?

Yes, because the community is still interested in the project and would welcome a follow-up effort.

17. If you could contribute questions to be used in a focus group (for gathering community perspectives on planning grant project impacts), what questions would you pose to the group?

Do you believe the planning process was useful?

Multi Lingual Transit and Alternative Modes of Public Information and Outreach Program for the SACOG Region

Organization Name: Sacramento Area Council of Governments (SACOG) (*Recipient*)

Interviewee Name: Jim Brown

Interviewee Title: City Planner

Interview Date: February 17, 2009

Interviewer: Lisa McNally, Noé Noyola

Experience

1. How long have you been working at your current agency/organization?

Mr. Brown reported having 8 years of current experience at SACOG, 9 years in the early 1970's, 17 plus years in total. He has worked in the planning industry for 35 years, mainly having worked for planning agencies. He also cited 13 years as transit planning consultant.

2. Have you applied more than once for a planning grant? How long have you been involved in applying for/implementing planning grant projects? Please briefly describe your roles.

With regard to Caltrans planning grants, Mr. Brown indicated that SACOG has applied for numerous grants, including two current ones under evaluation. Earlier in his career his role was to write the grant applications and to manage the study or planning process. Now as a supervisor, his role includes training and mentoring of junior staff that now write applications and manage the grants. Still he oversees quality control of projects. Mr. Brown reported that a significant portion of his work is grant funded at approximately \$200,000 per year from Caltrans Grants. SACOG also acts as a sponsor agency and administer grants for other agencies that file for grants. Currently, SACOG is carrying grants for regional transit, Unitrans of Davis, Yellow Transit, and the City of Marysville.

Current Status of Project(s) and Next Steps

3. Please describe where the project left off at the end of funding. Do you know what the status of implementation is today?

The purpose of the project was to identify the number of people with language issues and with few or no translation capacities, then to outreach to them to understand their specific needs. The effort resulted in a Language Assistance Plan. SACOG worked with Paratransit Inc., a provider of transit services to seniors and the disabled, to function as the lead outreach agency and to partner with Community Based Organizations (CBO's) within the various communities. SACOG also hired a television station to develop training video.

4. To what extent has the funded project functioned as a catalyst for other community improvement projects?

The planning grant project spun off into another separate grant application and award doing mobility training in the language of the community. Paratransit had been doing this service for seniors and disabled people. Part of the problem was a lack of knowledge and a fear of doing something new. Many people simply were not comfortable with bus system so the project including going out into the community hold a session with users and take them on field trips.

Planning Grant Program (Administration)

5. What suggestions, if any, would you make to improve Caltrans Headquarters' overall management and administration of the transportation planning grants program?

Mr. Brown indicated that the Caltrans program produced good grants. One difficulty in the Caltrans process, however, is the need for a separate funding contract. Typically other contracts of this type

include the funding contract within the overall agreement. With Caltrans, however, there is a need to negotiate separate funding agreement. Consequently, Mr. Brown reported, grants with a period of performance of 3 years end up requiring project administration for 1 ½ of those years. Mr. Brown encourages any efforts to streamline the administrative burden for grantees, including incorporating the funding agreement into the broader work plan. A specific suggestion for grantees such as SACOG that have received several Caltrans Grants is to develop an ongoing Memorandum of Understanding (MOU) between the parties that has the appropriate approvals on sign offs of the federal government.

Mr. Brown also suggested that Caltrans incorporate a focus of the grants program be capacity building to community agencies, where more funding go to agencies that are implementing the various components of the grants, especially those at the ground level such as outreach and survey activities. Mr. Brown reported that at times grants are difficult because community agencies simply do not have capacity, especially administrative capacity/capabilities.

To the extent possible, SACOG has done some capacity building work with their staff. With this particular project, SACOG worked with a combination of multi-lingual community organizations, each with a focus on a separate language groups. These organizations were reported to be good partners but from the perspective of SACOG as the lead grantee, the partnership also included a significant amount of background and administrative work.

Change in SOW

6. Explain to what extent you feel that your project completed the original Scope of Work submitted in the initial application?

See Question 7.

7. To what extent did your Scope of Work change? What were the reasons for the change?

The project did deviate from one of its original goals to implement telephone interpretation program because SACOG realized through research it was more difficult and costly to provide this service than initially thought.

SACOG will continue to seek ways to implement language interpretation into the region's 511 system. Service providers such as Paratransit also hire and rely on staff with language capabilities and SACOG will continue to rely on various contract interpretation services.

Project Successes and Challenges

8. Would you say your planning project was successful? Why, or why not?

The project was successful in that it led to and spun off into doing other work. SACOG has used the resulting plan as a launching point to acquire more funding for implementation. The study effectively identified potential projects, or project components, which could be viable candidates for funding streams such as CMAQ (Congestion Mitigation and Air Quality Improvement Program) as well other endeavors that SACOG engages to promote projects such funding, bidding processes, assessments, and evaluations.

On an intangible level the project was reported to be successful for SACOG in that the agency got value by conducting the project itself by doing outreach and engaging their transit and community partners. The project helped them build these relationships and trust which may eventually lead to pursuit of funding on an ongoing basis and further joint outreach.

9. Based on what you know, did the project meet its objectives? How well?

SACOG reported affirmatively to the question of having completed the project's objective. On a more profound level Mr. Brown indicated a sense of having provided tools to the community for changing government processes. In essence through this project Mr. Brown reports, SACOG was able to show non English speaking communities how to talk to the government, effectively helping establish a sense of empowerment.

10. Best Practices / Lessons Learned (If you were collecting activities in the hope of sharing “best practices” with other project implementers, would you put some of this project’s activities in that collection?)

See answer to *Question 11*.

11. Please provide any significant barriers to project implementation that you experienced.

Barriers that surfaced in this project are commonly known as “turf issues.” In essence, these describe a level of friction between partnering agencies or organizations on what each believes to be their issue or jurisdiction. In this case, SACOG partnered with various transit districts as well as other transit service providers and varying degrees of conflict emerged when deciding on an approach or direction for dealing within the partner’s perceived “turf.” These issues were not devastating to the project, but nonetheless were notable especially since they were not entirely expected. Mr. Brown advised project leads to simply be more sensitive to and anticipate the perceived ownership of partners about their community or issues.

Community Engagement

12. CBTP Only: Explain how community-based stakeholder collaboration, partnership, and consensus building were encouraged throughout the project.

N/A

13. What specific methods did you use to involve these groups? (e.g., neighborhood walks, community action/steering committee, technical advisory committee, stakeholder meetings, public workshops/town halls, public hearing with policy body)

Focus groups were held with each of the five largest language communities, either through a hired translator or through a community translator. The purpose was to ask about their community’s impediments to using bus and transit services. Based on the findings of the focus groups, SACOG developed a video in 5 different languages in DVD format. These were sent back out to CBO’s to use as training for using and understanding the bus system(s).

Lessons Learned

14. Are there any “lessons learned” from developing/implementing your planning project?

The most important thing to recognize is that any project simply can not cover the whole community. Also, unless you speak a specific community’s language and you work through their organizations, they will not feel safe or trusting.

15. Do you have any other suggestions for how Caltrans can improve the effectiveness of the planning grants program(s)?

The plan has been successful to use as foundation when SACOG continues in implementing other pieces or when seeking funding to move forward. Caltrans should promote this specifically, indicating that the plan is merely a first step or a foundation for broader efforts.

Focus Groups

16. Would you say that this would be a good project candidate to conduct a focus group? Why/Why not?

Possibly, but the scope of the project was very broad geographically, making it difficult to gather people with similar experiences.

17. If you could contribute questions to be used in a focus group (for gathering community perspectives on planning grant project impacts), what questions would you pose to the group?

Focus Group questions suggested by Mr. Brown included:

- Did the end result provide useful change to improve the quality of their life?

- How has the project better the community?
- Was the method employed the correct and appropriate one?
- Were the project leaders adequately respectful of their communities?
- What could have been done better?
- What will the project lead to?

General Interviewee Comments

Mr. Brown suggested Caltrans incorporate specific components for projects’ community participation plans. In essence, Caltrans could provide input to that process through a template that teaches or guides project leads on methods to conduct outreach based on known best practices.

Northeast Line Light Rail Stations

Organization Name: Bay Area Economics (*Project Consultant*)

Interviewee Name: Matt Kowta

Interviewee Title: Principal, Bay Area Economics

Interview Date: February 11, 2009

Interviewer: Lisa McNally

Experience

1. How long have you been working at your current agency/organization?

Matt did not respond to this question.

2. Have you applied more than once for a planning grant? How long have you been involved in applying for/implementing planning grant projects? Please briefly describe your roles.

For the Northeast Line Project, Bay Area Economics (BAE) evaluated market demand for retail and market uses. Then, Moore Iacofano Goltsman (MIG), a design firm, developed these plans in regards to how the land use was being planned. Once they developed a concept of how the land could be used, BAE worked with them to determine which product types would be more feasible than others. For example, if there is a 5-story, high-density urban condo at a given location versus 2-3 story townhouses that were still at high density but built in more economical way, one could achieve financial feasibility under right circumstances with the latter choice. The point was to conduct an initial analysis of what you think the resulting plan might look like around the rail stations.

A lot of their work is similar to this process. Eighty percent of BAE's work is for public-sector clients, evaluating economic the possibilities based on different design scenarios.

Current Status of Project(s) and Next Steps

3. Please describe where the project left off at the end of funding. Do you know what the status of implementation is today?

Matt was a sub-consultant to Moore Iacofano Goltsman (MIG). As part of their assignment, they were to conduct economic analysis to support the planning project. They were looking at market conditions and conducting a financial feasibility analysis to evaluate development concepts. The Caltrans planning grants were sought to promote implementation of the TOD vision defined in the Transit for Livable Communities (TLC) grant goals. The economic analysis that BAE conducted was seen as a pre-cursor to the Northeast Line project in 2001. The TLC set a vision for the area, specifically around light rail station, from perspective of Sacramento Regional Transit (they were sponsor of TLC project).

4. To what extent has the funded project functioned as a catalyst for other community improvement projects?

In this case, there was a pre-cursor plan (TLC) that the planning grant project was meant to maintain and promote and carry to next phase.

Planning Grant Program (Administration)

5. What suggestions, if any, would you make to improve Caltrans Headquarters' overall management and administration of the transportation planning grants program?

N/A

Change in SOW

6. Explain to what extent you feel that your project completed the original Scope of Work submitted in the initial application?

N/A

7. To what extent did your Scope of Work change? What were the reasons for the change?

N/A

Project Successes and Challenges

8. Would you say your planning project was successful? Why, or why not?

Yes, for the specific task that BAE was hired to do, they were successful in coming up with economic alternatives for the area.

9. Based on what you know, did the project meet its objectives? How well?

See Question 10.

10. Best Practices / Lessons Learned (If you were collecting activities in the hope of sharing "best practices" with other project implementers, would you put some of this project's activities in that collection?)

From a public planning perspective, the Northeast Line project was similar to other types of planning projects. Although, the project may be little different because when you have grant funding thrown in, Matt believes that in order to get grant funding, there is some larger goal that the applicant is trying to achieve through the use of grant funds; and it's important to understand what those larger outcomes are and how well they mesh with the applicant's goals. For example, a local jurisdiction might say, "Gee, we want to do something like this, here's a source of funding and let's figure out how to make an application to receive money to respond to the NOFA but also how to accomplish our own goals (which may have nothing to do with the NOFA). The grant funding – the jurisdiction gets awarded funding on basis of application, then they feel they have to see it through so that they have to remain in compliance with grant agreement, but also drive towards meeting their own goals at the same time.

They have a lot more flexibility to adjust things along the way, but through the grant process, they are committed to a certain type project.

The agency driving the plan development is useful because they help things get moving if they only to rely on local funding. Local jurisdiction helps take risks. That has to be balanced with a commitment to follow through knowing you are spending someone else's money, and therefore are obligated to meet pre-defined objectives.

Recommendation

There are consultants that make business by saying to communities, there's this grant program, if you filled this out, we can get you \$35K to get grant, and you match \$7k, we'll write the planning grant application, and when you get the grant, we'll help you implement it. Those programs are not productive. A jurisdiction doing their thing, and someone says you can get money; there's no local impetus to begin with, and consultants then does study, resulting in little/no follow-through there after grant money is spent.

Matt recommends that there is a project requirement that what is done with grant money is actually building on overall plan or program or already on some commitment so that you can see that there is a genuine commitment and interest to doing something, resulting in bigger bang for the buck.

If there's an affiliation requirement, he suggest that the applicants show a pre-existing plan/strategy. etc. and should have already demonstrated to some degree how a particular use of grant funds will further their overall vision. That is, the emphasis should be on more than just matching local funds.

There ought to be an adopted plan that shows how money can be used to further existing vision or plan. Continuity and building from an actual plan instead of ad hoc. This would improve the probability of success. [Ensuring continuity and follow-through]

11. Please provide any significant barriers to project implementation that you experienced.

Matt's view of Northeast Line study, it was City of Sacramento's turn to say we control land use around the station area, from a regulatory standpoint, and we have community development and economic perspective, so how do we build on what regional transit did, and how do we continue to guide Sacramento's land use policy? Regional transit can propose ideas, but it's really the City that says this is what we should do.

If funding recipient got City to support transit usage, then the City gets more money to support light rail. This is the next step; so City needs to buy into this so they are putting into place official policies that reinforce mixed-use so there's a linkage between transit use and generation of new riders for those transit facilities. The City went about process to formally adopt updated policies for this particular area, with idea that they were supported of higher-density and mixed-use development clustered around transit stations. They needed to know what the market demand was, if it was financially feasible, or will they need to get a lot of subsidy to get the kind of dense development that they are seeking.

Community Engagement

12. CBTP Only: Explain how community-based stakeholder collaboration, partnership, and consensus building were encouraged throughout the project.

N/A

13. What specific methods did you use to involve these groups? (e.g., neighborhood walks, community action/steering committee, technical advisory committee, stakeholder meetings, public workshops/town halls, public hearing with policy body)

N/A

Lessons Learned

14. Are there any "lessons learned" from developing/implementing your planning project?

Matt believes the three-pronged process of doing technical analysis *and* community outreach (having community input into the planning process), *then mixing that with political leadership is key*. If any of those three pieces are lacking, then implementation of a project cannot happen.

Recommendation

Require grant recipient to demonstrate their commitment to this three-pronged approach. The applicant should demonstrate that they community input *AND* political leadership, and that maybe even that they have already put into action some aspect of project implementation.

15. Do you have any other suggestions for how Caltrans can improve the effectiveness of the planning grants program(s)?

N/A

Focus Groups

16. Would you say that this would be a good project candidate to conduct a focus group? Why/Why not?

Talk with City Staff first about what they have done in terms of implementation. One and a half years is still not a lot of time to "feel the effects" of this project on the ground. Check in with Sparky Harris at the City to see what has been done in the area; they were already making streetscape improvements shortly after the project finished, but I'm not sure what had been done since then.

Also, if you can find out who in the community has been following the process, they will be able to provide insight on community reactions to process, but to come back 1-2 years after the project and expect to see full

successes, I'd say it is probably too soon to do that. Specifically for a project like this, you would need to have a longer term perspective. Five years is actually considered short-term in the planning world.

17. If you could contribute questions to be used in a focus group (for gathering community perspectives on planning grant project impacts), what questions would you pose to the group?

Maybe they began to work on a next-phase development project; if that's the case, it would be interesting to know if the community members who *have not been* involved in planning process have noticed changes, and if so, if they could define what those changes are from the perspective of users. If you can determine if changes have actually occurred since the project, then it would be great to do a focus group there. But if no changes have been done on the ground, then I don't recommend doing a focus group there.

North Richmond Truck Route Study

Organization Name: Contra Costa County Redevelopment Agency (*Direct Recipient*)

Interviewee Name: D'Andre Wells

Interviewee Title: Redevelopment Manager

Interview Date: February 17 2009

Interviewer: Noé Noyola

Experience

1. How long have you been working at your current agency/organization?

Mr. Wells has been at the Contra Costa Redevelopment Agency for 6 years.

2. Have you applied more than once for a planning grant? How long have you been involved in applying for/implementing planning grant projects? Please briefly describe your roles.

Mr. Wells was the Project Manager for the Richmond Truck Route Study. His role involved coordinating the application, managing subcontractors, administering the grant, and managing the overall work flow. The Contra Costa Redevelopment Agency has not applied for other grants from Caltrans, but only because the currently have no other projects have surfaced for them.

Current Status of Project(s) and Next Steps

3. Please describe where the project left off at the end of funding. Do you know what the status of implementation is today?

Currently, the Redevelopment Agency is now dealing with Phase 2 of implementing changes to the truck route. They are working with trucking community and various other divisions within the County that will play a role in implementation.

4. To what extent has the funded project functioned as a catalyst for other community improvement projects?

The Redevelopment Agency is preparing the North Richmond Specific Plan which includes the area surrounding the Truck Route. Currently the plan is under CEQA Review, and is intended to develop a new vision for the historically industrial area.

The County also applied for a Goods Movements Program grant of the Bay Area Air Quality Management District that aims quickly reduce air pollution emissions and health risks caused by freight movement along priority trade corridors and other trade corridors in California where the trucks travel delivering goods. Besides dealing with trucks diesel pollution, the grant application also addressed rail, increased safety in the area, and business development.

Speaking more broadly, the truck route study increased everyone's sensitivity about the context of North Richmond. It brought into focus the balance that is needed between economic activity and the concerns of the people living and working with area. The study included the various elements of traffic safety including signing, striping, school crossing elements.

Planning Grant Program (Administration)

5. What suggestions, if any, would you make to improve Caltrans Headquarters' overall management and administration of the transportation planning grants program?

The process has improved. The advice Mr. Well suggested is to remember that sometimes simpler is better. The complexity of the projects combined with the amount of paperwork makes for a tedious process at times to administer project. Overall, the process needs to be more user friendly to the extent possible. Nonetheless, Mr. Well, though "it was fairly clean but still whenever possible simplify things."

Change in SOW

6. Explain to what extent you feel that your project completed the original Scope of Work submitted in the initial application?

The Scope of Work was completed fully.

7. To what extent did your Scope of Work change? What were the reasons for the change?

No changes to scope were reported.

Project Successes and Challenges

8. Would you say your planning project was successful? Why, or why not?

The project was very successful.

9. Based on what you know, did the project meet its objectives? How well?

The project met all its objectives.

10. Best Practices / Lessons Learned (If you were collecting activities in the hope of sharing "best practices" with other project implementers, would you put some of this project's activities in that collection?)

A key lesson shared by Mr. Wells is to incorporate the community at the start to understand what was really needed to improve the community. Let the information come from the bottom up. And once the community is engaged, it is important "do what you say you're going to do."

Prior to engaging the planning process grantees should have a game plan for next steps otherwise community members might become impatient. With the post-project plan in place it becomes easier and quicker to find resources to implement the changes. Also during the community engagement process it is important to identify and focus on the key elements of the project, so that people can see that there were good outcomes.

11. Please provide any significant barriers to project implementation that you experienced.

All things considered, Mr. Wells was a bit frustrated with administrative side of things but otherwise there were no other significant barriers mentioned.

Community Engagement

12. CBTP Only: Explain how community-based stakeholder collaboration, partnership, and consensus building were encouraged throughout the project.

N/A

13. What specific methods did you use to involve these groups (e.g., neighborhood walks, community action/steering committee, technical advisory committee, stakeholder meetings, public workshops/town halls, public hearing with policy body)?

N/A

Lessons Learned

14. Are there any "lessons learned" from developing/implementing your planning project?

N/A

15. Do you have any other suggestions for how Caltrans can improve the effectiveness of the planning grants program(s)?

N/A

Focus Groups

16. **Would you say that this would be a good project candidate to conduct a focus group? Why/Why not?**
N/A
17. **If you could contribute questions to be used in a focus group (for gathering community perspectives on planning grant project impacts), what questions would you pose to the group?**
N/A

General Interviewee Comments

The Caltrans process was smooth. It was good to work with folks from the Agency.

PEAR Tool and Partnership Portal

Organization Name: Sacramento Headquarters; Division of Environmental Analysis
Interviewee Name: Sally Yokoi
Interviewee Title: Project Manager
Interview Date: February 23, 2009
Interviewer: Jennifer Brickett

Experience

1. **How long have you been working at Caltrans HQ (or District X)?**

20+ years

2. **How long have you been involved in applying for/implementing TPSS projects? Please briefly describe your roles.**

Ms. Yokoi has been involved in applying for/implementing TPSS project for 5 years. She is a project manager for environmental tools which involves overseeing projects from concept to implementation. Their projects are part of the environmental management system portfolio, which is made up of several legs, including the PEAR Tool and the Partnership Portal.

Current Status and Next Steps

3. **Was the project carried forward to the next stage of implementation? If so, please describe.**

There were 3 TPSS projects, only 2 of which she was involved with:

- Early concept of PEAR (03/04 funding cycle)
- PEAR environmental Planning Tool Enhancement (05/06 funding cycle) – deliverable was conceptual document to determine if the PEAR GIS tool was functionally and technically feasible. The tool will be used internally for scoping in the early planning process to identify environmental constraints during project initiation. They delivered the conceptual document and are almost finished implementing the tool (TPSS funding was not used for implementation). They hope to eventually share this tool with other state agencies.
- Partnership Portal (07/08 funding cycle) – SAFETEA LU 6001 requires early consultation with other state agencies in the planning process. TPSS funding is being used to develop a conceptual paper for how information can be shared through a web-based portal. This portal would be shared with other state agencies, MPOs, etc. and could be used to exchange information. They are currently in the middle of their research (it was suspended due to funding) but plan to complete the concept paper by September 2009. However, they are not sure if they'll have funding to follow through with implementation.

4. **What is the current status of the project funded by Caltrans?**

- Plan/study completed – no progress toward implementation
- Some progress toward implementation of plan, but major obstacles exist
- Significant progress – plan is currently being implemented
- Plan has been fully implemented

See above

TPSS Program

5. Was the administration of the TPSS program by Caltrans headquarters effective in terms of:

- Call for projects
- Selection process of projects
- Kickoff meeting
- Provision of technical assistance
- Provision of contracting assistance **yes**
- Monitoring of project progress throughout the project? How often did monitoring occur?
- Provision of year-end reports and close out reports
- Following-up on projects after project completion

Ms. Yokoi was invited to apply for funding and she attended a kickoff meeting, however, her role in the admin process has changed from year to year. She said the internal process changes from year to year and she thinks the process needs to be more consistent. When changes are made, the Office needs to consider how these changes impact the timeline. The Office should focus on guidelines and providing new templates; there have been version control issues. In general, the process needs to be more streamlined. When guidance and templates are changed, the Office needs to take the timeline into consideration. For one project, they were using the wrong templates and they had to redo everything which set them back a few months. [see post-interview notes below for more explanation; Ms. Yokoi was referring to contracts, not the Office of State Planning]

6. What suggestions, if any, would you make to improve the overall management and administration of the TPSS program?

See above

7. Do you feel that there was adequate coordination amongst internal stakeholders (District staff and HQ staff) throughout the life of the project?

The PEAR project went smoothly. However, for the portal project, Ms. Yokoi said there were too many cooks in the kitchen. There didn't seem to be one person overseeing the project and there was a lack communication between staffers. There were 5 or 6 contacts and they would often ask for the same things, which made the process somewhat confusing.

Monitoring and Measurement of Project Outcomes

8. Did you ever conduct any monitoring of your own project to ensure that self-defined benchmarks were being achieved throughout the project life?

Yes, Ms. Yokoi assembled a core implementation team for each project which consisted of environmental planners in each district. This team was always part of the decision making process and therefore assisted with monitoring the project and the various benchmarks.

Project Successes and Challenges/Barriers

9. How do you define “success” for a completed TPSS project? Would you say the planning project that you oversaw was successful? Why, or why not?

A TPSS project is a “success” when the core implementation team reaches consensus that the project meets their needs.

The first project was successful. They produced a great document, identified the technology, and now they're just waiting for more funding for implementation.

The second project hasn't been completely successful for two reasons. 1) they need more funding; 2) with the government furlough (out of office for 2 days/month) staffing and time are challenges. They'll get the studies done, but they don't know if there will be funding for implementation.

10. Please provide any significant barriers to project implementation that you experienced.

Funding and staff time (*see above*)

Scope of Work

11. Explain to what extent you feel that your project completed the original Scope of Work submitted in the initial application

The first project met its scope. For the second project, funding and staff issues are challenges to meet the scope.

Lessons Learned

12. Are there any “lessons learned” from implementing your TPSS project(s)?

- 1 Portal project – make sure the right people are assigned to the implementation team
- 2 Internal state planning office should make sure the timeline is well thought out and improve upon identifying point people
- 3 PEAR project was piggybacked to a non-planning project. She wouldn't necessarily do this again. There was too much going on.

13. Do you have any other suggestions for how Caltrans can improve the TPSS program?

This is a good program, but there isn't enough funding to go around.

14. Do you have any pictures of your final project (or pictures from a phase during project development) that you could share with us electronically?

N/A

Sally provided the following additional information in response to several post-interview questions:

- Sally stated that it was contracting process that changed; the Office of State Planning got more involved; however, this created more confusion. Contracts provided Sally the incorrect contracting templates which set her back 6 months.
- There is never enough funding to go around as there are more requests than funding available. When their project was approved, it was approved at a reduced amount then requested. They decided to move forward with the project, but only after prioritizing the tasks and narrowing the scope.

PLACE³S Modeling Technology—Phase I

Organization Name: San Luis Obispo Council of Governments (*Direct Recipient*)

Interviewee Name: Steve Devencenzi

Interviewee Title: Planning Director

Interview Date: February 26, 2009

Interviewer: Vicky Liu

Experience

- 1. Have you applied more than once for a planning grant? How long have you been involved in applying for/implementing planning grant projects? Please briefly describe your roles.**

Steve has applied for multiple planning grants. He was the project manager for all of the grants.

Current Status of Project(s) and Next Steps

- 2. Please describe where the project left off at the end of funding. Do you know what the status of implementation is today?**

At the end of Phase I, the project team had created most of the GIS database. The project received funding for Phase II work which consisted of project outreach. In Phase II of the project, the team held public workshops in 2004 and 2005. The purpose of the workshops was to have participants provide their ideas about where growth should occur between 2025 and 2050 and then received feedback on the transportation impacts of their proposals. The participants placed chips representing different kinds of development on zoning maps. These changes to zoning were entered into PLACE3S computer mapping technology in order to estimate the resulting population and traffic changes, which were reported back immediately to the workshop participants. The project now receives funding by applying for Blueprint Planning Program grants. Staff is currently integrating model upgrades, conducting GIS mapping, and broadening local government participation in the program.

- 3. To what extent has the funded project functioned as a catalyst for other community improvement projects?**

The City of Grover Beach hosted one of the workshops and used the information obtained to inform their General Plan update.

The local governments collaborating on the project now have access to GIS mapping capabilities.

Planning Grant Program (Administration)

- 4. What suggestions, if any, would you make to improve Caltrans Headquarters' overall management and administration of the transportation planning grants program?**

Make the application evaluation process more transparent. Grantees do not receive information about how their application was scored.

Change in SOW

- 5. Explain to what extent you feel that your project completed the original Scope of Work submitted in the initial application?**

The scope of work was written in a deliberately broad manner so as to allow for transitions. The team had to change the Scope of Work to accommodate a lack of participation by some local governments and changes in technology.

Not all of the local governments within the SLOCOG jurisdiction have dedicated resources to the project. Most local governments do not typically prioritize funding resources for abstract planning considerations such as analyzing the relationship between land use patterns and traffic patterns.

Rapid advances in technology have also affected the project's progress. When the project was first conceived, the software was designed as a desktop program. However, the program's memory requirements meant it needed to be used on a computer with high processing power. Not all local government at the time had those resources. The project team then decided to modify the program so that it was intent-based.

The project team is aware that there were times when Caltrans staff was unclear about the project's progress as the tool initially could not be used for project specific applications.

Project Successes and Challenges

- 6. Would you say your planning project was successful? Why, or why not?**

The project is successful in that it has contributed to a shift in public mentality about smart growth planning.

Community Engagement

- 7. CBTP Only: Explain how community-based stakeholder collaboration, partnership, and consensus building were encouraged throughout the project.**

The project team attempted to outreach to local governments to participate in the program, but was all partially successful. The project team partnered with Cal Poly San Luis Obispo's GIS lab on the project.

In Phase II of the project, the team held public workshops in 2004 and 2005. See Question 3 for a description of the workshops. The project team relied on the local governments to market the workshops.

Revive Chinatown Community Transportation Plan

Organization Name: Asian Health Services (*Sub-Recipient*)

Interviewee Name: Julia Liou

Interviewee Title: Planning and Development Director

Interview Date: March 6, 2009

Interviewer: Vicky Liu

Experience

1. How long have you been working at your current agency/organization?

8 years

2. Have you applied more than once for a planning grant? How long have you been involved in applying for/implementing planning grant projects? Please briefly describe your roles.

This is the first planning grant for which the Asian Health Services applied.

Current Status of Project(s) and Next Steps

3. Please describe where the project left off at the end of funding. Do you know what the status of implementation is today?

The project team received a capital grant through Metropolitan Transportation Commission (MTC) to implement the first phase of the recommended improvements which included installing signage, pedestrian scale lighting, pavement markings, and other improvements. Phase I was completed in October 2008.

4. To what extent has the funded project functioned as a catalyst for other community improvement projects?

The project brought together community organizations which had not historically partnered such as Asian Health Services and the Oakland Chamber of Commerce.

Prior to receiving the EJ grant, AHS received grants from the East Bay Community Foundation and Oakland Pedestrian Safety Project to conduct outreach around pedestrian safety. As a result of this prior outreach, AHS already had a captive audience interested in transit planning and who saw the EJ grant as a continuation of the pedestrian safety outreach work.

AHS has built upon the success of the Chinatown project by leading a community engagement process for a Lake Merritt BART station area transit planning process.

Planning Grant Program (Administration)

5. What suggestions, if any, would you make to improve Caltrans Headquarters' overall management and administration of the transportation planning grants program?

No suggestions provided.

Change in SOW

6. Explain to what extent you feel that your project completed the original Scope of Work submitted in the initial application?

The project team completed the scope of work completely.

7. To what extent did your Scope of Work change? What were the reasons for the change?

The scope of work did not change.

Project Successes and Challenges

8. Would you say your planning project was successful? Why, or why not?

The planning project was successful. See Question 10 and Question 11 for reasons the project was successful.

9. Based on what you know, did the project meet its objectives? How well?

The project met its objects fully.

10. Best Practices / Lessons Learned (If you were collecting activities in the hope of sharing "best practices" with other project implementers, would you put some of this project's activities in that collection?)

The project team hired a consultant who gained the trust of the community because he was already familiar with Chinatown's transit needs and opportunities. He was open to public input and able to synthesize the input into a cohesive plan.

11. Please provide any significant barriers to project implementation that you experienced.

The project team realized they needed to spend more time educating the public and business owners in particular about transit planning. For example, business owners opposed pedestrian-friendly measures such as widening the sidewalk and taking out a traffic lane drew because they thought the measures would increase traffic congestion and eliminate parking, thus driving away customers. However, much of the traffic which comes through Chinatown is caused by commuters rather than people who intend to stop and shop in Chinatown. The project team had a difficult time convincing business owners that slowing traffic and increasing pedestrian access would increase business.

Community Engagement

12. CBTP Only: Explain how community-based stakeholder collaboration, partnership, and consensus building were encouraged throughout the project.

N/A

13. What specific methods did you use to involve these groups? (e.g., neighborhood walks, community action/steering committee, technical advisory committee, stakeholder meetings, public workshops/town halls, public hearing with policy body)

The project team outreached through the ethnic media, letters to stakeholders, and AHS and the Chamber's networks. Having a trust community organization host the meetings gave invitees a reason to go the meetings.

Lessons Learned

14. Are there any "lessons learned" from developing/implementing your planning project?

See Question 11.

15. Do you have any other suggestions for how Caltrans can improve the effectiveness of the planning grants program(s)?

The application contained a couple of questions which appeared to rephrase previous questions.

If Caltrans wants to build community planning capacity, it could consider providing technical assistance to non-profits.

Focus Groups

16. Would you say that this would be a good project candidate to conduct a focus group? Why/Why not?

This project would be a good candidate if the focus group can be conducted in Cantonese.

17. If you could contribute questions to be used in a focus group (for gathering community perspectives on planning grant project impacts), what questions would you pose to the group?

No questions provided.

Robert J. Cabral Station Neighborhood: A Plan for Revitalizing East Downtown Stockton

Organization Name: Odyssey (*Project Consultant*)

Interviewee Name: Sharon Sprowls

Interviewee Title: Project Principal and Interim Executive Director

Interview Date: February 12, 2009

Interviewer: Lisa McNally

Experience

1. How long have you been working at your current agency/organization?

Sharon started with Odyssey in 2003, so a total of about 5 years. Odyssey was a co-applicant on the project. Historically, Odyssey has played as a non-profit consultant for transit agencies on service planning, marketing, and land use design planning. Additionally, Odyssey has played the role of an advocacy organization for the support of transit funding.

2. Have you applied more than once for a planning grant? How long have you been involved in applying for/implementing planning grant projects? Please briefly describe your roles.

Sharon has been Project Principal and then interim Executive Director for Odyssey. For the Caltrans Fresno project [also a sampled project for this assessment], she worked on marketing collateral and analysis of findings and writing of the final report. On the Stockton project, Sharon did not work closely with the planning portion of the study. However, she was involved in ACE's (San Joaquin Regional Rail Commission) follow-up plan to implement the first stage in buying electric plants and property around the station and helped to coordinate the design and engineering of next phases of development. She says that the follow up stemmed directly from the efforts and results of the Caltrans CBTP planning grant.

Current Status of Project(s) and Next Steps

3. Please describe where the project left off at the end of funding. Do you know what the status of implementation is today?

The project team developed a neighborhood plan for the area around the Stockton ACE Station. For this project, they talked about the area surrounding the station and talked about how arterials around the station could be filled in with more transit-supportive uses. It gave a picture of how the Depot neighborhood could undergo revitalization.

The area around there has been run down and suffers from blight. Currently, Sharon believes that they are doing some streetscape improvements on that street and rehabbing a few Victorian homes and creating an entry way to the station. They were also purchasing the land where a dilapidated electric plant sits kitty-corner from the station, which blocked the entry to the ACE Station.

The planning grant made recommendations for improvements. And, based on these improvements, ACE acquired additional funding from another source to implement those improvements. As far as she knows, they were in process of buying a couple of Victorian homes (maybe for extra office space) and the Western Pacific plant. The grant recipient also considered purchasing a duplex on the corner near them that was pretty unattractive and does not fit the historical character of the area. Also, she believes that sections of sidewalks were completed in direct response to the plan's recommendations.

4. To what extent has the funded project functioned as a catalyst for other community improvement projects?

The funded project laid the foundation for the resulting Phase of implementation by the San Joaquin Regional Commission.

Planning Grant Program (Administration)

5. What suggestions, if any, would you make to improve Caltrans Headquarters' overall management and administration of the transportation planning grants program?

The time it takes Caltrans to finalize a contract is way too long. She has worked on many planning grants, and she says that because of the duration of finalizing a contract, it has caused project teams to miss important and often infrequent community or city meetings because the team is not allowed to begin work until contract is fully signed.

Change in SOW

6. Explain to what extent you feel that your project completed the original Scope of Work submitted in the initial application?

From her perspective, she says that by and large, the scope was fulfilled.

7. To what extent did your Scope of Work change? What were the reasons for the change?

She wasn't as involved in first part, she's not sure.

Project Successes and Challenges

8. Would you say your planning project was successful? Why, or why not?

It is evident that ACE really used / is using the funded visioning plan and really looked at implementing it later on, starting with the entry way. In the second phase of implementation, Sharon referred back to the plan to let people know that this was the goal and direction for further implementation.

As an aside, Sharon has also talked about bringing in affordable housing opportunities around the station as an additional element to implementation, given the high poverty level around the station and the funding recipient's commitment to make the area more livable. (Note: LGC's perspective was that the plan really focused on connecting the Depot to downtown opportunities, linking to business opportunities, and less on developing residential opportunities because residential population has been so transient and poor).

9. Based on what you know, did the project meet its objectives? How well?

Yes. Best efforts were made by the team to engage community members. Again, the area is so transient, so many rental properties, that folks didn't seem too interested in what was happening around their neighborhood. At the same time, there were some community members who were responsive and did attend meetings. Door-to-door outreach was conducted, and bilingual fliers were distributed.

10. Best Practices / Lessons Learned (If you were collecting activities in the hope of sharing "best practices" with other project implementers, would you put some of this project's activities in that collection?)

Sharon feels the team did the best they could, given the community was by-and-large so transient, and that there was a big language barrier. There was not a lot of ACE staff who speak Spanish. And the business community is far enough away from the station, and learned that they were only "so" concerned with the turn-around of the area around the Station. Sharon believes they did the best they could in inviting people and communicating with them about what was happening in their neighborhood. They talked to every single household and invited them to come to meetings. Because transient community, therefore didn't seem to be "a lot of community," so a lot of people didn't know each other or trust the efforts to participate.

Also, a few of the families, the ones who owned their homes, were in Mexico for months of the time.

11. Please provide any significant barriers to project implementation that you experienced.

See Question 10.

Community Engagement

12. **CBTP Only: Explain how community-based stakeholder collaboration, partnership, and consensus building were encouraged throughout the project.**

See Question 13.

13. **What specific methods did you use to involve these groups? (e.g., neighborhood walks, community action/steering committee, technical advisory committee, stakeholder meetings, public workshops/town halls, public hearing with policy body)**

There was a smaller group that also included the City and County folks who participated in meetings, so it was not just community residents. People were invited at every stage of the planning process. There were door-to-door visits, and public meetings with food. The project team developed a database of attendees. The team went to all the business downtown and dropped off fliers about the planning process and vision development for the area. Bilingual mailing about meetings were also distributed. ACE staff also involved in outreach by helping to drop off flyers to business community.

Lessons Learned

14. **Are there any “lessons learned” from developing/implementing your planning project?**

What was really nice about the project was that ACE was serious about making changes in the neighborhood. This project was not a sham. They wanted to improve the area and were dedicated to making these changes (they showed their investment in making the larger investment of a renovated rail station successful). They really had a sense of commitment.

15. **Do you have any other suggestions for how Caltrans can improve the effectiveness of the planning grants program(s)?**

Caltrans seemed to be moving more toward land use projects. There were specific plans for land use. But, for transit service planning, transit agencies are really strapped for some of those projects. It was a shame that there doesn't seem to be a lot of emphasis on transit projects. There's a lot of community involvement needed to get a sense of what could perform better if you marketed something differently, and also to get a better sense of what isn't viable anymore from the perspective of the community is would be using the assets on a daily basis.

Applications: The more you include photos, the more you seemed to get funding. However, some applicants are better equipped than others to be able to produce fancy applications or resulting products. Also, length of time to process applications took too much time to get a contract, sometimes causing the team to miss important quarterly meetings. Caltrans won't allow you to pre-work, but have other important contingencies. You had to get started because of other critical things happening in the community you are working with. There seems to be a disincentive to make any changes with Caltrans on the project because of hurdles and time lags in contract responses, which minimizes flexibility. You can be hamstrung for months (e.g., there could be a greater incentive to be dishonest).

Focus Groups

16. **Would you say that this would be a good project candidate to conduct a focus group? Why/Why not?**

No, because it seems that the majority of people in the neighborhood were renters making them very transient. And, the business folks that they talked to were only so interested.

17. **If you could contribute questions to be used in a focus group (for gathering community perspectives on planning grant project impacts), what questions would you pose to the group?**

How well did you think [insert grant recipient] did in getting your feedback, and did they have a choice to attend. What were the reasons that they chose not to participate?

Is the resulting product what you had in mind?

If you did go, how did you feel about it?

What do you think of the result?

Santa Fe Depot Specific Plan Update

Organization Name: City of Orange (*Direct Recipient*)

Interviewee Name: Anna Pehoushek

Interviewee Title: Principal Planner

Interview Date: March 4, 2009

Interviewer: Vicky Liu

Experience

1. **How long have you been working at your current agency/organization?**

9 years

2. **Have you applied more than once for a planning grant? How long have you been involved in applying for/implementing planning grant projects? Please briefly describe your roles.**

Anne has applied for and managed one planning grant. Anne prepared the grant application and acted as the project manager.

Current Status of Project(s) and Next Steps

3. **Please describe where the project left off at the end of funding. Do you know what the status of implementation is today?**

The project team has completed the updates and conducted a public outreach process including a series of workshops on the updates. The team has prepared a refined land use alternative which has not been presented to the public because the team needs to perform a traffic circulation analysis. The City is also assessing the potential for an historic building in the region to be adaptively re-used.

The City received a separate grant to cover the cost of the EIR. The grant was originally administered by the Orange County Council of Governments, but the agency had some auditing issues and had to transfer grant administrator responsibilities to Caltrans. The City and Caltrans had a miscommunication regarding how much of the EIR costs the grant would cover – the City was under the impression the grant would cover all of the costs, while Caltrans believes the grant should cover about 80%. The City had to delay completion of the EIR until it could identify other funds to fill the gap. This has also contributed to a delay in the City completing the Plan. The next step is to release the complete updated plan to the community.

4. **To what extent has the funded project functioned as a catalyst for other community improvement projects?**

The community living in the area understands the City is prioritizing improving the neighborhood and has gained more knowledge on transit-orientated development practices.

The planning process has attracted sophisticated developers who know how to leverage funds to respond to certain components of the plan

Planning Grant Program (Administration)

5. **What suggestions, if any, would you make to improve Caltrans Headquarters' overall management and administration of the transportation planning grants program?**

Be more flexible with the project timeline. The project outreach process in particular can be difficult to predict. Some communities require more rigorous updates than others.

Change in SOW

6. Explain to what extent you feel that your project completed the original Scope of Work submitted in the initial application?

The scope of work expanded due to the following reasons:

The community involved in the planning process requested three more community meetings than the project team budgeted for in the original scope. Some of the community groups, particularly one orientated towards historic preservation, was initially distrustful of any changes to the status quo, and requested the City provide scaled designs of what certain proposed densities would look like. The project team realized they needed to provide more information about land use designations and set up a walking tour for the community to describe the zoning street by street and point out problem areas which could be addressed by changes in zoning or other improvements.

Various diversions came up which required the immediate reaction of planning staff resulting in a delay in project progress. For example OCTA made funds available to local governments to develop a parking structure at transit sites. The City was aware the funds were going to be available, but had anticipated receiving them at a later date. OCTA ended up moving up the funding allocation date and the City had to focus its planning efforts on identifying a parking structure site in order to receive the funds. During the project planning process, the City also received funding to prepare a pedestrian connection city around the translink station.

Project Successes and Challenges

7. Would you say your planning project was successful? Why, or why not?

The project was successful in that it led to the development of a final plan and increase community awareness of transit-oriented development.

8. Based on what you know, did the project meet its objectives? How well?

The project met all of its objectives.

9. Best Practices / Lessons Learned (If you were collecting activities in the hope of sharing “best practices” with other project implementers, would you put some of this project’s activities in that collection?)

Ensure city staff is at every community meeting. The area has community groups which are particularly tuned into any development in the area. The community was resistant to the consultant’s because the consulting firm was not based in Orange. The community perceived the firm staff as outsiders imposing their ideas upon area residents. The City did not expect the community to have such a negative reaction towards the consultant.

Caltrans grant program staff were interested and engaged in the project. They came to community meetings and workshops and were open to reviewing deliverables before they were formally submitted to the agency.

Community Engagement

10. CBTP Only: Explain how community-based stakeholder collaboration, partnership, and consensus building were encouraged throughout the project.

The project team used the following methods to encourage community participation:

- Charrettes.
- Walking tour.
- Stakeholder meetings with key property owners.
- The project team outreached to community organizations such as historic preservation organizations and the Latino neighborhood association and invited public agencies such as OCTA and Translink to participate in the planning process.

Santa Rosa Citywide Creeks Plan

Organization Name: City of Santa Rosa Public Works Department (*Direct Recipient*)

Interviewee Name: Sheri Emerson

Interviewee Title: Senior Environmental Specialist

Interview Date: March 9, 2009

Interviewer: Noé Noyola

Experience

1. How long have you been working at your current agency/organization?

Ms. Emerson has been with the City of Santa Rosa Public Works department since 2001. Currently she is a Senior Environmental Specialist.

2. Have you applied more than once for a planning grant? How long have you been involved in applying for/implementing planning grant projects? Please briefly describe your roles.

For the CBTP project, Ms. Emerson functioned as the Project Coordinator or Manager for the Citywide Creeks Planning Process. The goal of the project was to undertake a comprehensive planning process for all creeks within 90 square miles of Santa Rosa’s Urban Growth Area. Santa Rosa is the most urbanized city in Sonoma County, and the largest city between San Francisco and Portland.

The planning process included different components of the plan representing 11 goals, each with its different aspects and nuances. Along the way, the Recreation and Habitat components became high priorities for the community. The city had funding for the Habitat piece, but was lacking resources for Recreation so needed outside funding. Consequently, the City initiated a search and began tracking funding opportunities. They came across the Caltrans CBTP program and put together application.

There was a veritable patchwork of creek types including some that amounted to no more some are flood control channels, with service roads, to smaller creeks that crossed through neighborhoods. The City’s goal was to figure out an overall plan for the creeks, and the CBTP piece was specifically requested to fund the planning process related to an integrated recreation system for bicycles, walkers, etc. The creek planning process later part of general plan process and it put together a comprehensive plan for all creeks.

Initially, the City had only undertaken planning activities for one creek segment with downtown. As Ms. Emerson described, “the stars aligned, a city council member became an advocate, and the City hired Environmental Specialists.” Once momentum was built and a Scope of Work coalesced, the City applied to the Rivers and Trails Program of National Park Service (NPS). The program assists local communities in the early stages of project development. An NPS staff member went out to the City to provide technical assistance. Eventually the City hired a consultant to do the work – and their time was paid for by this grant.

Current Status of Project(s) and Next Steps

3. Please describe where the project left off at the end of funding. Do you know what the status of implementation is today?

The Santa Rosa Citywide Creek Plan was formally adopted by City Council in 2007, and the Public Works department is currently implementing the identified priority areas. It is a long term plan so, of course, the implementation has only just begun on 20 years worth of projects.

In terms of how projects are implemented, Ms. Emerson explained that although there is a method and prioritization, “things come up, to shift priorities.” For instance, the federal stimulus package has provided an opportunity to pursue funding for projects that can be quickly implemented, or are classified as “shovel ready.” Southwest Santa Rosa also has right-a-way issues that require urgent attention. Ultimately, what projects get implemented depends on where the money is coming from.

4. To what extent has the funded project functioned as a catalyst for other community improvement projects?

In terms of the plan's role as a catalyst, the Creeks Master plan put together all policies and plans related to creeks in the city. It became a repository and key reference for all agencies when any project touched on a creek. So, whenever a project related to waterways needs to be reviewed by an agency or committee, the Master Plan becomes a key reference.

In a specific instance, with clear priorities in place, the Plan allowed the Public Works Department to join up with the Parks Department to acquire property around two of the City's main creeks in the Southwest area of the city. If the master plan would not have been in place, and if priorities and their related projects would not have been vetted by the various stakeholders, this type of collaboration would not have been possible.

Separately, the City updated the Pedestrian/Bicycle Master and the information from the Citywide Creek master contributed greatly in that process. The Recreational component of the Creeks Plan tied in directly and functioned as clear baseline from which to begin.

Finally, because the creeks planning relates to so many different elements from water quality, to wildlife biology, to recreation, to public works and parks and recreation, the Master Plan process seemed to create a new degree of interdepartmental cooperation that has had ongoing but unquantifiable impacts. Similarly, Ms. Emerson reported to have spent a significant of time educating all city planners, staffers, and council members.

Planning Grant Program (Administration)

5. What suggestions, if any, would you make to improve Caltrans Headquarters overall management and administration of the transportation planning grants program?

One suggestion made by Ms. Emerson is for Caltrans to provide more guidance on the administrative process and expectations. She reported that it was difficult to keep with the various pieces and was "amazed at how much time it took to get together." Nonetheless, she reported that Caltrans staff was very helpful in getting the administrative pieces done.

Another suggestion is for Caltrans to share successes and effective strategies that other grantees have employed through these grants. They can provide specific examples that have worked in other communities, from administration to outreach, to dealing with consultants.

Change in SOW

6. Explain to what extent you feel that your project completed the original Scope of Work submitted in the initial application?

N/A

7. To what extent did your Scope of Work change? What were the reasons for the change?

The Scope of Work remained "pretty consistent" according to Ms. Emerson. The Caltrans Grant ensured that the City was able to hire a qualified consultant to perform the work related to Recreation.

Project Successes and Challenges

8. Would you say your planning project was successful? Why, or why not?

Yes. The city finished the master plan as intended and it is being used effectively.

9. Based on what you know, did the project meet its objectives? How well?

See answer to question 8.

10. Best Practices / Lessons Learned (If you were collecting activities in the hope of sharing "best practices" with other project implementers, would you put some of this project's activities in that collection?)

In terms of best practices, having engaging and visible community outreach was a huge part of the success of this project.

11. Please provide any significant barriers to project implementation that you experienced.

There were no barriers that could be classified as significant that were not normal to a community planning process. Overall, Ms. Emerson half-jokingly stated that they had a "pretty easy time of it." There were not a lot of NIMBY objections, the community members that were really active, in fact, were very excited and engaged. The project had a lot of support at different levels, from neighborhood groups to city council members. The planning process did seem to take a long time, but no more than a large complicated project would normally.

Community Engagement

12. CBTP Only: Explain how community-based stakeholder collaboration, partnership, and consensus building were encouraged throughout the project.

Ms. Emerson reported that the community-based stakeholder collaboration was a huge, amazing process where the community really came out and participated. Among other things, creek tours, educational hikes, and neighborhood meetings took place.

The process also put together a Technical Advisory Committee (TAC) that included a wide variety of interests and very different perspectives. The agencies represented included but was not limited to Flood Control, Fish and Game, bicycle advocates, Open Space Districts, and Caltrans. Of course, this produced turf issues between the more vocal and active constituencies, especially if they were on opposing sides on a specific issue. Once in the same room, however, they worked diligently to come up with a solution. At the meetings, the TAC rolled up their sleeves and worked very well together and exceeded the project leads' expectations.

13. What specific methods did you use to involve these groups? (e.g., neighborhood walks, community action/steering committee, technical advisory committee, stakeholder meetings, public workshops/town halls, public hearing with policy body)

Park of what Ms. Emerson considered innovative for this planning process were the walking tours of the creeks. Through them, community member were able to see the water and the surround wildlife to see up close the importance of restoring the creeks. The city's format included the provision of "working maps" that allowed space for tour participants to write down their thoughts and dreams related to the creeks. Ms. Emerson stated that the organizers "took into account everything."

The TAC also functioned very effectively. They were really hands-on and brought great energy. It seemed like they were there to really contribute and make the project happen.

Also, it seemed that the community was more involved than in other community planning processes. At the various community and neighborhood meetings, 40-50 individuals would regularly people to show up.

Lessons Learned

14. Are there any "lessons learned" from developing/implementing your planning project?

One disappointment from the outreach process was our inability to attract members from the large Spanish speaking population in Santa Rosa. The City did have and deploy a Spanish speaking planner to the meetings. And, they also attempted to "get the word out" on KBBF, a local Spanish radio station, and via the local Spanish language newspaper. Similarly, the city tried presentations and flyers at schools. In part, the poor response is a matter of demographics where people don't feel comfortable to participate and/or are simply not interested. Since then, the city has hired an outreach coordinator. If that new person had been there, they may have had better luck.

15. Do you have any other suggestions for how Caltrans can improve the effectiveness of the planning grants program(s)?

Ms. Emerson suggested being very clear on the expectation of grantees and of tracking time of people working on the project, and for grantees to provide specified number. Caltrans could create new project account that the Grantee could keep for the duration of the project.

Focus Groups

16. Would you say that this would be a good project candidate to conduct a focus group? Why/Why not?

This project could be potential candidate for a focus group. Ms. Emerson would need to get a hold of the people involved to check on their willingness to participate.

17. If you could contribute questions to be used in a focus group (for gathering community perspectives on planning grant project impacts), what questions would you pose to the group?

Ms. Emerson stated that she'd want to know of focus group participants if the plan reflected and met their goals and needs, and if the process was a positive experience. Finally, was the final product a useful product? Or is it just sitting on a shelf?

General Interviewee Comments

Caltrans is doing generally doing a good job with these grants. Ms. Emerson stated that she appreciate the opportunity to be a part of the program. She also commends Caltrans District Staff, Becky Frank, as she was very helpful and very supportive. The role of district staff is huge, since grantees need someone to guide them through the intricacies of the bureaucracy.

Scenario Planning Grant

Organization Name: Stanislaus Council of Governments (STANCOG) (*Direct Recipient*)

Interviewee Name: Robin Whitehead

Interviewee Title: Budget and Grants Coordinator for STANCOG

Interview Date: March 17, 2009

Interviewer: Noé Noyola

Experience

1. How long have you been working at your current agency/organization?

Ms. Whitehead has been at the Stanislaus Council of Governments (STANCOG) since 2003.

2. Have you applied more than once for a planning grant? How long have you been involved in applying for/implementing planning grant projects? Please briefly describe your roles.

This Caltrans grant was the first one of that nature. Since then STANCOG has applied for other grants including one related Traffic Model Integration Project and Partnership planning.

The project's intention was to function as a visioning process to get a variety of stakeholder agencies involved in planning the future of the Central Valley. Originally the work began with Great Valley Center (GVC), a large non profit. They conducted the outreach process, they hired consultants, coordinated the workshops, and ultimately developed CD's.

STANCOGS's role was as the direct recipient and to administer the relationship with Caltrans. The grant activity started in April 2003, final invoice 2004. The grant paid for time spent by the GVC staff and for Video Production, outreach workshops, and publications. Ms. Whitehead's role is to administer grants for STANCOG and therefore did not have extensive interaction with management of the planning project.

Current Status of Project(s) and Next Steps

3. Please describe where the project left off at the end of funding. Do you know what the status of implementation is today?

When the grant was closed out, Ms. Whitehead recalls that GVC had compiled packet of newspaper articles about how the process had resulted or rather a series of scenarios, for the Central Valley's future development. Importantly, highlighted was the collaborative process the workshops Scenario Planning Grant is vision.

4. To what extent has the funded project functioned as a catalyst for other community improvement projects?

Afterward, Blueprint Planning process came along, that further narrowed down some the alternative scenarios or selected key elements. The Caltrans project was "the little seed" that led to creation of the Blueprint. Ms. Whitehead is not sure how Caltrans process got carried over precisely, but believes that momentum was built as different stakeholders met at summits and through other activities. She described the effort as "very large in nature."

Planning Grant Program (Administration)

5. What suggestions, if any, would you make to improve Caltrans Headquarters' overall management and administration of the transportation planning grants program?

Ms. Whitehead indicated that the Caltrans grants are a "different kind of grant" in that it is a discretionary grant program. The difficulty is that STANCOG is used to standard grants that they use for operating expenses. As a discretionary grant, it involved a substantially large fund master

agreement. STANOCOG is used to different one used for federal programs that is simply updated regularly instead of created from blank. Still, once they were able to get “the handle on it” they proceeded fine. It was simply the unfamiliarity of the process that seemed daunting.

Another smaller issue was the administrative role that STANCOG played in the grant process. The invoice is unclear if it has specific template that needs to be followed or how its suppose look. Ms. Whitehead indicated that they tried to come up with the best information, and it worked, but that they had to put it together without much guidance. Because GVC was doing most of the activities, they provided the narrative about the activities. The invoicing process was a new thing for STANCOG, but Ms. Whitehead gives credit to the Caltrans District Office staffers for providing the needed guidance.

Change in SOW

6. Explain to what extent you feel that your project completed the original Scope of Work submitted in the initial application?

As far as she knows, the Scope of Work was completed in its entirety.

7. To what extent did your Scope of Work change? What were the reasons for the change?

No changes were made to the Scope of Work.

Project Successes and Challenges

8. Would you say your planning project was successful? Why, or why not?

Yes, it was successful in that a partnership was built of stakeholder agencies and several probable scenarios resulted.

9. Based on what you know, did the project meet its objectives? How well?

Ms. Whitehead had insufficient information to answer the question properly.

10. Best Practices / Lessons Learned (If you were collecting activities in the hope of sharing “best practices” with other project implementers, would you put some of this project’s activities in that collection?)

It is not often that planning project leads to a variety of regional visions or alternatives, but this was the intention of the plan. Unlike traditional regional plans that hone in on one specific view that incorporate and difficulty balance the various ideas of stakeholders, this project in fact created several different templates. Each template presented a general type of development that would result and the types of strategies that should be pursued. The results included 12 possible futures for the enormous Central Valley, 4 possible futures for San Joaquin Valley to the south, 4 possible futures for Sacramento region, and one future for the north part of the Valley.

11. Please provide any significant barriers to project implementation that you experienced.

There were no significant barriers that she is aware about.

Community Engagement

12. CBTP Only: Explain how community-based stakeholder collaboration, partnership, and consensus building were encouraged throughout the project.

The project endeavored to build its planning process with collaboration and partnerships as a central theme. The partners, or stakeholders, met regularly.

13. What specific methods did you use to involve these groups (e.g., neighborhood walks, community action/steering committee, technical advisory committee, stakeholder meetings, public workshops/town halls, public hearing with policy body)?

Again, Ms. Whitehead was not involved in the project implementation but she understands that the outreach included large regional summits, production of booklets, and collaboration with the Valley Futures Project.

Lessons Learned

14. Are there any “lessons learned” from developing/implementing your planning project?

Ms. Whitehead was not involved in either creating or implementing the project.

15. Do you have any other suggestions for how Caltrans can improve the effectiveness of the planning grants program(s)?

A problem noticed by Ms. Whiteside is that as the administrator of the grant, she was not involved in applying for the grant. She was hired later and consequently, she came to the project a bit from an outsider’s perspective, but for a time there was no point person familiar with the Caltrans process. So in essence, STANCOG applied for the grant and simply assumed they would be able to manage it, but did not have a specific management plan in place. Ms. Whitehead’s point is that it is important for an applicant to know what their resources are and what processes will work to successfully administer the grant.

Focus Groups

16. Would you say that this would be a good project candidate to conduct a focus group? Why/Why not?

Not applicable.

17. If you could contribute questions to be used in a focus group (for gathering community perspectives on planning grant project impacts), what questions would you pose to the group?

No questions were provided.

South Broad Street Corridor Plan

Organization Name: Caltrans

Interviewee Name: Dan Herron

Interviewee Title: Associate Planner in System Planning

District: 5

Interview Date: March 2, 2009

Interviewer: Vicky Liu

Experience

1. How long have you been working at Caltrans District 5?

8 years

2. How long have you been involved with overseeing/managing EJ and/or CBTP projects?

3 years

3. Please briefly describe the role(s) you played in managing EJ/CBTP projects.

Dan is the planning grants contract administrator for the district. He coordinates grants information sessions, provides technical assistance to applicants, oversees screening of applications, monitors projects quarterly, and performs the close-outs.

Current Status and Next Steps

4. Was the project(s) carried forward to the next stage of implementation? If so, please describe.

Most were carried forward to the next stage of implementation. Changes in staff are the most common reason projects are not carried forward to the next stage of implementation. In some cases, the recommendations were not practical.

The South Broad Street Corridor project was a model transportation planning project. There has been conflicts for years between what residents and city staff want to do with the Corridor and what Caltrans felt was a mandate to maintain traffic mobility. The City create a visionary document about land use, transportation, multi-use areas, higher densities, walk around livable areas. There study had an extensive review period and comments.

5. Was the project(s) outcome shared with stakeholders? If so, who?

Most of the studies have been circulated widely.

Planning Grant Program (Administration)

6. What suggestions, if any, would you make to improve Caltrans Headquarters' overall management and administration of the transportation planning grants program?

- The manual Caltrans has created to describe the application is among the best Caltrans has released.
- The length of the contracting period has been a burden in the past. One solution to decrease the contracting period is for Caltrans to send signed versions of the contract to the grantee. Currently Caltrans sends unsigned versions to the grantee. The grantee then mails signed versions back to Caltrans. Caltrans then signs the contracts and mails them back to the grantee. This back and forth process usually takes about a month.
- The project fact sheets should include summaries of project successes and challenges.

- Grant information sessions featuring an open house period featuring successful projects have been quite popular with applicants. They appreciate the opportunity to review past projects, ask their peers questions about their project process and to network.
- The application evaluation process could be more transparent. The application is currently reviewed by the District, Headquarters, and the Business, Transportation, and Housing Agency. Most of the time, projects that receive a high score from District staff are selected. However, occasionally, projects which receive a low score from District staff are funded. District staff do not receive a clear explanation as to why these projects are funded.
- The invoicing process is quite complex. It requires detailed documentation of in-kind and local match.

Monitoring and Measurement of Project Outcomes

7. What benchmarks, if any, did you use to “measure” the impact of the project(s) on the intended community?

Benchmarks include task deliverables such as brochures, sign-in sheets, interim products, chapters, and drat reports.

Caltrans likes to see the proper buy-in by elected officials for the final product.

8. Did you conduct any monitoring of your project(s) to ensure that defined benchmarks were being achieved throughout the project life?

Grantees provide quarterly reports which chronicle project progress.

If there are concerns, District staff usually sets up a site visit. District staff cannot always conduct regular site visits because of their workload.

Project Successes and Challenges/Barriers

9. How do you define “success” for a completed project? Would you say the planning project(s) that you oversaw was successful? Why, or why not?

The project is going to result in physical changes in the area.

10. Please provide any significant barriers to project implementation that you experienced.

Grantees do not always consider if their vision can actually be practically implemented.

Grantees should make sure the project team includes planners and engineers who are communicating with each other. Engineers can discuss issues such as impacts of proposed design features on crash rates, but do not always communicate those realities well.

One reason for delays in project progress is change in staff. It takes some time for new staff to catch up on the project.

Community Engagement

11. Explain how the project(s) involved the public, community-based organizations, low-income and minority communities, Native American Tribal Governments, and under-represented groups in planning and decision-making throughout the project.

Projects typically have impressive community participation. Best practices for community participation include the following:

- Holding meetings in different locations and at different times of the day
- Using food to entice people to meetings
- Offering prizes for participation (for example, one grantee offered phone cards for Mexico to attract Latino residents to attend meetings)
- Creating a project website

Southeast Asian Transit Awareness Project

Organization Name: Lao Veterans of America Institute, Ins.
Interviewee Name: Wangyee Vang
Interviewee Title: President
Interview Date: April 24, 2009
Interviewer: Vicki Liu

Experience

1. How long have you been working at your current agency/organization?

N/A

2. Have you applied more than once for a planning grant? How long have you been involved in applying for/implementing planning grant projects? Please briefly describe your roles.

The Lao Veterans of America Institute has applied for only one planning grant.

Current Status of Project(s) and Next Steps

3. Please describe where the project left off at the end of funding. Do you know what the status of implementation is today?

Radio advertising/marketing of public transportation options continued with project funding three to four months after the project deadline. While the Lao Veterans of America Institute continues to inform its constituents of public transit alternatives in the community, focused organized efforts to actively raise transit awareness in the Southeast Asian community, such as those undertaken with the study, have not continued.

4. To what extent has the funded project functioned as a catalyst for other community improvement projects?

The project has not functioned as a catalyst for other community projects to date. Blong Xiong, Councilman of the Fresno City Council, however, participated in the project and is very supportive of promoting public transit in the Southeast Asian community.

Planning Grant Program (Administration)

5. What suggestions, if any, would you make to improve Caltrans Headquarters' overall management and administration of the transportation planning grants program?

Caltrans staff's project management worked well for the project.

Change in SOW

6. Explain to what extent you feel that your project completed the original Scope of Work submitted in the initial application?

The project surpassed the original Scope of Work given the extraordinary public outreach efforts and data collection that was successfully completed by working directly with the Southeast Asian community groups and population.

7. To what extent did your Scope of Work change? What were the reasons for the change?

As explained in #6 above, the project Scope of Work changed in response to community demand for public transit services and willingness to participate in various phases of data collection, including interviews, surveys, classroom training, and one-on-one transit training field trips.

Project Successes and Challenges

8. Would you say your planning project was successful? Why, or why not?

The project was highly successful because of the increased awareness among Southeast Asian community residents and groups who would not otherwise have had easy access to transit information and classroom and field trips that were provided. This project also raised transit providers' awareness of transit needs in the Southeast Asian community.

9. Based on what you know, did the project meet its objectives? How well?

The project met its objectives short-term, but similar efforts need to be continued by transit providers, interested community groups, and social service agencies in order to ensure continuity of information to a population of the Fresno community in genuine need of public transit services.

10. Best Practices / Lessons Learned (If you were collecting activities in the hope of sharing "best practices" with other project implementers, would you put some of this project's activities in that collection?)

Yes, the Lao Veterans of America Institute project promoted a variety of outreach methods that proved effective in reaching a population that can be difficult to reach. The combination of key community stakeholder interviews; social service agencies' interviews and surveys; community organization classroom training; transit field trip training; and extensive surveying at the annual Hmong New Year Celebration in Fresno, yielded a wealth of data and invaluable feedback on transportation needs.

11. Please provide any significant barriers to project implementation that you experienced.

No significant barriers to project implementation were experienced.

Community Engagement

12. CBTP Only: Explain how community-based stakeholder collaboration, partnership, and consensus building were encouraged throughout the project.

As described in #10 above, collaboration, partnership and consensus building were not only encouraged but played a critical role in achieving the project's goals and objectives. The project team's ability to communicate and work directly with leaders, organizations, and residents in the Southeast Asian community was an important element in successful data gathering and understanding of the targeted population being studied.

13. What specific methods did you use to involve these groups? (e.g., neighborhood walks, community action/steering committee, technical advisory committee, stakeholder meetings, public workshops/town halls, public hearing with policy body)

See Question 10 above.

Lessons Learned

14. Are there any "lessons learned" from developing/implementing your planning project?

A key "lesson learned" is to not underestimate the power of local collaboration at all levels--community-based grassroots to service providers to government to targeted populations--and the wealth of information and functional knowledge that can result.

15. Do you have any other suggestions for how Caltrans can improve the effectiveness of the planning grants program(s)?

No suggestions provided.

Focus Groups

16. Would you say that this would be a good project candidate to conduct a focus group? Why/Why not?

Question not posed because Caltrans had already selected focus group projects.

17. If you could contribute questions to be used in a focus group (for gathering community perspectives on planning grant project impacts), what questions would you pose to the group?

One question that could be asked is “Were the project’s methods and resulting outcomes sufficiently successful and effective to be duplicated in other planning grant projects?”

Strawberry Manor Infill and Northeast Line Light Rail Stations

Organization Name: City of Sacramento (*Recipient*)

Interviewee Name: Sparky Fedolia

Interviewee Title: Senior Planner for City of Sacramento (*in place of Theresa Arnold*)

Interview Date: February 11, 2009

Interviewer: Lisa McNally

Experience

1. How long have you been working at your current agency/organization?

Sparky has been working for City of Sacramento for about 7 years.

2. Have you applied more than once for a planning grant? How long have you been involved in applying for/implementing planning grant projects? Please briefly describe your roles.

Sparky has completed about 6 or 7 Caltrans planning grants projects. Some he has managed directly, others he managed start to finish; others he picked up along the way, and staff management perspective. Sparky was a Senior Planner on all of these Caltrans planning grants projects. He managed them on day to day basis. In some cases, he was there to provide trouble shooting to team if projects started to stray off the mark.

Current Status of Project(s) and Next Steps

3. Please describe where the project left off at the end of funding. Do you know what the status of implementation is today?

Northeast Line

This project was conceptual in its plans with an emphasis on capturing a community vision. The next steps were to do preliminary engineering so that we could conduct environmental analysis. As of today, an environmental analysis was done on Del Paso Blvd.

In order for these projects to keep moving into next steps and get implemented, it becomes the City staff responsibility to remember that the vision plans have come through to completion. The City tries to include in its resolution language that staff should seek future opportunities in order to further the goals associated with the vision of plan.

Strawberry Manor

The City laid out feasible circulation plan. In the process, they coordinated with the utilities department. Now they are waiting for development and utilities to move in the direction of implementing the plan. However, everyone is reliant on the fact that staff must REMEMBER that studies were done and what the plans’ goals are when moving to the next phase of implementation.

Recommendation

Sparky is a big GIS fan, particularly given the fact that all vision plans are geographically based on some level and that the projects seem to be increasingly reliant on institutional memory for the right objectives to be implemented. It might be worth exploring whether Caltrans has the resource capacity to map the project boundaries for all of their planning grants projects and store the results in a public GIS database. The database would be accessible to all City employees, as well be accessible to those primary organizations involved in the projects over time? Maybe the database could be accessed via the Caltrans website. This could be a very effective way of leveraging funds over the long term and an effective way to moving plans to the development phase. The extent to which the privacy of a government database be compromised would need to be considered. If it worked well, this type of GIS database could be a great resource for Caltrans and City Council members to build a coherent memory of vision plans and

associated goals. Such a tool would facilitate decision making during budget negotiations and help to focus capital funds on building upon existing plans. Such a feature would help planner determine when a project could move from a planning vision to a local capital improvement program.

4. To what extent has the funded project functioned as a catalyst for other community improvement projects?

N/A

Planning Grant Program (Administration)

5. What suggestions, if any, would you make to improve Caltrans Headquarters' overall management and administration of the transportation planning grants program?

N/A

Change in SOW

6. Explain to what extent you feel that your project completed the original Scope of Work submitted in the initial application?

Strawberry Manor

This SOW stayed pretty consistent with its geographic scope.

7. To what extent did your Scope of Work change? What were the reasons for the change?

N/A

Project Successes and Challenges

8. Would you say your planning project was successful? Why, or why not?

N/A

9. Based on what you know, did the project meet its objectives? How well?

N/A

10. Best Practices / Lessons Learned (If you were collecting activities in the hope of sharing "best practices" with other project implementers, would you put some of this project's activities in that collection?)

1. When it comes time to approve a project, the public turn out at public hearings is pretty low. More effective outreach is needed during the approval phase of projects to get broader buy-in of the project.
2. When various stakeholders remain engaged in the planning process, it shows that they are being listened to, not wasting their time, and demonstrates that their opinions are valuable and perceived by the planning team to be ideas that could be feasibly incorporated into the approach and eventually implemented.
3. Sparky says that the overall timeline should be frequently visited throughout the planning project and adjusted as necessary to ensure that the goals of the project are not compromised simply because of an arbitrary timeline. There is one planning grants project that is so old (Florin and Meadowview), that the infrastructure needs assessment; the grant was awarded in 2002-2003, and was supposed to be a 14-month visioning and conceptual plan. It is now 2009, and the plan should be going to Council in the next month. The lengthy duration may not be a bad thing, however. This is because the City is trying to come up with a clear transit-oriented plan around two light-rail stations. At the same time, everyone is trying to learn what TOD means in the context of the transit district's needs, and everyone has had such different views to what should be required around TOD. So, there has been a need for major policy changes in order to implement TOD to the right standards and expectations. Trying to lay out land use – usually provide certain acreage of park land depending on public use. With TOD, trying to get high density around light rail

station, but the more density, the more land the policy requires will need to be dedicated to open space. As a result, the City came up with a different calculation around TOD areas. This is a good thing because the City was able to clarify conflicting policies in the General Plan and they were able to use Caltrans grant funds to look more closely at the discrepancies. So, it some ways, funding was used to motivate policy change, not capital improvement, which is an interesting concept. What are the current trends in the planning field? We are realizing that a lot of those trends have not been thought through vis-à-vis existing policy constraints.

11. Please provide any significant barriers to project implementation that you experienced.

With Northeast Line project is surrounded by an under-represented area. Therefore, there are many divergent perspectives when they had community meetings.

Community Engagement

12. CBTP Only: Explain how community-based stakeholder collaboration, partnership, and consensus building were encouraged throughout the project.

The Northeast Line project was unusual because people assumed it was going to be focused on changing land use simply for re-zoning. Instead, this project focused on public right-of-way around three light rail stations and to enhance ridership. All of this was happening in an area that was getting a lot of focus from re-development agencies.

The plan is finished. The City has received Capital Grants funds for having recently done streetscapes south of Arden.

Regarding Globe Station, not much has been happening on the ground there in relation to the plan. A redevelopment agency that was involved in the vision planning process has purchased properties close to Globe Station.

Strawberry Manor

This project is very rural in nature. It is an area that has developed in fits and starts. For this project, there are large rural properties without utilities and the population is reliant upon septic sewers. One of the goals was to craft a coordinated circulation system. However, development has come to a halt. The City coupled existing funds with capital improvement projects that adhere to the developing vision for the area. In this case, development agencies are more responsible for local streets such as improvements to arterials, class one bikeways, enhancing curbs, gutters, sidewalks. At least the city has a plan for capital improvements, whereby they create a fee basis, as development comes in, and thus have clear nexus from which to extract fees from developers. In the perfect world, we can plan out improvements throughout city, and plan out for future growth

13. What specific methods did you use to involve these groups? (e.g., neighborhood walks, community action/steering committee, technical advisory committee, stakeholder meetings, public workshops/town halls, public hearing with policy body)

Lessons Learned

14. Are there any "lessons learned" from developing/implementing your planning project?

N/A

15. Do you have any other suggestions for how Caltrans can improve the effectiveness of the planning grants program(s)?

N/A

Focus Groups

16. Would you say that this would be a good project candidate to conduct a focus group? Why/Why not?

N/A

17. If you could contribute questions to be used in a focus group (for gathering community perspectives on planning grant project impacts), what questions would you pose to the group?

Northeast Line

This project shows successes. The report is well known. Sparky believes that there has been relative community improvement. Additionally, this project has directly led to further investment from SACOG to conduct additional enhancement studies in the area.

General Interviewee Comments

18. What benchmarks, if any, did you use to “measure” the impact of the project on the intended community?

Northeast Line and Strawberry Manor included an implementation section in their vision plans. Although both plans set out the next steps and suggested responsible entities for carrying the project to the next level, no explicit timelines for implementation were defined.

In general, a major challenge with the visioning projects is that it is much easier to define needs, but successful follow through depends on adequate funding for environmental analysis or re-zones or plan changes, and inherent aspect of breaking ground for a project envisioned in the plan. Once the vision has been developed, the environmental analysis is next big hurdle and it is very difficult to find money for environmental analysis for land use changes.

Swanston Station Area Infrastructure Needs Assessment and Urban Design Plan

Organization Name: City of Sacramento (Direct Recipient)

Interviewee Name: Sparky Fedolia

Interviewee Title: Senior Planner

Interview Date: March 31, 2009

Interviewer: Vicky Liu

Experience

1. **How long have you been working at your current agency/organization?**

Sparky has been working for City of Sacramento for about 7 years.

2. **Have you applied more than once for a planning grant? How long have you been involved in applying for/implementing planning grant projects? Please briefly describe your roles.**

Sparky is a Senior Planner. He has completed about six or seven Caltrans planning grants projects. Some he has managed directly, others managed start to finish others picked up along the way, and staff management perspective.

Current Status of Project(s) and Next Steps

3. **Please describe where the project left off at the end of funding. Do you know what the status of implementation is today?**

A draft version of the plan has been completed and the EIR is circulating for public review. The comment period closes April 6, 2009.

Planning Grant Program (Administration)

4. **What suggestions, if any, would you make to improve Caltrans Headquarters' overall management and administration of the transportation planning grants program?**

The state contracting process ate up some of the project time. The team would have appreciated if Caltrans would clarify how long the contracting process takes so they can figure that into the project timeline during the application.

Change in SOW

5. **Explain to what extent you feel that your project completed the original Scope of Work submitted in the initial application?**

The Scope of Work was completed entirely.

Project Successes and Challenges

6. **Would you say your planning project was successful? Why, or why not?**

Yes the plan was successful.

7. **Best Practices / Lessons Learned (If you were collecting activities in the hope of sharing “best practices” with other project implementers, would you put some of this project’s activities in that collection?)**

When it comes time to approve a project, the public turn out at public hearings is pretty low. More effective outreach is needed during the approval phase of projects to get broader buy-in of the project.

When various stakeholders remain engaged in the planning process, it shows that they are being listened to, not wasting their time, and demonstrates that their opinions are valuable and perceived by the planning team to be ideas that could be feasibly incorporated into the approach and eventually implemented.

Sparky says that the overall timeline should be frequently visited throughout the planning project and adjusted as necessary to ensure that the goals of the project are not compromised simply because of an arbitrary timeline.

8. Please provide any significant barriers to project implementation that you experienced.

One barrier the City experienced was dealing with staff turnover. The original project manager left. As the City was experiencing a difficult budget situation, the Planning Department was no able to fill the vacant position. Other planning staff had to take on the project in addition their own projects.

Another barrier the City encountered was disagreeing with the consultant's preliminary recommendations. They City and consultant finally came to an agreement, but the discussions caused a delay in the planning process.

Community Engagement

9. CBTP Only: Explain how community-based stakeholder collaboration, partnership, and consensus building were encouraged throughout the project.

The project team developed an extensive outreach process which included forming a technical advisory committee and a policy advisory committee. The team hosted charrettes and used building blocks to illustrate scale and height for the meeting attendees. Meeting attendance ranged from 20-60 people.

The project team sent postcards to all property owners in the area and advisory team members brought postcards with them to community members. In addition, the team set up a website and maintained an email list.

Lessons Learned

10. Do you have any other suggestions for how Caltrans can improve the effectiveness of the planning grants program(s)?

The questions on the applications seems repetitive. It would have been easier if the City could have submitted the application as a PDF rather than a word document and Excel spreadsheets.

The District staff and HQ sometimes provide conflicting information. For example, HQ and District staff provided different answers regarding how the application could be delivered to Caltrans.

Transit-Oriented Development Factors for Success in Western Riverside County

Organization Name: Western Riverside Council of Governments (*Direct Recipient*)

Interviewee Name: Danielle Coats

Interviewee Title: Project Manager

Interview Date: February 27, 2009

Interviewer: Vicky Liu

Experience

1. How long have you been working at your current agency/organization?

6 years

2. Have you applied more than once for a planning grant? How long have you been involved in applying for/implementing planning grant projects? Please briefly describe your roles.

The agency has applied for four grants in the past two years. Danielle has been the project manager for funded projects and the lead on applying for grants.

Current Status of Project(s) and Next Steps

3. Please describe where the project left off at the end of funding. Do you know what the status of implementation is today?

As of early 2009, the Transit-Oriented Development Factors for Success in Western Riverside County study was complete. Three of the sites are moving forward with implementing some or all of the study's recommendations. One of the jurisdictions is including the study recommendations into their General Plan and is waiting for a Metrolink station to be developed on the site. One site requires additional planning and research. One site is not moving forward with the recommendations because of funding issues.

4. To what extent has the funded project functioned as a catalyst for other community improvement projects?

The outreach process helped to lessen distrust that residents of lower-income neighborhoods had toward their local government by presenting local government staff with opportunities to introduce themselves and open lines of communication.

Planning Grant Program (Administration)

5. What suggestions, if any, would you make to improve Caltrans Headquarters' overall management and administration of the transportation planning grants program?

Improve communication between District and HQ staff. For example, project team members sometimes experienced a week or longer delay in receiving answers to grant management related questions posed to Caltrans District staff. District staff needed to consult with HQ staff who then took some time to respond to District staff. In addition, sometimes the answers provided by District staff and HQ staff differed.

Change in SOW

6. Explain to what extent you feel that your project completed the original Scope of Work submitted in the initial application?

The project team completed the scope of work completely.

The project team had to replace one of the project sites identified in the application with another site because the original site was experiencing community unrest.

Project Successes and Challenges

7. Would you say your planning project was successful? Why, or why not?

Yes. Most of the recommendations are in the process of being implemented.

8. Based on what you know, did the project meet its objectives? How well?

Yes. The project met all of the stated objectives.

9. Best Practices / Lessons Learned (If you were collecting activities in the hope of sharing “best practices” with other project implementers, would you put some of this project’s activities in that collection?)

The project team created a strong committee structure. The committee performed an initial review of the sites and brought their through to the public for comment. The public appreciated the City’s openness to adapting their proposal to incorporate public feedback.

The project team used multiple resources to outreach to the community. Examples include mailing invitations to workshops and community meetings to all property owners within three miles of the site and providing meeting attendees with limited English comprehension with earphones which translated presentations into a preferred language.

10. Please provide any significant barriers to project implementation that you experienced.

Caltrans’ deadline for project completion was the primary barrier. The project team did not receive the notice to proceed until months after they received the notice that the project had been funded, however, Caltrans still held the team accountable to the timeline provided in the Scope of Work.

Community Engagement

11. CBTP Only: Explain how community-based stakeholder collaboration, partnership, and consensus building were encouraged throughout the project.

See Question 10.

What specific methods did you use to involve these groups? (e.g. neighborhood walks, community action/steering committee, technical advisory committee, stakeholder meetings, public workshops/town halls, public hearing with policy body)

See Question 10.

Lessons Learned

12. Do you have any other suggestions for how Caltrans can improve the effectiveness of the planning grants program(s)?

Notify applicants of Caltrans’ projected timeframe between the awards announcements and the notice to proceed so applicants can take the delay into account when creating the project timeline.

University Ave Mobility Plan and Hillcrest Mobility Corridors Plan

Organization Name: City of San Diego (*Direct Recipient*)

Interviewee Name: Samir Hajjiri

Interviewee Title: Project Engineer

Interview Date: March 5, 2009

Interviewer: Vicky Liu

ICF contacted Samir Hajjiri to discuss the CBTP grant the City of San Diego received for the project Corridor Study for Evaluating Transit Priority Measures within Urban Villages. Samir informed ICF the City had transferred management of the project to San Diego Association of Governments. As Samir has been involved in managing Caltrans planning grants he was interested in contributing to the evaluation process.

Experience

1. How long have you been working at your current agency/organization?

18 years

2. Have you applied more than once for a planning grant? How long have you been involved in applying for/implementing planning grant projects? Please briefly describe your roles.

Samir has been involved in applying for and managing two planning grants: University Ave. Mobility Project and the Hillcrest Corridor Mobility Project.

Current Status of Project(s) and Next Steps

3. Please describe where the project left off at the end of funding. Do you know what the status of implementation is today?

The University Ave Mobility plan is finished and the City has received \$2 million for implementation of the plan. The project has served as a planning model for other corridors.

The Hillcrest Mobility Corridors plan is finished and the plans recommendations and alternatives are being folded into the local community plan. The City will perform an EIR for the community plan. The City is finding the funds to implement the plans’ recommendations.

4. To what extent has the funded project functioned as a catalyst for other community improvement projects?

Developers working on infill projects along the University Ave. corridor have asked for the draft plan so they can identify a possible nexus with their development.

Planning Grant Program (Administration)

5. What suggestions, if any, would you make to improve Caltrans Headquarters’ overall management and administration of the transportation planning grants program?

Application Stage: The evaluation criteria are vague. The application does not state which criteria have greater importance than others and does not indicate how the application will be ranked. Applicants are not sure which projects have the potential to be ranked high.

In addition, some of the questions seem to be a rewording of previous questions and the proposal team was not sure if Caltrans was seeking different answers or a reiteration of previously provided answers.

The City Council is interested in knowing which organization's in San Diego receive the notice of funding availability for the Caltrans Planning Grants. It would help City staff with their outreach process to know which organizations have received the grants.

Applicant Eligibility: Samir asked for an explanation for why educational institutions and non-profits cannot be direct recipients of the grant. Non-profits in San Diego have the impression that they can use the City has a pass-through for the funds without actually partnering with the City.

This impression has put the City in a difficult position as City staff has felt obliged to devote administrative resources such as staff time and the use of the City's procurement process to projects they have little input into.

Change in SOW

6. Explain to what extent you feel that your project completed the original Scope of Work submitted in the initial application?

The Scope of Work was completed for both projects.

7. To what extent did your Scope of Work change? What were the reasons for the change?

See Question 6.

Project Successes and Challenges

8. Would you say your planning project was successful? Why, or why not?

The University Ave. project had huge public support. The City reached out to businesses to participate in the meetings and reached out to the general public through fliers, brochures on storefront windows, and large visual displays in public areas. The City also established a stakeholder group composed of community members.

The City followed the same community outreach model with the Hillcrest Mobility Corridor, but was less successful in attracting all stakeholders to participate in the planning process because of political issues. Community groups within the planning area had a historic distrust of each other because of previous planning battles. Some meeting attendees prioritized recommendations that would benefit their own home values versus recommendations that benefited the community as a whole. The City and the consultant were surprised by the amount of animosity some community members directed towards the planning process.

9. Based on what you know, did the project meet its objectives? How well?

The University Ave. project met its objectives. The project team were disappointed by the divisiveness of the community engagement process for the Hillcrest Ave. project was.

10. Best Practices / Lessons Learned (If you were collecting activities in the hope of sharing "best practices" with other project implementers, would you put some of this project's activities in that collection?)

If partnering with a non-profit be clear about the roles and responsibilities of each agency before beginning work.

The public outreach strategy needs to be well-planned before beginning the process. It cannot be planned on an ad-hoc basis.

11. Please provide any significant barriers to project implementation that you experienced.

One barrier encountered during project implementation was meeting Caltrans' deadlines for project completion.

See description of Hillcrest Ave. community outreach process in Question 8.

Community Engagement

12. CBTP Only: Explain how community-based stakeholder collaboration, partnership, and consensus building were encouraged throughout the project.

See Question 8.

13. What specific methods did you use to involve these groups? (e.g., neighborhood walks, community action/steering committee, technical advisory committee, stakeholder meetings, public workshops/town halls, public hearing with policy body)

See Question 8.

Lessons Learned

14. Are there any "lessons learned" from developing/implementing your planning project?

See Question 10.

15. Do you have any other suggestions for how Caltrans can improve the effectiveness of the planning grants program(s)?

See Question 5.

Focus Groups

16. Would you say that this would be a good project candidate to conduct a focus group? Why/Why not?

ICF did not ask this question because Caltrans had already selected focus group projects.

17. If you could contribute questions to be used in a focus group (for gathering community perspectives on planning grant project impacts), what questions would you pose to the group?

No answer provided.

University Transportation Center (UTC)

Organization Name: Sacramento Headquarters, Division of Research and Innovation

Interviewee Name: Nancy Chinlund

Interviewee Title: Chief, Office of Planning, Policy and Innovation

Interview Date: February 23, 2009

Interviewer: Jennifer Brickett

Experience

1. How long have you been working at Caltrans HQ (or District X)?

9 years

2. How long have you been involved in applying for/implementing TPSS projects? Please briefly describe your roles.

Nancy took over for the person who was initially involved in applying for funding. RITA under the Federal Transportation Authority provides funding for University Transportation Centers (Cali has 4 centers). However, the state governments need to provide a match. Nancy thinks that the TPSS funding was used for this match.

Current Status and Next Steps

3. Was the project carried forward to the next stage of implementation? If so, please describe.

The funding was used to cover multiple projects funded by UTC. Specifically, the funding was used for: 1) admin costs, 2) technology transfer (organizing workshops and symposia to disseminate info about research results) 3) conduct research. The UTCs work on 20-30 different projects at a time (planning and policy types of projects). UTC projects are usually \$50,000 / project so \$625,000 probably funded 10-15 projects. UTC projects are research oriented, but they are moving towards developing more refined implementation practices.

4. What is the current status of the project funded by Caltrans?

- Plan/study completed – no progress toward implementation
- Some progress toward implementation of plan, but major obstacles exist
- Significant progress – plan is currently being implemented
- Plan has been fully implemented

The Division is no longer applying for TPSS funding; they are getting the match elsewhere. SPR funding was limited and they felt the funding should prioritize planning projects because there are a lot of planning needs.

TPSS Program

5. Was the administration of the TPSS program by Caltrans headquarters effective in terms of:

- Call for projects
- Selection process of projects
- Kickoff meeting
- Provision of technical assistance
- Provision of contracting assistance
- Monitoring of project progress throughout the project? How often did monitoring occur?

- Provision of year-end reports and close out reports
- Following-up on projects after project completion

They didn't engage in this process.

6. What suggestions, if any, would you make to improve the overall management and administration of the TPSS program?

Ms. Chinlund has attended some meetings where projects were selected. Her involvement was in reviewing projects, scoring, and participating in this discussion. She thinks this process works well. SPR II funding is allocated for research and this is what she's involved in. This side has been trying to develop a more strategic approach for allocating Part II funding. There's room for improvement on Part I side for doing this as well. In the past, the process has been about reviewing proposals and applications and deciding which ones are the most important to fund, but this process should be more forward thinking and think about direction (i.e., what types of projects are they looking for). It would be good to have a more coordinated process between Part I and Part II. There are criteria about what is research and what is planning, but there is room for improved coordination.

7. Do you feel that there was adequate coordination amongst internal stakeholders (District staff and HQ staff) throughout the life of the project?

There was always an issue about deciding what to include in the reports for Office of State Planning. They are currently struggling with how they can do a better job at capturing and disseminating the results of UTC research.

Monitoring and Measurement of Project Outcomes

8. Did you ever conduct any monitoring of your own project to ensure that self-defined benchmarks were being achieved throughout the project life?

No benchmarks—didn't get down to this level.

Project Successes and Challenges/Barriers

9. How do you define "success" for a completed TPSS project? Would you say the planning project that you oversaw was successful? Why, or why not?

N/A

10. Please provide any significant barriers to project implementation that you experienced.

Discussed in other questions.

Scope of Work

11. Explain to what extent you feel that your project completed the original Scope of Work submitted in the initial application.

The scope of work was completed.

Lessons Learned

12. Are there any "lessons learned" from implementing your TPSS project(s)?

Nancy did not provide any lessons learned.

13. Do you have any other suggestions for how Caltrans can improve the TPSS program?

In general, the Office is doing a great job.

However, SPR I could benefit from observing management changes from SPR II (e.g., strategically picking projects related to research; implementing results of projects that have already been funded). She would suggest Planning use this same approach. There could also be more coordination. SPR I

and II could fund complementary projects (i.e., a project with a research and planning component). This would move the department move forward and would be a bigger bang for the buck.

14. Do you have any pictures of your final project (or pictures from a phase during project development) that you could share with us electronically?

N/A

Nancy provided the following additional information in response to several post-interview questions:

- 2003/04 TPSS funding likely funded projects on this website: <http://www.uctc.net/grants/grantsyr16.shtml>
- Nancy thought the project selection process was professionally handled. The applications required were comprehensive, as was the review process. The process used by the selection committee was fair and thorough.

Update Orange County Area Plan for Adult Day Health Care Services

Organization Name: Orange County Transportation Authority (*Recipient*)

Interviewee Name: Dana Wiemiller

Interviewee Title: Community Transportation Coordinator, Orange County Transportation Authority

Interview Date: February 23, 2009

Interviewer: Lisa McNally

Experience

1. How long have you been working at your current agency/organization?

Dana has been at the agency for 11 years. The Orange County Transportation Authority (agency) provides paratransit services (via their ACCESS program).

2. Have you applied more than once for a planning grant? How long have you been involved in applying for/implementing planning grant projects? Please briefly describe your roles.

This is the only Caltrans planning grant that Dana has been involved in. For this project, Dana was the project manager. She had a consultant that did the research for the study. There was also a collaborative study group that would meet on a regular basis to review the results of the planning and research efforts and they would provide input on process. The study group was comprised of about 5-6 decision-makers spanning agencies and representatives of Adult Health Care Centers (e.g., representative from County Office on Aging and representatives from 3-4 Adult Day Health Care Facilities in Orange County who have Directors who are actively engaged in participating in committees). Dana stewarded the process and acted as coordinator between Caltrans, Transportation Authority, Consultant, and Health Care Directors.

Current Status of Project(s) and Next Steps

3. Please describe where the project left off at the end of funding. Do you know what the status of implementation is today?

The purpose of the plan was to specify the number and location of Adult Day Health Care Services (ADHC) centers which were needed in the county, focusing on specifically updating the transportation section. By the end of the project, they captured transportation data and quantified the transportation needs and paratransit demand of clients typically using the service, and identified a new model to save the Transportation Authority money by lessening demand on paratransit while not causing significant expense increases on the health care centers or their clients.

4. To what extent has the funded project functioned as a catalyst for other community improvement projects?

This plan was seen as a first step to managing adult health care transportation and make it operate more effectively. They were looking for ways to make the system more efficient and lessen the drain on the ACCESS Program (authority's paratransit service) as adult health care facilities are dispersed throughout the region and there is projected to be an expected increase in demand over the next ten years. Through this study, they were able to explore whether there are other ways of providing this transportation service. The report developed recommendations that would require a lot more time and effort and broader participation which was a brokerage model. Also, there were short-term solutions where communities would provide private transportation providers. In the end, the County decided on a private-public model where the County would help subsidize those trips. It is fair to say that this Caltrans-funded plan did help catalyze this new private-public model that is in existence today. Those

who catalyzed it were in the study group. Those in the study group were the first to jump on board with the model and forward thinkers in the industry.

In terms of long-range planning, this project provided the agency with a sense of quantifying the magnitude of the issue. Prior to the planning study, the agency already knew that paratransit trips generated by the elderly and the resulting data that was quantified through the study gave the agency a framework in moving with the agreements and targeting which centers should be incorporated into private-public model; which would make the most sense. Those centers were the ones that had clients from all over the county traveling to them because of a niche offering, such as they served the needs of a particular ethnic group. By moving to an alternative service, the Agency has been able to reduce demand on their service and used the data to target which centers made most sense.

The Adult Centers provided data about trips. The County reimburses the Adult Centers at a re-negotiated rate. And this new model has proven to be significantly less expensive than to use ACCESS paratransit service. It's also better for the client because thresholds for travel time are much lower, so clients spend less time traveling. Also, these transit providers are more social-service specific with assisted transportation functions and higher level of service. Essentially, the subsidized services are more appropriate to their needs, and they also reduce ACCESS costs.

Through subsidizing trips on an alternative service: Cost assumptions for projecting out for fiscal year 2009 related to facilities they already have agreements with and anticipated number of trips versus providing those trips on paratransit service using current rate of productivity and cost, the savings for this year exceed \$1M. For FY 2010, assuming there are no additions to service centers, they are looking savings up to \$2.7M. This is money that goes to funding the transit services.

Planning Grant Program (Administration)

5. What suggestions, if any, would you make to improve Caltrans Headquarters' overall management and administration of the transportation planning grants program?

Dana had a good experience Maureen Lel-Harake at District 12. She had some level of interaction previously. Dana was in public communications and they manage a lot of public outreach with Caltrans related to freeway improvements. In Dana's experience, Maureen is good at what she does, is supportive and engaged.

Change in SOW

6. Explain to what extent you feel that your project completed the original Scope of Work submitted in the initial application?

Yes, the project stayed on target and resulted in quantifiable outcomes that were used in adopting and employing the public-private partnership that is being used today.

7. To what extent did your Scope of Work change? What were the reasons for the change?

See Question 6.

Project Successes and Challenges

8. Would you say your planning project was successful? Why, or why not?

Yes. See Question 4.

9. Based on what you know, did the project meet its objectives? How well?

Yes. See Question 4.

10. Best Practices / Lessons Learned (If you were collecting activities in the hope of sharing "best practices" with other project implementers, would you put some of this project's activities in that collection?)

This Caltrans planning grant built off of a Paratransit Growth Management Study that was completed in 2004. That project looked at paratransit service as a whole. It identified strategies that they could use to control demand on paratransit service. They recognized as an offshoot of that study that 1/3 of paratransit is adult health care trips. If nothing else, having another plan in place helps justify the request for funds from Caltrans the study.

11. Please provide any significant barriers to project implementation that you experienced.

N/A

Community Engagement

12. CBTP Only: Explain how community-based stakeholder collaboration, partnership, and consensus building were encouraged throughout the project.

The study group included directors from the Adult Care Center and CalOptima and Maureen from Caltrans (D12). At various points through the study process, the consultant would solicit input on the direction, information, etc. of the study. It was most relevant to have Adult Health Care representatives involved as proxies for their clients needs since they had the decision-making power to get the study to move into a more efficient transit service model.

13. What specific methods did you use to involve these groups (e.g., neighborhood walks, community action/steering committee, technical advisory committee, stakeholder meetings, public workshops/town halls, public hearing with policy body)?

N/A

Lessons Learned

14. Are there any "lessons learned" from developing/implementing your planning project?

The consultant who was selected to conduct research for this project had someone who was based in St. Louis, and they used subs in Southern California. The dispersed project team was challenging since the research lead was not as familiar with the area as a local consultant would be. While you don't always want to award to the same contractors, it was a challenge having a consultant who wasn't as familiar with Orange Counties (e.g., knowing the political players, geography). Dana says it is nice to have consultants who understand both the specific and nuanced issues related to the area.

15. Do you have any other suggestions for how Caltrans can improve the effectiveness of the planning grants program(s)?

Dana doesn't have much to add to this discussion. She wasn't involved in the actual application for the grant.

Focus Groups

16. Would you say that this would be a good project candidate to conduct a focus group? Why/Why not?

Focus groups not relevant to this project.

17. If you could contribute questions to be used in a focus group (for gathering community perspectives on planning grant project impacts), what questions would you pose to the group?

Focus groups not relevant to this project.

Yurok Tribal Transportation Plan

Organization Name: Yurok Tribe (*Direct Recipient*)
Interviewee Name: Peggy O'Neil
Interviewee Title: Planning Director
Interview Date: February 25, 2009
Interviewer: Noé Noyola

Experience

1. How long have you been working at your current agency/organization?

Ms. O'Neil has worked for the Yurok Tribe for nine years. She has also worked for 30 years with other tribes in Northern California. She is not of Yurok ancestry but has married a Yurok man.

2. Have you applied more than once for a planning grant? How long have you been involved in applying for/implementing planning grant projects? Please briefly describe your roles.

Ms. O'Neil has actively participating in writing and editing grant applications. The Yurok tribe has not put forth any other applications though they have actively participated in other grant processes. In fact, the tribe just put in for beautification project through a separate grant program.

The impetus for applying for the Caltrans EJ Grant to fund a transportation plan for the reservation came from Ms. O'Neil. The Indian Reservation Roads (IRR) program of the Bureau of Indian Affairs (BIA) has a specific requirement that all recipient of funding have transportation plan. The Yurok Tribe did not have a full fledged plan that included an inventory of needs and priorities. The plan that was in place was created literally in one day by a consultant.

Current Status of Project(s) and Next Steps

3. Please describe where the project left off at the end of funding. Do you know what the status of implementation is today?

The 25-year transportation plan was created in 2006 so only a few of the road improvements suggested have been implemented, obviously.

4. To what extent has the funded project functioned as a catalyst for other community improvement projects?

Given that the Tribe had never had a viable transportation plan before, funding from BIA through the IRR program averaged \$30,000 a year. As one of the largest tribes in California it was ironic that the tribe received virtually no funding from IRR program in the state. Now, after the plan was established, the Yurok tribe receives the largest share of funding of all the tribes in California. By creating the transportation plan the Yurok Tribe received \$1.3 million in the most recent funding cycle of the IRR, and is slated to receive \$900,000 the following year.

Now with a bona fide plan and a significant increase in funding from BIA, the Tribe is now able to increase its staffing. They recently hired an experienced transportation manager and planner. The project originally was operated from within planning department, as a result of increased capacity it was moved to transportation planning department. In addition, the transportation department has also hired two more permanent employees in the maintenance division.

Currently a full 25% of the department's funding is going to road maintenance. This is significant because for 15 years there had been no road maintenance at all, only for disasters but not for maintenance. Now, the beginning of the transportation program is underway, and the construction design phase of priority projects identified through the plan has begun. Ms. O'Neil described the Caltrans project as the start of a comeback for the tribe that will eventually improve the routes identified in the plan.

Also, Ms. O'Neil reported being much more aware and knowledgeable of transportation funding processes, and planning concepts. Through prior participation in the national IRR committee for 3 years, Ms. O'Neil was able to bring information back to various tribes in California. It was clear to her that California tribes were essentially "in a fog" in that they simply didn't understand the program and didn't get involved. Collectively, the California tribes didn't know their rights and didn't know that tribal allocations are based on an inventory of prioritized transportation needs established through a formal transportation plan. Ms. O'Neil estimates the Tribe probably left \$5 million on the table, or more, because of not knowing how to apply for IRR funding.

Since the Caltrans grant, the Yurok Tribe has also been instrumental in forming a regional coalition to address regional transportation needs and to share information. Meeting once a month, the coalition includes tribal councils of tribes in Humboldt and Del Norte, and Trinidad counties. Through this informal work, members of the coalition had a bridge declared a disaster because of its condition and were able to acquire several million dollars to repair it.

Furthermore, the Yurok Tribe now reports that an increased ability to leverage funds with county or Caltrans, in that the formal list of priorities and plan appears to elevates their projects since they are properly vetted. In this light, the Yurok Tribe describes plan as having "made us a player at the table."

With assistance of five transit grants, the Yurok Tribe also now has gained some formalized public transit that was prioritized through the plan. A full-scale bus service now rolls along the Trinity River inland, augmenting a phase I community bus service that was in place. The tribe decided to buy new buses, obtained grants for drivers, and extended bus service. In addition, the tribe is currently working on developing a ferry service for both commuters and tourists.

Finally, the Tribe has been able to easily apply for funding through President Obama's Stimulus Package because of having created an inventory. Based on the information gathered through the planning process and consequent priority list, the Tribe rapidly identified so called "shovel-ready" projects with completed design work and submitted these for consideration.

Planning Grant Program (Administration)

5. What suggestions, if any, would you make to improve Caltrans Headquarters' overall management and administration of the transportation planning grants program?

The administration of the project involved heavy amount of itemizing of expenses, so it required a significant amount of work. It seemed to be harder to get state funds reimbursed than other types of grants in that the grantees have to prove a lot more diligence before the release of money.

Change in SOW

6. Explain to what extent you feel that your project completed the original Scope of Work submitted in the initial application?

Scope of work was completed.

7. To what extent did your Scope of Work change? What were the reasons for the change?

N/A

Project Successes and Challenges

8. Would you say your planning project was successful? Why, or why not?

Yes, the project was highly successful. It resulted in employment, closer collaboration with other agencies, increased funding, and a transit system. It brought needed resources to the reservation and led the tribe in getting \$3.1 million from the IRR program.

9. Based on what you know, did the project meet its objectives? How well?

Yes, very well.

10. Best Practices / Lessons Learned (If you were collecting activities in the hope of sharing “best practices” with other project implementers, would you put some of this project’s activities in that collection?)

The collaboration that took place was a very important outcome and best practice. In creating an inventory the Tribe had to convince agencies that regulate or oversee several of the roads within the reservation, including partner counties, the state, and the forest service, to agree to place road improvement projects on the inventory of priorities.

Prior to the project Ms. O’Neal reported Caltrans had a reputation for not always working well with tribes. It was important for Ms. O’Neal to not be pre-disposed and recognized the importance of being partners in this process. As she said, “It simply could not be done unless we had their cooperation.”

In a sense, the Tribe had to educate Caltrans district staff and other agencies about the importance of placing projects on the inventory list for IRR consideration. They had to be convinced that the projects were not going to hurt them, but help them. The Tribe would put the money to use, on state county routes but the agencies would still be responsible for the maintenance. In essence, the tribe would be earning revenue for them.

With other tribes, a workgroup was needed and established. The tribes agreed to not place projects that were shared by both tribes on the inventory list to avoid potentially culturally sensitive issues over territory. They instead focused on the bigger goal of collaboration.

11. Please provide any significant barriers to project implementation that you experienced.

One significant barrier is simply battling through the status quo. HWY 169, for instance, is a main highway that crosses the reservation, though it is basically a split road that does not connect. The lower portion is accessible from the coast, but the more inland, upper portion is crumbling. Most improvement on that road has come from failures. That has been the method that change has come about and few have challenged the pattern.

Ms. O’Neal says, “I was naïve, I didn’t understand how funding works, I just kept thinking that they would fix it. I would see money going to a turnaround that wasn’t needed, and I would consequently see also see a lot of animosity building toward Caltrans. Eventually I went to a (Caltrans) transit academy, and I learned to compete. With HWY 169 we figured out that it was necessary to get the road reclassified, or otherwise would never get the needed funding.”

Once the tribe got organized, it became evident that many of people had never even been on the road so the tribe organized tours and put Caltrans staffers on the road to see first hand. It was well known to the locals that the road was very unsafe but accidents weren’t being reported, consequently the road wasn’t in the system as a priority for the agency. The tribe commissioned an assessment report to identify accident histories, and in fact, pulled out hundreds of cars from the river presumably crashed there. Now after the Tribe’s organizing efforts, the relationship with Caltrans is a bit more equal and the two agencies are now working on the plans for a safety project.

Community Engagement

12. CBTP Only: Explain how community-based stakeholder collaboration, partnership, and consensus building were encouraged throughout the project.

N/A

13. What specific methods did you use to involve these groups? (e.g., neighborhood walks, community action/steering committee, technical advisory committee, stakeholder meetings, public workshops/town halls, public hearing with policy body)

To the extent possible the Tribe’s outreach approach was to be inclusive of the entire reservation, including the various non-tribal residents. Through extensive outreach, they worked to “sell” the plan and the importance of the priority list to the community to obtain funding. Certainly, community dialogue was missing when the earlier plan was created with only one consultant.

To get participants engaged at community meetings, the Tribe would try seemingly simple activities like games with prizes. They also produced t-shirts showcasing the project with the motto “Traveling Safe Through Yurok Lands.” Ultimately their effort sought to educate people about the planning process and the goals of the transportation plan. The community provided good input on the specific problem areas in the road and transportation system.

Lessons Learned

14. Are there any “lessons learned” from developing/implementing your planning project?

Some skeptical participants were suspicious and wondered aloud if the effort would actually produce an outcome, given the numerous plans that have not been implemented and that ultimately “end up on a shelf.”

The outreach also found stakeholders protective of their control of roads. In the past logging roads, for instance, have been chained to prevent general use. This was an important challenge for the Tribe to overcome especially since those logging roads are part of system of emergency access routes. In the more remote parts of the reservation, these are the only way in and out in the case of a tsunami, fire, or flood.

15. Do you have any other suggestions for how Caltrans can improve the effectiveness of the planning grants program(s)?

N/A

Focus Groups

16. Would you say that this would be a good project candidate to conduct a focus group? Why/Why not?

Possibly.

17. If you could contribute questions to be used in a focus group (for gathering community perspectives on planning grant project impacts), what questions would you pose to the group?

N/A

General Interviewee Comments

Ms. O’Neil indicated that Caltrans EJ grants were very helpful and unique. She said that most grants specify what their priorities are and then the grantee has to fit the project. Caltrans EJ grants on the other hand ask the grantee to specify their priorities, in essence saying “You tell us what you want to do.” This is helpful because it encourages for communities to analyze their real needs as they craft to priorities. Ms. O’Neal says, “If we had not gotten the grant, we would not be as successful. We simply didn’t have the capacity to create the plan and did not have the funds to hire an outside professional.”

Appendix C

Appendix C: Focus Groups

List of Surveys

Fruitvale Alive! Community Transportation Plan Focus Group.....	1
Traffic Calming and Safety Enhancement in the Hoopa Valley Indian Reservation; a Conceptual Plan for “Downtown” Hoopa Focus Group.....	6
Santa Rosa City Wide Creeks Master Plan Focus Group	7

Fruitvale Alive! Community Transportation Plan Focus Group

April 27, 2009, 6-7:30 PM

Unity Council, Oakland, CA

Participants

- Manuel Arian, Local Resident
- Hoang Banh, Local Resident/Volunteer, Dimond Improvement Association
- David Cortez, Transportation Planner, Caltrans
- Cynthia Cady Mabon, Local Resident/Property Owner, Fruitvale Merchants
- Shirley Everett-Duko, Local Resident/Owner, Everett & Jones BBQ
- Diane Johnston, Local Resident
- Jenny Kassan, Former Program Manager, Unity Council
- Michael Kinave, Local Resident
- Pamela Magmeson-Reddle, Local Resident/Volunteer, Fruitvale Main Street
- David Ralston, Program Manager, City of Oakland
- Agnes Ramirez, Co-Chair, Harrington Avenue Homeowner’s Association
- Maria Sanchez, Local Resident/Volunteer/Staff, Unity Council
- Tom Thurston, Chair, Central City East Redevelopment Project Area Committee

Project Impetus Questions

1. **From your recollection, how did the planning process for the Fruitvale Alive! get initiated and gain momentum? Are there any anecdotes on how you personally or your agency became involved?**

The funding being offered by Caltrans fit perfectly with the types of improvements that were being sought in the Plan. Because there were structural changes being made in the Fruitvale area, the Plan sought to improve the larger safety in the area, not just improve transportation safety and increase mobility; structural changes (such as more lighting) helped to reduce crime in the area. The focus group agreed that promoting pedestrian-friendly, walkable solutions certainly have helped to revitalize the area.

The genesis of the Plan is due to two long-time community organizers and residents of Fruitvale held a protest against the reckless driving resulting in a very dangerous intersection at Fruitvale and Foothill, relationships started to get built, and awareness started to be focused on the issues that were later defined in the Plan. Two of the protesters present at the focus group held signs and marched near the intersection; Maria (participant) and Jenny (participant) were “picketing”

vehicular transportation along the street and around the cross-walk area to raise awareness of the concern and issues around the dangerous intersection.

Additionally, Tom Vandermark (City of Oakland Pedestrian Project) and Hoang (participant) had a history of working together on community transportation issues; at the time, Tom was responsible for creating the Pedestrian Master Plan. He said they were going to turn their attention to Fruitvale next and they were interested in having the Dimond Improvement Association get involved in the project, too.

Additionally, around this time, the Unity Council received a MTC grant do improvements along 33rd to 35th Avenue. The Unity Council already had plan, but wanted to include Fruitvale Avenue to 33rd improvements in the application to Caltrans for a planning grant. As more ideas and separate plans and goals started getting defined, local community organizations with similar transportation improvement goals started going after and capturing additional grants.

These simultaneous grass-roots occurrences where relationships got built amongst residents/advocates was what probably helped to create the impetus for going after the Caltrans Planning Grant, and ultimately, created the Fruitvale Alive! Plan.

2. In light of other needs in the Fruitvale district, why did transportation planning become a priority for the community?

In Fruitvale there are always brewing and intersecting issues such as, how to promote business development; how to reduce graffiti; crime; address pedestrian issues (there are a lot of pedestrians and bicyclists in Fruitvale). This Fruitvale Alive! project is just a slice of the many ongoing issues being addressed by community groups at any one time in the area.

Michael petitioned and was responsible for having a street half-way closed (33rd Avenue) because he had a brother who was killed by a car there. Because of the bad intersection, drivers would go down 33rd Avenue to avoid the congestion. They had to petition and fight with City of Oakland to get the street closed off, but they were able to do it.

Fruitvale Alive! is a snapshot of some specific programs and shows how funding gets allocated at a particular moment in time, rather than a reflection of the many things that many people are working on because there is a lot of need in the neighborhood, and therefore a lot of competition for scarce funding resources. The Fruitvale Alive! planning grant helped to fill in one small need gap in the neighborhood. There are many competing problems, and for this project, there happened to be money to meet the transportation needs that people were already coming together and trying to address.

Planning Process Questions

3. How would you describe the community process and method(s) that the community used to create the Fruitvale Alive! Plan? What does an “effective” planning project look like?

Jenny and Maria were real champions of the Fruitvale Alive! Plan. The group agreed that it helps to have a lead agency (e.g., Unity Council) that is committed and able to allocate resources, and have it be led by people who know people in neighborhood in order to get them to help volunteer. All of these ingredients were important when going after and developing a vision plan for the area.

In the Fruitvale District, there are many families with kids who like to walk, especially when taking their kids to school. Part of the culture in Fruitvale is to walk a lot. Maria says they are still extending the pedestrian safety project.

There have been many different constituencies concerned with family pedestrian safety. And there are others who have been concerned about how hard it has been to exit from their side street onto Fruitvale Avenue. Everyone in the area has different issues, but the planning grant project aimed to address many different issues, which at first seemed an asset in building the plan, but it turned out that issues started to conflict with one another.

Another overlapping issue was that Amtrak trains cross the neighborhood and block traffic during the busiest traffic of the day; consequently, drivers, walkers, bicyclists all start to weave through the neighborhood streets to bypass the congestion. The streets are very congested; this is one of the issues the plan tried to resolve. Some participants said they have noticed a decline in congestion, perhaps due to some changes being made by the plan; other focus group participants said they haven't noticed much of a change in the congestion and safety in the area.

In order to conduct outreach for the plan, flyers were distributed to key locations in the Fruitvale and Dimond Districts; to libraries; to merchants. Dimond was fortunate to have a long-standing dues-paying neighborhood association that they could rely on as a base for participation. They also made use of an email list which then helped organizers connect broadly with other email lists. Also, the Neighborhood Association had a website and message board which allowed the CEDA staff to review and maintain updates about the progress of the plan. Hoang also put a binder in the Dimond Branch library that provided meeting updates and status information about the development of the plan. The Fruitvale District also had a very active Council member who was involved, which helped to keep the project motivated and moving.

Flyers in English and Spanish were widely distributed. Maria (participant) went door-to-door and talked with people about their concerns and about the status of the project development, and would encourage them to come out to meetings.

Although, one participant noted that there seemed to be a “meeting burnout problem.” Because of the many issues in the area, there has been a lot of cross-over between meeting agendas and meeting times. Consequently, meetings were conducted in piece-meal because there were so many meetings and so many issues in the neighborhood, which may have created some disconnect in the plan development. Merchants have also been very helpful in providing food to the community advocates, which has acted as a strong draw to local residents.

4. As you undertook the planning process, how did you know that the planning process was proceeding on the right path to achieve established goals?

One participant responded that “sometimes it felt like we were going into the planning blind folded.”

Another participant said, “In order to stay on track with our goals, it felt like we were in survival mode as we went through the plan development process; goals would get put forward by so many interests, some ideas died off over time, others picked up steam overtime; the larger group with the clearer and louder objectives often took the lead in pushing goals forward.”

The community was also fortunate to have the Unity Council which had a very diverse staff who is knowledgeable about how to conduct outreach in this community.

Participants agreed that there was a lot of pre-planning that happened before the funds were even secured through the Caltrans grant, and there was a lot of needing to get ideas fixed before moving into the development of the plan.

Because there are so many diverse interests in Fruitvale, and some people came to some meetings, and others went to others (resulted in a kind of patchwork at participation), they all were going constantly in anything but a straight line when moving forward in coming to an agreement in what was being created.

5. As you undertook the planning process, how did you know that the planning process was proceeding on the right path to achieve established goals?

There should have been separate meetings to address the range of issues they wanted to include in the plan and to be able to better focus on particular areas because there were so many different issues for different areas.

Because they had a neighborhood plan that was very detailed, the activists really knew what they wanted to achieve through this plan, and because the street corridor is so long, and instead of having a huge meeting in which all the segments on the corridor were combined, the corridor should have been broken up better in the plan. In the middle of the process, the group found that they needed an extra meeting for Coolidge Avenue folks; and another for Dimond folks. Geographic segmentations seemed to be a more efficient way of addressing

issues, but it also resulted in a more piecemeal approach to addressing issues. This conflict remained a challenge throughout the process.

Also, word got out that one group was getting funding or the support of a Council member, and another group was getting something else, so people started to feel a little competitive and confused about what was happening.

The engineering firm that was hired to do the actual plan was not highly aware or had a keen understanding of the needs of the community; the group agreed that the engineering firm was engineering-oriented, but not community-oriented. If someone had been more community-oriented, they would have understood the broader scope of issues better.

Impact of Planning Grant Questions

6. Besides the obvious answer of increased funding, how would you suggest or encourage Caltrans to connect the planning process that is funded by these grants to tangible implementation of the plan you created? What strategies or incentives can you suggest for the community that received funding to move the project to the next level of implementation?

The City finally has garnered \$4M in funding (\$2.7M from MTC) to apply this fall towards implementing a key segment of the Fruitvale Alive Plan. At the time, it seemed that getting this money and the necessary City support to move forward with the project (and contributing local matches and staff times) was actually quite a long-shot. Only the dedication of the community stakeholder groups, empowered by the community-based planning process, enabled the project to have a chance. The successful engagement of a community around a plan is definitely a tribute to the Caltrans grant but, in retrospect and for future projects, there are more incentives Caltrans can and should make available to encourage cities to move forward with community visions such as those provided in the Fruitvale Alive! Plan to avoid having the funded end up on shelves.

One key issue is where capital funds will come from to move to construction. Given that many such projects tie into Statewide goals of “complete streets,” Caltrans can offer assistance in identifying and supporting appropriate capital funds. One strategy relates to STIP funding and the extent to which Caltrans would advocate on behalf of the City to acquire funds in order to help implement pedestrian-oriented streetscapes. Caltrans can also help in regards to placing the project on regional transportation funding plans and advertising the project.

Many times there are NEPA and right-of-way regulatory requirements that must be addressed in moving projects to full implementation. To the extent that Caltrans also has some jurisdictional control in this oversight, the agency could take a stronger lead in prioritizing and assisting projects plans they funded.

For example, in regards to freeway right-of-ways: in the Fruitvale Alive case, the City needs assistance with having their permits expedited by Caltrans. To move plans forward, right-of-way permits are needed in addition to assistance in making aesthetic upgrades to Caltrans property along the street. In these cases, the City needs to return to Caltrans to acquire the necessary permits to move to the next stage and even has to appeal to Sacramento for access rights and agreements to replace degraded Caltrans fences. Overall, Caltrans could be more responsive in committing and forming partnerships with City to actually implement the ideas that come out of the very project that Caltrans funds. As it stands, the process is very inefficient, and increased Caltrans support on expediting those permits responding to Caltrans funded planning projects would maximize value of initial investments made in funding the planning projects.

The Fruitvale Alive! Plan was not at its “35% complete status” in terms of plans being developed to allow it to be where it needed to be for the City to take it to the next phase of implementation. From the City’s perspective, this plan is still considered very conceptual and somewhat unrealistic in terms of being implemented on the ground. For example, the City needs to see a site survey and defined geometry in terms of technical solutions and the proposed concepts need to be taken to another level of analysis. The City would have to spend a lot of time to get the plan more defined in order to get it to the capital funding level.

The Fruitvale community was doing a master plan to get to next level of implementation. With insistence from the community, City staff was requested to pursue MTC-TLC funding (which has been discontinued). Although the plan was incomplete as far as being at the 35% level, MTC recognized the importance of such a plan that pulls together the needs and priorities from the community level. They saw the passion of the community, and agreed to fund a key segment of the corridor from E. 12th to MacArthur.

A focus group participant suggested that it is not necessarily the responsibility of the community group to make a plan that will be able to push the project to next phase of implementation, but it is the community that pulls together the needs into a coherent vision. It is the responsibility of the engineer to put those needs into an implementable plan, then that engineer needs to come back to the community and ask if they understood the application of needs correctly. From here, the technical plan goes to the City and/or Caltrans to actually break ground through the application of capital funds.

7. How could this project impact or leverage the development of additional planning projects? (Can you provide examples of those projects in your community?)

There were other improvements that were consequently inspired by this Fruitvale Plan. Because the community had a neighborhood plan, they were able to achieve other goals while developing the Fruitvale plan. For example, they were able to

see that pedestrian crosswalks in the Dimond Business District, which were single striped, got lateral striping and they saw a mural project get completed. The Plan catalyzed some of these other transportation-related improvements, even though they might not have been part of the original plan.

A turn-light signal and the cut-outs on Foothill were implemented which seemed to help cut down on congestion and make it more safe for pedestrians.

The resulting plan really is a policy directive from the community to the City that states “now we want this and this is a clear definition and approach for bringing about this improvement.” The idea is that the community can give the plan to Ignacio De La Fuente (City Council Member, District 5), he goes to budget committee and he decides from which funds this project could be funded. This represents a key use of these types of concept documents. The community doesn’t go to Public Works and tell them what do. There was a City plan to reconfigure the intersection and Ignacio found the money to do it at Fruitvale and Foothill Avenues, some of the ideas being pulled from the plan.

The project has helped to leverage efforts of other similar efforts in the community. This is part of the ongoing nature of community activities in the area. People who get together on one issue spin off onto other issues (then try to seek funding for those different goals when they see funds successfully won; it builds confidence).

Improvements at the Cesar Chavez Creek may be related to the successes of the planning grant.

One person said that “nothing in the plan had been implemented.”

8. Assuming that planning is about improving community livability within the built environment (e.g., making mobility in the area more efficient, effective, safe or useful to the residents), what specific examples can you provide that suggest that the Fruitvale Alive! planning process was useful in improving the quality of life for city residents? For example, is the Fruitvale/Foothill intersection was still one of the most dangerous intersections.

There is still a lot of traffic in the area; buses wear holes into pavement. It was noted that there is still a lot of reckless driving. The no-left turn rule has helped the community. But when you have crazy people who drive unsafe, the corner is still very dangerous. The cut-outs may also have helped, but it would be impossible to draw a firm correlation.

In terms of what the plan sought to do, there still are not enough lights on Foothill. The issue remains that traffic has to be reduced and/or slowed, since the avenues are still very dangerous.

The plan did not have the impact that the community sought to have through putting together the plan. At the same time, the plan was necessary first step to

apply for implementation funds. Someone noted that an added benefit of having the completed plan has helped spur interest in opening business since it seemed that the person would come across Dimond Improvement Association website and view the vision plan and see drawings of what the area could look like; this, in turn, helped to lure businesses to the area who have a larger vision.

In comparison to the Dimond District, the Fruitvale District has a lot of poverty, and a lot of turn-over with immigrants. The Dimond District has a good core group of organizers. Fruitvale also has a good group of people who do outreach. However, Fruitvale is so dispersed – Fruitvale Avenue maybe two miles with major intersections with a lot of clusters between. Thus, the participant noted that the Fruitvale area is a lot more challenging in terms of getting plans pushed forward in a consistent way. And there are a lot of people affected by this plan because of density of population; there is also a big commercial district here that could stand to benefit greatly from safety and transportation improvements.

One participant noted that, “The necessity of doing something to improve the area is the driving force – if we didn’t do anything, it would get worse.”

9. What has been the ripple effect of transportation improvements so far implemented through Fruitvale Alive!? What unexpected impacts have you noticed? How do you see this ripple effect evolving over time?

An unexpected impact was not being able to predict that community members who participated in the plan development would be at this very focus group meeting in 2009. The group had hoped during the process that the plan would come to completion, and there are times when folks get cynical, but the follow-up meeting is good because it demonstrates that someone is trying to figure it out and how to make it work better.

Another positive impact of the project process is that the group learned that there are so many little organizations fighting together for common causes. The group made some natural allies because of the planning process funded by the Caltrans grant. The planning process and coming together for a specific plan development can make one feel stronger that there are others that care about the same issues.

10. What will be the highlights that will define the legacy of this planning process? What type of benefits (and challenges?) do you envision will result from your work?

In the last 21 years, significant progress has been made in many aspects, but there is so much more to go. Vacant lots now have a business like a beautiful laundromat. Fruitvale Village now exists. A park has been re-done. The Cesar Chavez monument was erected.

The changes in the neighborhood in the last 15 years have been enormous. The area has become much more attractively vibrant. For awhile, the street seemed to be “in mourning,” but this is not so much the case anymore.

However, there is so much more to do. In particular, freeway issues still exist as a major problem.

Traffic Calming and Safety Enhancement in the Hoopa Valley Indian Reservation; a Conceptual Plan for “Downtown” Hoopa Focus Group

May 13, 2009, 6-7:30 PM

Hoopa Valley, CA

Participants

- Tasha Ahlstrand, Transportation Planner, Caltrans
- Wanda Benedict, Tribal Member/Resident, Hoopa Valley Tribe
- Michael Carpenter, Tribal Member/Resident, Hoopa Valley Tribe
- Tammy Carpenter, Tribal Member/Resident, Hoopa Valley Tribe
- Maggie Dixon, Tribal Council Member, Hoopa Valley Tribal Council
- Norma McAdams, Grants Manager, Hoopa Valley Tribal Government
- Gianna Orozco, Tribal Member/Resident, Hoopa Valley Tribe
- Joseph Orozco Station Manager, KIDE Radio - Tribal Station
- Warren Tamerius, Transportation Planner, Hoopa Valley Roads Department

Project Impetus Questions

1. **From your recollection, how did the planning process for the project get initiated and gain momentum? Are there any anecdotes on how you personally or your agency became involved? In light of other needs in Hoopa Valley, why did transportation planning become a priority for the community?**

The government contracted with a consultant to detail five areas of traffic concern. One particular focus was the traffic coming through Highway 96. Big trucks that use the road do not slow down when coming through Hoopa. Residents use the highway as a local road too. The project team decided to focus the Caltrans grant project on the Highway because of its high use by Hoopa residents as a pedestrian pathway.

The consulting firm which conducted planning studies in Humboldt County came to Hoopa and noted that the area has the highest amount of pedestrian traffic on highway roads that they have seen in Humboldt County.

Planning Process Questions

2. **How would you describe the community process and method(s) that the community used to create the “Downtown” Hoopa Plan? What does an “effective” planning project look like?**

The project team made community members feel like they could actively contribute to the planning process. The community was excited about the project because the topic was a widespread concern.

Project members went out on the street with a tape recorder and asked business owners what they wanted to come out of the beautification project. When project team members asked the public about traffic calming measures they wanted to see implemented in downtown, the public expressed interest in seeing changes beyond just traffic calming. The outreach process provoked serious thought about what the community wanted downtown.

The community design fair was a very successful outreach process. The project team provided great food. Teams competed to design beautification plans. The project team also arranged for photos to be taken which provided a birds-eye view of the area and displayed them at the fair. Participants found the photos interesting since they hadn't considered the area from that vantage point.

Participants supported the idea of having a person who does not reside in the community as a facilitator since he or she wouldn't bring any biases to the discussion.

3. **Looking back at the planning process, what did not work? If you started over, what elements would you focus on that could have been done better?**

Participants expressed frustration that the changes have not been implemented. The project team knew the beautification projects would likely begin in 2012, but could have emphasized that point more during the community outreach process to help manage expectations.

The project scope was quite ambitious and should have been smaller to make the project more manageable.

Impact of Planning Grant Questions

4. **Besides increasing funding, how would you suggest or encourage Caltrans to connect the planning process that is funded by these grants to tangible implementation of the plan you created?**

Caltrans should have a follow-up mini-grant to educate the community about funding options and how to write successful applications.

**5. What will be highlights that will define the legacy of this planning process?
What do you envision will result from your work?**

Prior to the project, the community did not have an opportunity to provide a vision of what they want. Planning had been ad-hoc to meet immediate needs. This project provided the community with an opportunity to offer an affirmative choice rather than a reactive choice.

Participants felt they were inspiring future generations to take care of the land and have pride in their community.

Other tribes are looking at the Hoopa planning process as a model to follow.

Santa Rosa City Wide Creeks Master Plan Focus Group

April 13, 2009, 4-5:30 PM

City of Santa Rosa Public Works Department, San Rosa, CA

Participants

- Alistair Bleifuss, Environmental Specialist, City of Santa Rosa
- Bill Cox, California Department of Fish and Game Biologist
- Nancy Dakin, Environmental Planning Consultant
- Sheri Emerson, Senior Environmental Specialist, City of Santa Rosa
- Colleen Ferguson, Deputy Director Capital Projects Engineering, City of Santa Rosa
- Susan Gorin, Mayor, City of Santa Rosa
- Jason Nutt, Deputy Director Traffic Engineering, City of Santa Rosa
- Steve Rabinowitsh, Former City Councilmember, Santa Rosa Waterways Committee Member
- Allen Thomas, Former Planning Commission member and member of Santa Rosa Waterways Committee
- Carol Vellutini, Sierra Club Redwood Empire Chapter Member

PROJECT IMPETUS QUESTIONS

1. From your recollection, how did the planning process for the Creek Plan get initiated and gain momentum? Are there any anecdotes on how you personally or your agency become involved?

In 1989, some community members saw the creeks were not being maintained. They put together a brochure Creek Dreams to rally people around caring for the Creeks. In response to the community's advocacy, the City created a Santa Rosa Creeks Master Plan.

As development occurred around other creeks in Santa Rosa, the City realized they needed to expand the Santa Rosa Creeks Master Plan to include all of Santa Rosa's major creeks so they could provide direction (e.g., set-up requirements) to developers.

At the same time as the City was strategizing on the planning process for a city wide creeks master plan, the Sonoma County water agency was reviewing creeks maintenance techniques. Clean-up efforts at that time focused on reaching into the creeks to clean out pollution without regard for how the clean-up methods were affecting the vegetation and wildlife. The bike community also was advocating for safer bike paths. These stakeholders, and others, were included in the planning process.

2. **In light of other transportation needs in Santa Rosa such as limited public transit options, increasing congestion, etc., why did creek planning become a priority for the community?**

The City viewed creek planning as meeting multiple community needs. The plan focused on creating a bike path system while also addressing health and environmental issues. In the past, Santa Rosa was behind the curve in being a bicycle-friendly community. The City saw that the creeks provided an excellent core spine for a bike system.

Planning Process Questions

3. **How would you describe the community process and method(s) that the community used to create the Creeks Plan? What does an “effective” planning project look like?**

City staff did a remarkable job making sure all of the stakeholders were at the table. The planning process included five workshops in different locations throughout the City. The input was hands on – participants participated in a dot exercises to express their planning priorities.

The project team learned from earlier battles that took place during the Santa Rose Creek Master Plan. That process was much more contentious than the City-wide Creeks Master Plan. The project team asked participants to place dots on a map showing where they lived, so the project team could identify where opponents to the planning process lived and plan around them.

4. **As you undertook the planning process, how did you know that the planning process was proceeding on the right path to achieve established goals?**

Early in the planning process, the project team met with experts in creeks planning so they could hear about other city’s challenges and successes. The buy-in from community members throughout the planning process indicated to the City the planning process was proceeding in the right direction.

5. **Looking back at the planning process, what did not work? If you started over, what elements would you focus on that could have been done better?**

The Public Works department has just hired an outreach coordinator who has ties to the different ethnic communities in Santa Rosa. She would have enhanced the plan’s outreach efforts.

6. **Santa Rosa is one of the larger cities in the broader Bay Area, and the biggest in the region. Therefore, to what extent do you feel that the planning process engaged the diverse needs of the community in terms of ethnicity, age, socio-economics, and geography? What internal and external barriers existed to prevent certain groups from participating?**

Project team members did notice that the people who used the bike paths (e.g., Latino community members who use the paths to commute to work) did not attend the planning meetings. The City had a difficult time convincing the Latino community to attend meetings.

The schools have been helpful in engaging young people. Some have created an access point between the creeks and the school. The creeks have provided a living lab for science studies.

Impact of Planning Grant Questions

7. **Besides increasing funding, how would you suggest or encourage Caltrans to connect the planning process that is funded by these grants to tangible implementation of the plan you created?**

Caltrans should reframe its mission beyond moving people and goods by road to moving people and by bike paths, trains, and other alternative modes of transportation. One step is to review the agency’s documents and funding requirements so that the language does not focus solely on roads.

Caltrans should adopt a more inclusive approach when developing projects near a City. For example, Caltrans could be more sensitive to community design when developing projects.

Caltrans should provide funding for aesthetic improvements. Pedestrian and bicycle traffic volume tends to be highest in places with the best landscaping and lighting.

8. **Assuming that planning is about making the built environment better, more efficient, effective, safe or useful to the residents, what specific examples can you provide that suggest that the Creeks Planning process was useful in improving the quality of life for city residents?**

The planning process has led to the creation of an improved bike path and pedestrian walkway system and clean creeks for the public to enjoy.

9. **What will be highlights that will define the legacy of this planning process? What do you envision will result from your work?**

The goals of the plan is to create a connected community – one with linkages between neighborhoods, schools, shopping, and nature.