

DEPARTMENT OF TRANSPORTATION

FEDERAL TRANSIT ADMINISTRATION

Title: Broad Agency Announcement for Innovative Small Research Projects to Advance Public Participation Related to Public Transportation Planning.

Summary: The Federal Transit Administration (FTA) is soliciting proposals for applied research in the area of public participation as it relates to the planning of public transportation projects and programs. The purpose of the Public Transportation Participation (PTP) Program, as called for under Section 3046 of the *Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users* (SAFETEA-LU), is to support the research and development of innovative approaches to enhance the quality and level of public participation in public transportation planning.

FTA has budgeted approximately \$1,028,000 for conducting research under this third phase of the PTP Program. Funding for future years of the Program will be based on availability of funds. Projects currently funded are listed at http://www.fta.dot.gov/planning/programs/planning_environment_5925.html

I. BACKGROUND AND OBJECTIVES

Public participation is an important factor in the transportation planning process. SAFETEA-LU (23 CFR Part 450.316) requires each metropolitan planning organization (MPO) to develop and utilize a “Participation Plan” that provides reasonable opportunities for “interested parties” to comment on the content of the metropolitan transportation plan and metropolitan transportation improvement program. The “Participation Plan” must be developed “in consultation with all interested parties,” a requirement intended to afford parties who participate in the metropolitan planning process a specific opportunity to comment on the plan prior to its approval. In addition to preparing their plans, MPOs and States must employ visualization techniques to the maximum extent practicable and otherwise make long range transportation plans and transportation improvement plans (TIPs) available for public review in electronically accessible formats and other means such as the World Wide Web.

Achieving effective, informed public participation on a scope and scale as broad as metropolitan and statewide planning continues to be a challenge. Traditionally, public transportation agencies have focused their public participation efforts on specific corridors, service proposals, and travel markets where mobility needs have been most prominent. Although there continues to be a need for good public involvement techniques in these areas, typically lacking is attention to community input in a broader context of access and mobility to communities across the metropolitan area, and strategies for accessing the necessary resources. Furthermore, this tight focus on projects and immediate service areas often limits the institutional ability to analyze issues of the human and natural environment or integrate them into public transportation decisionmaking.

Section 3046(a)(11) of SAFETEA-LU provides for PTP Program funds to support small applied research projects that focus on one or more of the following program activities. Prospective partners are encouraged to consider the examples listed under the eligible activities as key topic areas.

1. Improving data collection analysis and transportation access for all users of the public transportation systems.
Example: Application and assessment of alternative approaches to evaluating the effectiveness of public participation programs.
2. Supporting public participation through the project development phases.
Example: Conduct public participation for integrated planning/project development by promoting a fuller understanding of how to get involved at which stages in the planning-project development continuum, and with what objectives.
3. Using innovative techniques to improve the coordination of transportation alternatives.
Example: Test alternative strategies for effective coordination and consultation with officials and stakeholders involved in other types of planning that affect, or are affected by, transportation.
4. Enhancing the coordination of public transportation benefits and services.
Examples:
 - Conduct public participation on linking transportation and land use, including transit-oriented development;
 - Conduct effective public participation on Indian Tribal lands;
 - Conduct public participation in planning involving National Parks and Public Lands, with Federal land management agencies.
5. Contracting with stakeholders to focus on the delivery of transportation plans and programs.
Example: Implement a partnered approach in which to involve traditionally underserved individuals (such as those with limited English proficiency, children, the elderly, the disabled, and individuals with low literacy or low income) in the transportation planning and decisionmaking processes.
6. Measuring and reporting on the annual performance of the transportation systems.
Example: Collect and analyze data on transit ridership patterns, so that the results could be used to validate travel forecasting models, advise public involvement processes, and serve other performance monitoring and reporting activities.

Selected proposals will yield innovative products and approaches that improve the state of the practice of public participation in transportation planning (from long range planning to project development and other phases) at the regional or project level. Proposals must describe the project deliverables and how they will improve the state of the practice.

II. AWARD INFORMATION

FTA anticipates entering into cooperative agreements with research partners and has budgeted approximately \$1,028,000 for the third year of the PTP Program. Support of research in subsequent years is contingent on the continuing availability of funding for the PTP Program. The PTP Program is designed to support small, applied research efforts. In keeping with that concept, FTA anticipates awarding 6-10 proposals for work to be completed within 12-18 months of receipt of the funding award. FTA also may choose to fund only a part of a proposed project. FTA will consider projects of longer duration, but the work activities and product delivery must be phased in such a way as to produce a viable first-phase product. After the first phase of a

project, funding for subsequent phases will be contingent on the availability of funds and satisfactory progress against planned work to that point. FTA also reserves the right to not fund proposed projects. FTA may withdraw its obligation to provide Federal assistance if the recipient does not submit the formal application (to be completed after selection) within 90 days following the date of the offer.

Deadline/Target Dates: Proposals must be received on or before 4:00 p.m. Eastern Standard Time on May 1, 2008. Proposals must be submitted as a PDF file through <http://www.grants.gov/>.

III. ELIGIBILITY INFORMATION

Federally recognized Indian tribal governments, State and local governments and departments of transportation, metropolitan planning organizations, and academic and not-for-profit institutions located in the U.S. are eligible to apply to this program.

Individuals, profit-making firms, and Federal agencies are not eligible to apply to this program. However, personnel in profit-making firms may participate as non-funded co-investigators or through sub-contracts with the awardee institution.

Potential applicants who are uncertain of their eligibility should contact Effie Stallsmith, Victor Austin, or Sharon Chan Edmiston (listed in contacts).

IV. PROPOSAL PREPARATION AND SUBMISSION INSTRUCTIONS

Potential applicants are advised to familiarize themselves with the application process on www.grants.gov well before the submission deadline. Eligible entities must have or must secure a DUNS number for the purposes of formal application and potential entry into a cooperative agreement with FTA. The DUNS number is a unique nine-character number that identifies your organization. It is a tool of the federal government to track how federal money is distributed. Each FTA applicant's DUNS number will be maintained as part of the applicant's profile. This number can be obtained free through the D&B website (http://www.dnb.com/US/duns_update/).

The applicant should submit a project narrative statement describing the project objectives, proposed work tasks, outputs, and benefits of the proposed project for which Federal assistance is being requested. The narrative should also indicate whether matching funds would be provided, the expected duration of the project, and other information that would assist FTA to understand and evaluate the project. Each submission for a project narrative statement should not exceed 12 pages (either single- or double-spaced) and must include the information listed below:

a. **Project Title, Objective(s), and Contact Person.** At the top of the document, state the title of the project and provide 2-3 sentences describing the intended project goal. Also list the contact person for this application along with his or her address, title, phone number, fax number, and email address.

b. **Statement of the Problem(s).** Provide a description of the problem to be addressed by the proposed project. Identify any relevant physical, economic, social, technological, financial, institutional, or other problems that the project directly addresses. Supporting documentation or other information from concerned interests other than the applicant may be used. Any relevant data based on planning studies should be included or footnoted.

c. **Scope.** Outline a plan of action organized by work task pertaining to the scope and detail of how the proposed work will be accomplished (provide identification of the person or organization to be responsible for the development, coordination, and management of specific activities). List estimated milestone dates for major activities and products.

Cite factors that might accelerate or impede the work and the reason for taking the approach described as opposed to others. Describe any unusual features of the project, such as design or technological innovations, reductions in cost or time, benefits to riders, or extraordinary social and community involvement.

Funding for the project should be justified in terms of the six eligible program activities. Applicants are asked to include a table (see example below) to provide a quick summary complementing the detailed description in the proposal narrative. Although supporting several activities is desirable, proposals should clearly demonstrate the connection between the planned work and the specific program activities cited.

Program Activities (see section I)	Addressed by Proposal (Yes / No)	Brief description (1-2 sentences) of how the planned project supports PTP program activities
1. Improving data collection analysis and transportation access for all users of the public transportation systems.		
2. Supporting public participation through the project development phases.		
3. Using innovative techniques to improve the coordination of transportation alternatives.		
4. Enhancing the coordination of public transportation benefits and services.		
5. Contracting with stakeholders to focus on the delivery of transportation plans and programs.		
6. Measuring and reporting on the annual performance of the transportation systems.		

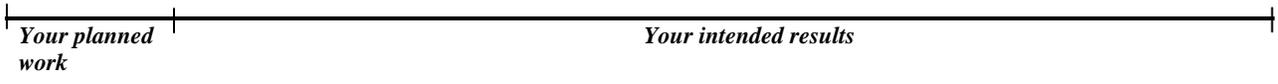
d. **Period of Performance.** Provide a total period of performance and schedule for completion of tasks. If a proposal specifies work that will exceed 18 months from award to delivery of outputs, the proposal must segment the work into phases. Deliverables ready for implementation at the conclusion of phase one must be identified. [If a phased plan is being proposed, describe additional phases on a separate page or separate pages.]

e. **Cost.** Provide a cost proposal indicating staffing levels, hours, direct costs for the total project and amount of funding requested from FTA. As appropriate, the cost proposal should also show the nature and value of resources that the researcher will contribute. [If a phased plan is being proposed, describe additional phases on a separate page or separate pages.]

f. **Measuring Results -- Outputs, Outcomes, and Evaluation.** Demonstrate how your project will improve the state of the practice of public participation in transportation planning at the regional or project level. Use the following table to describe the anticipated results of your research project and how performance will be evaluated. Describe your data collection plan separately, if applicable. [The examples provided are to serve as a guide only, and should not be included in the final table.] This information may be used by FTA to assist in evaluating the PTP Program as a whole.



PROJECT TASK /ACTIVITY	OUTPUTS	OUTPUT PERFORMANCE MEASURES	OUTCOMES	OUTCOME PERFORMANCE MEASURES	IMPACTS
<i>Describe each of the activities you plan to conduct in your project.</i>	<i>For each project activity, identify what service delivery or implementation targets you aim to produce.</i>	<i>List the indicators for gauging project performance.</i>	<i>Identify the short-term or long-term outcomes you expect to achieve for each activity.</i>	<i>List the indicators for gauging project performance.</i>	<i>Describe the impacts or changes you anticipate in 7-10 years with each activity as a result of your project or program.</i>
E.g. (1) Conduct workshops	# of workshops held	# of participants attending workshops	(Participants') better understanding of a topic	% increase from pre- to post-survey scores or test scores	More informed decisionmaking
	# and type of materials produced and distributed	Types of participants attending course (demographic breakdown)	(Participants') improved understanding of a process	(Participants') evaluation of effectiveness of workshop	
E.g. (2) Conduct survey on MPO use of visualization tools	Report providing analysis of results	Report produced on time, on budget, and on schedule	Understanding the efficacy of visualization tools	# of MPOs who adopt best practices outlined in report	More effective public involvement in decisionmaking
			More effective use of visualization tools in public involvement processes		



- **Outputs.** Outputs are research or work products related to PTP program objectives that will be produced over a period of time or by a specified date. Examples include interim, final, or other reports, brochures, outreach meetings, etc.
- **Outcomes.** Outcomes are the results, effects, or consequences expected to result from carrying out the project tasks or activities related to PTP program objectives. Examples include specific changes in attitudes, behaviors, knowledge, or skills. Outcomes may not necessarily be achievable within the cooperative agreement funding period.

- **Performance Measures.** Performance measures are the indicators, statistics, or metrics used to gauge project or program performance. Performance measures for both outputs and outcomes should be provided.
- **Impacts.** Impacts are fundamental intended changes as a result of project or program activities.

Costs of project evaluation must be included in the project budget. The project participant may enter into third party contracts for completing the evaluation requirement on the condition that each third party contract complies with the requirements of FTA Circular 4220.1E, “Third Party Contracting Requirements” and any revisions to the requirements. Please refer to FTA Circular 4220.1E for further guidance on third party procurement requirements at: http://www.fta.dot.gov/laws/circulars/leg_reg_4063.html.

g. Dissemination Strategy. In one or two paragraphs, suggest an appropriate dissemination strategy for informing the public (both local and national audiences) about the merits of the research project. Include (1) details of how the research products would be circulated within the project awardees’ local communities; and (2) recommend an approach that FTA could employ to publicize the research project and products.

h. Project Staff. List each organization, operator, consultant, or other key individuals who will work on the project, along with short descriptions of their appropriate technical expertise and experience (such as past, relevant research). Attach resumes or curriculum vitae if available. For the main point of contact, provide the full name, title, address, telephone number, fax number, and an e-mail address. Project staff resumes or curriculum vitae will not count towards the total page tally for proposal submissions.

i. Geographic Location, Target Groups, and Emphasis Areas. Give a precise location of the project and identify the area(s), and target group(s) to be directly served by the proposed effort. Maps or other graphic aids may be attached as needed.

V. PROJECT SELECTION CRITERIA

FTA aims to select a broad range of projects such that the PTP Program yields benefits across a range of planning contexts and includes a variety of audiences in rural or small communities, MPOs, transit agencies, State Departments of Transportation (DOTs), not-for-profit organizations, and others. FTA will establish a Technical Working Group to review proposals and recommend award selections. The Technical Working Group may also communicate with relevant FHWA and FTA field staff during the proposal review process.

Proposals will be selected for funding based primarily on technical importance to the U.S. DOT and FTA given the objectives of the PTP Program, and fund availability. Criteria that will be used to evaluate proposals include:

- Technical importance and innovation;
- Cost of proposal/ funds leveraged; and
- Applicant capabilities.

VI. AWARD ADMINISTRATION INFORMATION

a. Notification. After FTA has selected the proposals to be funded, all applicants will be notified by e-mail or telephone of their status. Notification to all applicants will take place by **July 1, 2008**; FTA will notify applicants in advance if this date changes.

A package containing a formal “award letter,” instructions for entering into a cooperative agreement with FTA, copies of agreements for execution, and an approved budget will be sent to organizations (listed point of contact) whose submitted proposals have been selected for funding under the PTP Program. The “award letter” will indicate the date of the award and set forth any special conditions under which the project is approved. The date of award is the date that authorizes the recipient to incur project costs.

b. Execution of the FTA Agreement. The recipient should execute and date the copies in accordance with the instructions provided in the award package, and return two copies of the FTA agreement to the FTA Office of Chief Counsel per the instructions. FTA should be advised promptly if the recipient is unable to execute the FTA agreement within 90 days after the obligation date, (i.e., the date on which FTA officially approved a project).

c. Start Date and Incurred Costs. Absent special circumstances, costs incurred prior to FTA award are not eligible as project expenses. Absent highly unusual circumstances, FTA cannot retroactively approve a project. The recipient may begin to incur project costs as of the date the award letter is signed by FTA and submitted to the awardee for signature.

VII. CONTACTS FOR ADDITIONAL INFORMATION

For questions about the PTP Program and this solicitation, please contact Effie Stallsmith and Victor Austin at the FTA Office of Planning and Environment (Effie.Stallsmith@dot.gov or 202-366-5653; Victor.Austin@dot.gov or 202-366-2996) and Sharon Chan Edmiston at the U.S. DOT Research and Innovative Technology Administration (RITA) Volpe Center (Sharon.ChanEdmiston@volpe.dot.gov or 617-494-2405). The Volpe Center is assisting FTA in the administration of the PTP Program.

Prospective offerors may also wish to visit the following websites for more information:

- PTP Program: http://www.fta.dot.gov/planning/programs/planning_environment_5925.html
- FTA’s planning programs and research priorities: http://www.fta.dot.gov/planning_environment.html
- FTA/FHWA Transportation Planning Capacity Building Program: <http://www.planning.dot.gov/>
- For more on managing projects in accordance with FTA Circular 6100.C: Transit Research and Technology Programs: Application Instructions and Program Management Guidelines: http://www.fta.dot.gov/laws/circulars/leg_reg_4121.html. This includes requirements on project management and administration including quarterly reporting, financial management, and payment.