



# Memorandum

**Date:** 09.26.14 **RE:** Citizens Advisory Committee  
October 1, 2014

**To:** Citizens Advisory Committee

**From:** Maria Lombardo – Chief Deputy Director *mel*  
David Uniman – Deputy Director for Planning *D+ll.*

**Subject:** **ACTION** – Adopt a Motion of Support for the Draft Neighborhood Transportation Improvement Program Planning Guidelines

## Summary

One of the recommendations from the San Francisco Transportation Plan was to create a Neighborhood Transportation Improvement Program (NTIP), which provides Prop K funds for community-based planning and for development and implementation of neighborhood-scale capital projects. The draft NTIP planning grant guidelines were developed through a collaborative process with project sponsors. Recognizing the different transportation challenges facing San Francisco's neighborhoods, we have drafted guidelines that allow NTIP planning grants to be tailored to meet each district's or neighborhood's specific needs. Ultimately, all efforts should lead toward prioritization of community-supported neighborhood-scale capital improvements that could be funded by Prop K and/or other sources. The NTIP Planning program provides \$100,000 in Prop K funds for each supervisorial district over the next five years. The \$100,000 can be used for one planning effort or multiple smaller efforts. The expectation is that NTIP funds will leverage other funds. This leveraging would be necessary to fund larger scale more intensive efforts. While anyone can come up with an NTIP planning grant idea, it is the district supervisor who recommends which project(s) will be funded with an NTIP planning grant. The supervisor would initiate the process by contacting NTIP Coordinators at the Transportation Authority and the San Francisco Municipal Transportation Agency who would work with the supervisor and relevant stakeholders throughout the NTIP planning proposal identification and initial scoping process. There have been no substantive changes to the draft guidelines since they were included in the September Citizens Advisory Committee packet. **We are seeking a motion of support for the adoption of the NTIP Planning Guidelines.**

## BACKGROUND

The Transportation Authority's Neighborhood Transportation Improvement Program (NTIP) was developed in response to mobility and equity analysis findings from the San Francisco Transportation Plan (SFIP) and to public and Board desire for more focus on neighborhoods, especially on Communities of Concern and other underserved neighborhoods. The SFIP, which is the city's 30-year blueprint guiding transportation investment in San Francisco, found that walking, biking and transit reliability initiatives are important ways to address socio-economic and geographic disparities. The NTIP responds to these findings.

The overall intent of the NTIP is to develop project pipelines and build community awareness of/capacity to provide input into the transportation planning process, especially in Communities of Concern and other neighborhoods with high unmet needs. The NTIP has two arms: planning grants and capital grants. The latter are intended to provide matching funds to advance project development and (ideally) implementation of two small- to mid-sized capital projects in each district in the next five years.

The purpose of this memorandum is to present the Draft NTIP Planning Guidelines and to seek a motion of support for adoption from the Citizens Advisory Committee (CAC).

## DISCUSSION

The Draft NTIP Planning Guidelines have been developed through a collaborative process with our Technical Working Group, which includes local agency partners such as the Department of Public Works, the San Francisco Municipal Transportation Agency (SFMTA), the San Francisco Planning Department, the Department of Public Health, regional transit operators and others. As part of the development process, we made a concerted effort to draw upon lessons learned from past community-based planning efforts led by the Transportation Authority and our partner agencies. We are appreciative of everyone's thoughtful input and feel that the NTIP draft guidelines, which are included as Attachment 1 to this memo, have benefited from this input.

The draft guidelines were included in the September CAC packet, but not discussed due to time constraints. We have made only non-substantive changes to the guidelines since then. Highlights on the Draft NTIP Planning Guidelines are provided below.

**Goals and Outcomes:** NTIP planning funds can be used for community-based, planning efforts in San Francisco neighborhoods, especially in Communities of Concern or other underserved neighborhoods and areas with at-risk populations (e.g. seniors, children, and/or people with disabilities). Specifically, NTIP planning funds can be used to support neighborhood-scale efforts that identify a community's top transportation needs, identify and evaluate potential solutions, and recommend next steps for meeting the identified needs of the community. NTIP planning funds can also be used to complete additional planning/conceptual engineering for existing planning projects that community stakeholders regard as high priority. All NTIP planning efforts must be designed to address one or more of the following SFTP priorities:

- Improve pedestrian and/or bicycle safety;
- Encourage walking and/or biking;
- Improve transit accessibility; and/or
- Improve mobility for Communities of Concern or other underserved neighborhoods and at-risk populations (e.g., seniors, children, and/or people with disabilities).

Ultimately, NTIP planning efforts should lead toward prioritization of community-supported, neighborhood-scale capital improvements that can be funded by the Transportation Authority's Prop K sales tax for transportation and/or other sources.

**Funding and Eligibility:** The NTIP Planning program provides \$100,000 in Prop K funding for each supervisorial district to use over the next five years, with \$600,000 available for allocation in Fiscal Year 2014/15 and \$500,000 available in Fiscal Year 2015/16. The \$100,000 can be used for one planning effort or multiple smaller efforts. The expectation is that NTIP funds will leverage other funds. This leveraging would be necessary to fund larger scale, more intensive efforts.

All NTIP planning efforts must include a collaborative planning process with community stakeholders such as residents, business proprietors, transit agencies, human service agencies, neighborhood associations, non-profit or other community-based organizations and faith-based organizations. NTIP planning efforts can be led by Prop K project sponsors, other public agencies, and/or community-based organizations. The grant recipient, however, must be a Prop K-eligible sponsor. If a non-Prop K sponsor is leading the NTIP planning project, it will need to partner with a Prop K sponsor or request that a Prop K sponsor act as a fiscal sponsor.

**Project Initiation and Scoping:** NTIP planning grant ideas can be generated from a district supervisor, agency staff, a community-based organization, or a community member. Ultimately, however, the district supervisor (acting in his/her capacity as Transportation Authority Board commissioner) will recommend which project(s) will be funded with a NTIP planning grant.

The process of vetting potential NTIP planning ideas and scoping a planning grant are critical to the success of any planning effort. Thus, the guidelines describe a project initiation and scoping process that is necessarily iterative and collaborative in nature. It also relies upon NTIP Coordinators at the Transportation Authority and SFMTA to assist with this important step. When a district supervisor is interested in exploring NTIP proposals, he/she will need to contact the designated NTIP Coordinators. They will then work with the district supervisor and other relevant stakeholders to identify an eligible NTIP planning proposal and reach agreement on purpose and need, what organization will lead/support the effort, develop a summary scope, identifying desired outcomes and/or deliverables, and preparing an initial cost estimate and funding plan. The NTIP Coordinators will continue to facilitate the scoping effort through development of a project charter that will document agreements reached regarding the project's purpose, scope, schedule, budget, funding plan, and the responsibilities of all participants and through grant award.

Once awarded Prop K funds, the NTIP planning grant will be expected to be completed within a two year timeframe, culminating in a final report to the Board on key findings, recommendations, and next steps. NTIP planning recommendations may be prioritized for Prop K and other funds programmed or prioritized by the Transportation Authority.

**We are seeking a motion of support for the adoption of the NTIP Planning Guidelines.**

## **ALTERNATIVES**

1. Adopt a motion of support for the adoption of the NTIP Planning Guidelines, as presented.
2. Adopt a motion of support for the allocation adoption of the NTIP Planning Guidelines, with modifications.
3. Defer action, pending additional information or further staff analysis.

## **FINANCIAL IMPACTS**

There are no financial impacts associated with the proposed action. The Transportation Authority Board has already approved programming of \$600,000 in Prop K funds in Fiscal Year 2014/15 and \$500,000 in Fiscal Year 2015/16 funds for NTIP planning grants as part of approval of the 2014 Prop K 5-Year Prioritization Programs. Allocation of funds for NTIP planning grants is subject to separate action by the Board.

## **RECOMMENDATION**

Adopt a motion of support for the adoption of the NTIP Planning Guidelines.

Attachment:

1. Draft Neighborhood Transportation Improvement Program Planning Guidelines



# Neighborhood Transportation Improvement Program Draft Planning Guidelines



DRAFT

The Neighborhood Transportation Improvement Program (NTIP) is made possible by the San Francisco County Transportation Authority through grants of Proposition K (Prop K) local transportation sales tax funds. Prop K is the local sales tax for transportation approved by San Francisco voters in November 2003.



Cover photo of pedestrians and cyclists courtesy Lynn Friedman, Flickr Creative Commons;  
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# Contents

<b>Overview</b>	<b>2</b>
Why create a Neighborhood Transportation Improvement Program (NTIP)?	
What do we want to achieve with the NTIP?	
What type of work does the NTIP fund?	
How much funding is available?	
<b>Eligibility</b>	<b>2</b>
What types of planning efforts can be funded?	
Who can lead an NTIP planning effort?	
How will proposals be screened for eligibility?	
What specific activities and expenses are eligible for reimbursement?	
<b>Project Initiation and Scoping</b>	<b>3</b>
Where do NTIP planning ideas come from?	
How does an idea develop into an NTIP planning grant?	
<b>What are the grant award terms?</b>	<b>4</b>
Are there timely use of funds deadlines?	
What are the monitoring, reporting, and attribution requirements?	
<b>How do I get more information?</b>	<b>5</b>
<b>Grant Process Flow-chart</b>	<b>6</b>



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## Overview

### WHY CREATE A NEIGHBORHOOD TRANSPORTATION IMPROVEMENT PROGRAM (NTIP)?

The Transportation Authority's NTIP was developed in response to mobility and equity analysis findings from the San Francisco Transportation Plan (SFTP) and to public and the Transportation Authority Board's desire for more focus on neighborhoods, especially on Communities of Concern<sup>1</sup> and other underserved neighborhoods. The SFTP, which is the city's 30-year blueprint guiding transportation investment in San Francisco, found that walking, biking and transit reliability initiatives are important ways to address socio-economic and geographic disparities. The NTIP is intended to respond to these findings.

### WHAT DO WE WANT TO ACHIEVE WITH THE NTIP?

The purpose of the NTIP is to build community awareness of, and capacity to provide input to, the transportation planning process and to advance delivery of community-supported neighborhood-scale projects. The latter can be accomplished through strengthening project pipelines or helping move individual projects more quickly toward implementation, especially in Communities of Concern and other neighborhoods with high unmet needs.

### WHAT TYPE OF WORK DOES THE NTIP FUND?

NTIP planning funds can be used for community-based planning efforts in San Francisco neighborhoods, especially in Communities of Concern or other underserved neighborhoods and areas with vulnerable populations (e.g., seniors, children, and/or people with disabilities). Specifically, NTIP planning funds can be used to support neighborhood-scale efforts that identify a community's top transportation needs, identify and evaluate potential solutions, and recommend next steps for meeting the identified needs. NTIP planning funds can also be used to complete additional planning/conceptual engineering for existing planning projects that community stakeholders regard as high-priority. All NTIP planning efforts must be designed to address one or more of the following SFTP priorities:

- Improve pedestrian and/or bicycle safety
- Encourage walking and/or biking;
- Improve transit accessibility
- Improve mobility for Communities of Concern or other underserved neighborhoods and vulnerable populations (e.g., seniors, children, and/or people with disabilities).

Ultimately, NTIP planning efforts should lead toward pri-

<sup>1</sup> Communities of Concern in San Francisco as defined by the Metropolitan Transportation Commission include Downtown/Chinatown/North Beach/Treasure Island, Tenderloin/Civic Center, South of Market, Western Addition/Haight/Fillmore, Inner Mission/Potrero Hill, Bayview/Hunters Point/Bayshore, Outer Mission/Crocker-Amazon/Ocean View. Local San Francisco agencies plan to revisit and potentially adjust these designations in the coming year.

oritization of community-supported, neighborhood-scale capital improvements that can be funded by the Transportation Authority's Prop K sales tax for transportation and/or other sources.

### HOW MUCH FUNDING IS AVAILABLE?

The NTIP Planning program provides \$100,000 in Prop K funding for each supervisorial district to use over the next five years (Fiscal Years 2014/15–2018/19). A maximum of \$600,000 is available for grants in Fiscal Year 2014/15. The \$100,000 can be used for one planning effort or multiple smaller efforts. No local match is required for planning grants, though it is encouraged.

The Transportation Authority has also programmed just over \$9.6 million in Prop K matching funds for implementation of NTIP planning grant recommendations during the next five years. During this first cycle of the NTIP, the capital match funds can also be used to fund other community-supported, neighborhood-scale projects that already have been identified and are being prepared for delivery in the next five years.

## Eligibility

### WHAT TYPES OF PLANNING EFFORTS CAN BE FUNDED?

Examples of eligible planning efforts include:

- District-wide needs and prioritization processes (e.g., the Sunset District Blueprint).
- Project-level plans or conceptual designs for smaller efforts (e.g., advancing conceptual design of a high priority project identified in a prior community planning effort, community mini-grants, safety project concepts development, and transportation demand management planning including neighborhood parking management studies).
- Identifying and advancing design of low-cost enhancements (e.g., new crosswalks, trees, sidewalk bulbouts) to a follow-the-paving project.
- Traditional neighborhood transportation plan development (e.g., Tenderloin-Little Saigon Neighborhood Transportation Plan, Mission District Streetscape Plan).
- Corridor plans (e.g., Leland Avenue Street Design Project, McLaren Park Needs Assessment/Mansell Corridor Improvements, and Columbus Avenue Neighborhood Transportation Study).

The expectation is that NTIP funds will be leveraged like other Prop K funds. This leveraging would be necessary to fully fund some of the larger scale and more intensive efforts listed above. (A traditional neighborhood transportation plan might run \$300,000; a corridor plan could be much more expensive, depending on the scope). Without leveraging, a \$100,000 NTIP planning grant could fund the smaller-scale planning efforts noted in the first three bullet points.

All NTIP planning efforts must include a collaborative planning process with community stakeholders such as residents, business proprietors, transit agencies, human service agencies, neighborhood associations, non-profit or other community-based organizations and faith-based organizations. The purpose of this collaboration is to solicit comments from these stakeholders, review preliminary findings or designs with them, and to utilize their perspective in identifying potential strategies and solutions for addressing transportation needs.

#### WHO CAN LEAD AN NTIP PLANNING EFFORT?

NTIP planning efforts can be led by Prop K project sponsors, other public agencies, and/or community-based organizations. The grant recipient, however, must be one of the following Prop K-eligible sponsors: the Bay Area Rapid Transit District (BART), the Peninsula Corridor Joint Powers Board (Caltrain) the Planning Department, the San Francisco County Transportation Authority (Transportation Authority or SFCTA), the San Francisco Municipal Transportation Agency (SFMTA), or San Francisco Public Works (SFPW). If a non-Prop K sponsor is leading the NTIP planning project, it will need to partner with a Prop K sponsor or request that a Prop K sponsor act as a fiscal sponsor.

#### HOW WILL PROPOSALS BE SCREENED FOR ELIGIBILITY?

In order to be eligible for an NTIP Planning grant, a planning effort must satisfy all of the following screening criteria:

- Project sponsor is one of the following Prop K project sponsors: BART, Caltrain, the Planning Department, SFCTA, SFMTA, SFPW—or is partnering with a Prop K-eligible sponsor (either as a partner or a fiscal sponsor).
- Project is eligible for funding from Prop K.
- Project is seeking funds for planning/conceptual engineering phase. A modest amount of the overall grant may be applied toward environmental clearance (typically for categorical exemption types of approvals), but this may not represent a significant portion of proposed expenditures.
- Cumulative NTIP requests for a given supervisorial district do not exceed the maximum amount available for each supervisorial district (i.e., \$100,000).
- Project will address at least one of the SFTP priorities: improve pedestrian and/or bicycle safety, encourage walking and/or biking, improve transit accessibility, and/or improve mobility for Communities of Concern or other underserved neighborhoods and at-risk populations (e.g., seniors, children, and/or people with disabilities).
- Project is neighborhood-oriented and the scale is at the level of a neighborhood or corridor. The project may be district-oriented for efforts such as district-wide prioritization efforts, provided that the scope is compatible with the proposed funding.

- Project must include a collaborative planning process with community stakeholders.
- Planning project is proposed to be completed in two years.

#### WHAT SPECIFIC ACTIVITIES AND EXPENSES ARE ELIGIBLE FOR REIMBURSEMENT?

Direct costs must be used only for planning-related activities. Eligible costs include: community surveys, data gathering and analysis, community meetings, charrettes, focus groups, planning and technical consultants, outreach assistance provided by community-based organizations, developing prioritized action plans, conceptual or 30% design drawings, cost estimates, and bilingual services for interpreting and/or translation services for meetings. Further details on eligible expenses are included in the Prop K Standard Grant Agreement that will be executed by the Transportation Authority and the Prop K grant recipient.

## Project Initiation and Scoping

#### WHERE DO NTIP PLANNING IDEAS COME FROM?

The NTIP sets aside Prop K funds for each district supervisor to direct funds to one or more community-based, neighborhood-scale planning efforts in the next five years. Ultimately, the district supervisor (acting in his/her capacity as a Transportation Authority Board commissioner) will recommend which project(s) will be funded with an NTIP planning grant. All projects must be consistent with the adopted guidelines.

Anyone can come up with an NTIP planning grant idea, including, but not limited to, a District Supervisor, agency staff, a community-based organization, or a community member. There is no pre-determined schedule or call for projects for the NTIP planning grants. Rather, each Transportation Authority Board member will contact the Transportation Authority's NTIP Coordinator when s/he is interested in exploring NTIP proposals. Board members may already have an idea in mind, seek help from agency staff in generating ideas, or solicit input from constituents and other stakeholders. See below for how these ideas are vetted and turned into NTIP planning grants.

#### HOW DOES AN IDEA DEVELOP INTO AN NTIP PLANNING GRANT?

**INITIATING A REQUEST:** The District Supervisor initiates the process by contacting the Transportation Authority's or SFMTA's NTIP Coordinator with a planning proposal, a request to help identify potential planning project ideas, or to help with a formal or informal call for projects for his or her respective district.

The Transportation Authority and the SFMTA have designated NTIP Coordinators who will work collaboratively to implement the NTIP Planning grant program. The NTIP Coordinators will work with the District Supervisor and any



relevant stakeholders throughout the NTIP planning proposal identification and initial scoping process. They will be responsible for seeking input from appropriate staff within their agencies, as well as from other agencies depending on the particular topic.

**VETTING IDEAS AND SCOPING:** Once contacted by a District Supervisor, the SFCTA and SFMTA NTIP Coordinators will establish a dialogue with the relevant District Supervisor and agency staff to develop an understanding of the particular neighborhood’s needs and concerns that could be addressed through a planning effort, to evaluate an idea’s potential for addressing identified issues, and to explore whether complementary planning or capital efforts are underway, in the pipeline, or have already occurred.

This step in the process is necessarily iterative and collaborative in nature. It involves working with the District Supervisor to identify an eligible NTIP planning proposal and reaching agreement on the purpose and need, what organization will lead/support the effort, developing a summary scope, identifying desired outcomes and/or deliverables, and preparing an initial cost estimate and funding plan.

NTIP planning grant funds are modest, but a great deal can be accomplished depending on how the planning effort is scoped and how it leverages other resources (e.g., existing plans, staff, other fund sources, concurrent planning and design efforts, etc.). The checklist shown in Table 1 reflects elements that are typically necessary to support a strong NTIP planning proposal.

As the project scope begins to solidify, another key aspect to address is determining the lead agency and identifying the roles of other agencies and stakeholders that need to be involved. The SFCTA and SFMTA NTIP Coordinators will assist with this effort, which requires consideration of mul-

iple factors such as how well the NTIP planning proposal matches an agency’s mission and goals, and current priorities; staff resource availability during the proposal timeframe; and availability of consultant resources to address staff resource constraints. The Transportation Authority is willing to provide access to its on-call consultants to assist with NTIP planning efforts if that is found to be a viable approach to a particular planning proposal.

Agreeing upon the lead agency and the timing of the planning effort are important outcomes of the scoping phase. Based on prior experience and feedback from project sponsors, it is clear that implementation agency participation in the project initiation and scoping process and involvement in some form in the planning effort (from leading the effort to strategically providing input and reviewing key deliverables) helps ensure that the recommendations stemming from the study will be prioritized sooner rather than later in that agency’s work program.

**DEVELOPING A PROJECT CHARTER:** Once an idea for an NTIP planning proposal has become more refined, the NTIP Coordinators will assist the lead agency with development of a project charter. The intent of the charter is to document agreements reached regarding the project’s purpose, scope, schedule, budget, funding plan, and the responsibilities of all participants. It may also include references to other relevant information such as agreements to exclude certain items from the scope, target milestones that need to be met to allow coordination with another project, or key risk factors that may be beyond the parties’ control.

Sponsors may use their own project charter template or the NTIP Project Charter template, as long as they have substantially the same information.

Concurrent with development of the project charter, the lead agency (or the grant recipient if it is a different entity) should prepare a Prop K allocation request (See next section).

**REQUESTING ALLOCATION OF FUNDS:** The designated grant recipient needs to complete a Prop K allocation request form that builds off of the project charter and details the agreed-upon scope, schedule, cost and funding plan for the project. Transportation Authority staff will review the allocation request to ensure completeness. Once it is finalized the funding request will go through the next monthly Transportation Authority Board cycle for approval. This involves review and action by the Citizens Advisory Committee, Plans and Programs Committee, and Transportation Authority Board.

## What are the grant award terms?

All NTIP planning projects must adhere to the Prop K Strategic Plan policies and the requirements set forth in the Prop K Standard Grant Agreement. (see a sample SGA<sup>2</sup>). The sections below highlight answers to a few commonly asked questions.

Table 1.

### Checklist for Developing a Strong NTIP Planning Grant Proposal

Does your planning proposal have...?

- ✓ Clear purpose/need statement and goals
- ✓ Clear list of deliverables/outcomes
- ✓ Well-defined scope, schedule, and budget
- ✓ Clear and diverse community support
- ✓ Coordination with other relevant planning efforts
- ✓ Inclusive community engagement strategy
- ✓ Community of Concern or underserved community focus
- ✓ Appropriate funding/leveraging commensurate with proposed scope
- ✓ Implementation model (lead agency; agency and community roles defined)

<sup>2</sup> [www.sfcta.org/sites/default/files/content/Programming/SGA\\_Sample.pdf](http://www.sfcta.org/sites/default/files/content/Programming/SGA_Sample.pdf)

**ARE THERE TIMELY USE OF FUNDS DEADLINES?**

Planning efforts must be completed within two years of the grant award. If a grant recipient does not demonstrate adequate performance and timely use of funds, the Transportation Authority may, after consulting with the project sponsor and relevant District Supervisor, take appropriate actions, which can include termination or redirection of the grant.

**WHAT ARE THE MONITORING, REPORTING, AND ATTRIBUTION REQUIREMENTS?**

NTIP planning grants will be subject to the same monitoring, reporting and attribution requirements as for other Prop K grants. Requirements are set forth in the Prop K Standard Grant Agreement and include items such as including appropriate attribution on outreach fliers and reports, preparing quarterly progress reports, and submitting a closeout report upon project completion.

Upon completion of each planning project, project sponsors will report to the Transportation Authority Board on key findings, recommendations, and next steps, including implementation and funding strategy. The Board will accept or approve the final report for the NTIP planning grant.

**How do I get more information?**

Visit the Transportation Authority's website at:

[www.sfcta.org/ntip](http://www.sfcta.org/ntip)

Or contact one of the NTIP coordinators:

Transportation Authority:

Anna LaForte, 415.522.4805, [anna.laforte@sfcta.org](mailto:anna.laforte@sfcta.org)

SFMTA:

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# NTIP Planning Grant process Flow-chart



The NTIP is funded by grants of Proposition K local transportation sales tax funds.