



California Department of Transportation
Division of Transportation Planning
Office of Community Planning

Community-Based & Environmental Justice Transportation Planning Grants Handbook

Handbook for Caltrans District Staff,
Grant Applicants, and Recipients

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Community-Based & Environmental Justice Transportation Planning Grants Hand Book

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Introduction and Purpose

The Community-Based Transportation Planning (CBTP) and Environmental Justice (EJ) Transportation Planning Grants Program Handbook is designed to provide guidance and information regarding the submission of applications to the grant programs and to conduct grant-funded activities. The Grants Program Handbook is for the California Department of Transportation (Caltrans) District staff and Grant Applicants/Recipients to use as an orientation and reference tool along with the enclosed materials to facilitate and improve the application process, contracting, and project implementation.

General Information

Grant Goals and Objectives

The Caltrans transportation planning grant programs are intended to promote a balanced, comprehensive, multi-modal transportation system. The goals provide a framework for the grant programs. The Environmental Justice Transportation Planning and the Community-Based Transportation Planning Grant programs reflect the State's goals. The results of these grants should ultimately lead to the adoption, initiation, and programming of transportation improvements. A key shared goal of both programs is the presence of a robust public engagement element in the planning process.

California Transportation Plan Goals

- **Improve Mobility and Accessibility:** expanding the system and enhancing modal choices and connectivity to meet the State's future transportation demands.
- **Preserve the Transportation System:** maintaining, managing, and efficiently utilizing California's existing transportation system.
- **Support the Economy:** maintaining, managing, and enhancing the movement of goods and people to spur the economic development and growth, job creation, and trade.
- **Enhance Public Safety and Security:** ensuring the safety and security of people, goods, services, and information in all modes of transportation.
- **Reflect Community Values:** finding transportation solutions that balance and integrate community values with transportation safety and performance, and encourage public involvement in transportation decisions.

- Enhance the Environment: planning and providing transportation services while protecting our environment, wildlife, and historical and cultural assets.

Community Based Transportation Planning Goals

The CBTP Grant Program funds coordinated transportation and land-use planning projects that encourage community involvement and partnership. Projects must support livable/sustainable community concepts with a transportation or mobility objective, and promote community identity and quality of life

Environmental Justice Transportation Planning Goals

EJ Transportation Planning Grant Program funds are intended to promote the involvement of low-income and minority communities, and Native American Tribal governments, in the planning of transportation projects to prevent or mitigate disproportionately negative impacts while improving mobility, access, safety, and opportunities for affordable housing and economic development.

Grant Program Information

The Office of Community Planning (OCP) is the office responsible for managing the CBTP and EJ Grant Programs. This office is located within the Caltrans Division of Transportation Planning (DOTP) in the Sacramento headquarters building.

CBTP and EJ are competitive transportation planning grant programs funded from the State Highway Account (SHA). The funds are considered "local assistance" funds. Each program anticipates receiving \$3 million in State funds each fiscal year (FY), July 1 through June 30, for a total of \$6 million annually. All projects conducted under the grant programs are subject to a work completion deadline of February 28, 2012, for the FY 2009/2010 grant cycle. Ultimate fund availability expires on June 30, 2012.

There are 12 Caltrans District offices that are identified by geographic territory. Please refer to Appendix A titled "Caltrans District Boundaries and Mailing Addresses" and locate your local District office. Questions should be directed to your local District CBTP and/or EJTP contact. Refer to Appendix B: The Caltrans District Contacts to contact to your local District office.

Glossary of Common Grant Terms

ADM Form 360: The formal documentation required by Caltrans to initiate the writing of all contracts. A contract package includes a Scope of Work, Budget/Timeline, a Local Resolution, and an ADM Form 360. Together, these documents make up a “360 package.”

Applicant: The entity that submits a grant application to a grant program. Metropolitan Planning Organizations (MPO), Regional Transportation Planning Agencies (RTPA), cities, counties, transit agencies, and federally recognized Native American Tribal governments may apply to this grant program directly as an Applicant or as a sub-Applicant to a lead agency.

District Grant Manager (also known as District Contract Manager) is the District staff person responsible for liaison activities and management of the contract between the Grantee and Caltrans. This person must make sure that all contracted obligations are followed. The Grant Manager is designated by the Caltrans District Planning Deputy or the Senior Transportation Planner that oversees the grant program. The Contract Manager oversees all contracted obligations and maintains the project correspondence file. The Grant Manager must be thoroughly involved in major project related activities. The Grant Manager is expected to develop a professional relationship and maintain close communication with a Grantee’s Program Manager and other project-related staff. The Grant Manager is also responsible for monitoring the progress of the grant and processing invoices for payment that have been submitted to them by the Grantee. In addition, the Grant Manager regularly reports to the Grant Program Manager at Caltrans headquarters regarding grant status and progress.

Division of Procurement and Contracts (DPAC): The Caltrans office responsible for processing, writing, executing, and distributing all contracts. DPAC provides technical assistance on all contractual matters, processing and working directly with the Resource Management Branch (RMB) to relay contracting information back to the Grant Manager via the Program Manager. The Contract Analyst is the staff person within DPAC who is responsible for writing, processing, and distributing contracts upon receiving a complete contract package (ADM Form 360).

Expenditure Authorization (EA): The number that associates a specific activity (CBTP and EJ projects) with a specific funding source. Each individual grant project may have an individual EA, or there may be one Parent EA used for all of a grant cycle’s projects. If a Parent EA is used, it is associated with a set of numbers/letters called a Special Designation so that each individual grant project and its associated funds can be identified and tracked appropriately. EAs are obtained from the Caltrans Accounting

Office by the RMB and provided to the Grant Manager via the Program Manager shortly after a grant proposal's award announcement. Special Designations are established by the headquarters grant programs working through the RMB.

Fund Transfer Agreement (FTA) Also known as “the contract,” FTA is the name of the contract type used for both CBTP and EJ grant programs. It is executed when agreed upon and signed by both the Grantee and Caltrans. The FTA includes the documents assembled for the Form 360 and terms for providing funding. These terms include the start date for project work, the deadline for completion of grant-funded work, and various assurances related to non-discrimination, provision of a drug free work place and other mandated conditions

Contract Number: Contract identification numbers are displayed on each FTA in the upper right hand corner of each page. A Contract Number is very useful. It can help a Grant Manager stay organized when managing multiple contracts. It also helps Grant Managers, RMB, and the Program Manager track or view a contract's financial status when working with various contract monitoring tools.

Grantee: Grant awardee. The Grantee is the party who will enter into a contract directly with Caltrans and will be responsible for completing all agreed upon tasks in the Scope of Work.

In-Kind: An in-kind contribution is the value of donated actions or goods. It may be in the form of real property, equipment, supplies, services, and other expendable property.

Invoice: An itemized list detailing costs, goods shipped, or services rendered. It is essentially a bill for eligible project costs.

Invoice Dispute Notification: A formal document filled out by the Grant Manager when an invoice is not considered payable. Reasons that an invoice is not payable include claims for ineligible expenses or requests for clarification. The Invoice Dispute Notification process must be followed to “stop the clock” on invoice processing and payment as identified under the State's *Prompt Payment Act*. This form and the Invoice Dispute Notification process place the responsibility for invoice corrections on the Project Manager.

Note: *Grant Managers have 14 days to act – to approve and process, or to dispute an invoice. If the 14-day period lapses, interest penalties will be assessed to District Planning resources.*

Local Match: The amount of local contribution (cash match and/or in-kind services) the Grantee is required to expend in proportion to the grant award.

Program Survey: A document completed by the Grant Manager at the time of project closeout. This survey is used to help each grant program determine product quality and overall program progress from one grant cycle to the next.

Project Manager: A qualified staff person designated by the Grantee. This person is not a Caltrans staff member. This person oversees the grant project. This person must make sure that all contracted obligations are followed and is responsible for preparing and submitting invoices to the District Grant Manager for payment. The Project Manager maintains close communication with the Contract Manager.

Project Schedule (also known as Project Timeline): A Grant Project Timeline will list each task and sub-task of the project. It will include a breakdown of responsibilities, cost, and cost allocation. The timing and duration will be represented graphically. A section with greater details regarding the development and contents of a project schedule can be found on page 16.

The California Prompt Payment Act: Government Code (GC), Section 927 et seq., requires state agencies to automatically calculate and pay the appropriate late payment penalties (as specified in SAM Section 8474.2) if they fail to pay properly submitted, undisputed invoices on the date required by the contract **or** specific grant, which shall not exceed 45 days; or if a payment date is not specified in the contract or specific grant, within 45 calendar days of receipt of the invoice.

Quarterly Report: A formal progress report is required by the grant programs for each grant funded project. Quarterly reports are completed by the Grant Manager and sent to the Program Manager.

Receiving Record: The form completed by the Grant Manager to initiate payment of an invoice. A receiving record must accompany an invoice in order for payment to occur. See Appendix I for an example of a receiving record, or for readers with access to the intranet, [click here](#).

Resource Management Branch (RMB): The office within DOTP that serves as liaison, responsible for activities between the EJ and CBTP Grant Programs, Accounting, and DPAC. The Program Manager must process all documents and questions related to contract development and invoicing through RMB in order for DOTP to monitor contract development and maintain accurate accounting records. RMB is DOTP's "accountant"

for all funding sources. Its role is to advise and provide technical assistance to staff regarding the processes necessary for sound contract development, resource tracking, and invoicing.

“STD 4” (Contract/Contractor Evaluation): The formal document completed by the Grant Manager at the time of project closeout. This document can be used to help the Program Manager monitor contractor performance.

Scope of Work (SOW): A detailed listing and description of the tasks and sub-tasks that will comprise the work and activities of the project. In addition, the SOW describes who will be responsible for task completion, who will participate, and what will be the task “deliverables” or proof of completion. A section with greater detail regarding the development and contents of a SOW can be found on page 17. Also see Appendix C for an example of an SOW. Online readers can [click here](#) to go to the Online Toolbox for the SOW template.

Service Contract Automated Tracking System (SCATS): Caltrans’ contract/invoice-tracking system. It is used by Grant Managers, Program Managers, and the RMB to view information such as FTA begin and end dates, payments, retentions, retention releases, and remaining balances. Information about project invoices is viewable at the time the State Controller’s Office issues a check, which is about 45 days after an invoice was submitted for payment. SCATS can be viewed and printed to help manage a project. Readers with access to Intranet can view the SCATS web site by clicking [here](#).

Sub-Recipient (also known as sub-Applicant): The Grant sub-Recipient(s) as indicated/listed on a grant application submitted by the Applicant. In most cases, a sub-Recipient is a partner in the grant-funded project that would otherwise not be eligible to apply for grant funds. An example would be a neighborhood association that partners with a city to conduct a project within the neighborhood. Sub-Recipients may enter into a subcontract directly with the Grantee. Universities, community colleges, community-based organizations, non-profit organizations (501.C.3), and public entities may apply as a sub-Applicant with an MPO, RTPA, city or county as the lead Applicant.

Grant Application Process

The following section is intended for Community-Based Transportation Planning (CBTP) and Environmental Justice (EJ) Transportation Planning grant applicants to follow and use as a reference in the application process. This document should facilitate the process and provide clarification regarding terminology and expectations.

Application Guidance

Who May Apply

Metropolitan Planning Organizations (MPOs), Regional Transportation Planning Agencies (RTPAs), cities, counties, transit agencies, and federally-recognized Native American Tribal governments may apply for the grant programs directly as an Applicant or as a Sub-recipient to a lead agency.

Universities and community colleges, community-based organizations, non-profit organizations (501.C.3), and public entities may only apply as a sub-Recipient with an MPO, RTPA, city or county as the lead Applicant. Sub-Recipients are encouraged to work far in advance of the application deadline with the appropriate lead applicant to coordinate application development.

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

General Timeline

December 1, 2009	Transportation Planning Grant Application is published. The application is made available by mail, e-mail, and website. http://www.dot.ca.gov/hq/tpp/grants.html
April 1, 2010	Final applications for CBTP and EJ due to appropriate Caltrans District Planning Office.
Summer, 2010	Estimated time of grant award announcements (upon approval of State budget).

Examples of Past Projects

- Long-term Sustainable Community/Economic Development Growth studies or plans
- Blueprint Planning follow-up or refinement
- Proactive Rural Blueprint Planning
- Rural Smart Growth
- Safe, innovative, and complete pedestrian/bicycle/transit linkage studies or plans
- Community-to-School linkage studies or plans
- Jobs and Affordable Housing Proximity studies or plans
- Transit-Oriented/Adjacent Development or “transit village” studies or plans
- Infill studies or plans
- Community Transit Facility/Infrastructure studies or plans
- Transit Innovation studies or plans
- Comprehensive Mobility studies or plans
- Mixed Land-use Development studies or plans
- Form-based or Smart Code development
- Green Transportation Infrastructure planning
- Open space Conservation planning
- Community Design Guideline planning
- Context-sensitive Streetscapes or Town Center studies or plans
- Complete Street studies or plans
- Suburban Community or Urban Commercial Corridor Retrofit studies or plans
- Grid Street System studies or plans
- Access Management studies or plans that promote traffic calming, walking, biking, and livability
- Community Revitalization studies or plans
- Context-sensitive Community Development planning
- Community-Friendly Goods Movement Transportation Corridors, Ports, and Airports studies

Every Caltrans Transportation Planning Grant proposal should be coordinated with the transportation planning efforts taking place under the region’s RTPA or MPO. Additionally, all applications should be in accord with that region’s Blueprint Plan. Regional Blueprints are tools that will help communities reduce greenhouse gases and will assist transportation agencies in creating enduring communities for residents throughout the entire state.

Each grant program has a different purpose. Applicants may submit more than one application, but any given project can only be submitted to **one**

grant program. The Caltrans grant programs will check all applications for duplicate projects, including those with different titles. For the benefit of the applicant, Caltrans staff may refer an application to a different grant program for consideration if the proposal is better suited for that program.

Overall Work Program

MPOs and RTPAs who receive a grant must include the project as a formal work element in their Overall Work Program (OWP).

Pre-Award Audit

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

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

Application Submittal and Deadline

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

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

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

Grant Program Summary Chart

GRANT	FUND SOURCE	PURPOSE	WHO MAY APPLY	LOCAL MATCH
Environmental Justice Planning	State Highway Account Budget \$3 MILLION Grant Cap \$250,000	Promotes community involvement in planning to improve mobility, access, and safety while promoting economic opportunity, equity, environmental protection, and affordable housing for low-income, minority, and Native American communities.	The following may apply directly as an Applicant, or as a sub-Recipient: <ul style="list-style-type: none"> • MPOs and RTPAs • Cities and Counties • Transit Agencies • Native American Tribal Governments The following may apply only as a sub-Recipient: <ul style="list-style-type: none"> • Universities and Community Colleges • Community-Based Organizations • Non-Profit Organizations (501.C.3) • Public Entities** 	10% minimum (in non-federal funds). Up to one-quarter of the 10% match can be in-kind*.
Community-Based Transportation Planning	State Highway Account Budget \$3 MILLION Grant Cap \$300,000	Funds coordinated transportation and land use planning that promotes public engagement, livable communities, and a sustainable transportation system which includes mobility, access, and safety.	The following may apply directly or as a sub-Recipient: <ul style="list-style-type: none"> • MPOs and RTPAs • Cities and Counties • Transit Agencies • Native American Tribal Governments The following may apply only as a sub-Recipient: <ul style="list-style-type: none"> • Universities and Community Colleges • Community-Based Organizations • Non-Profit Organizations (501.C.3) • Public Entities** 	10% minimum (in non-federal funds). Up to one-quarter of the 10% match can be in-kind*.

- * In-kind contributions can include a documented, quantified amount of equipment, supplies, or other tangible resources, space, or staff time.
- ** “Public entity” includes the State, the Regents of the University of California, a county, city, district, public authority, public agency, and any other political subdivision or public corporation in the State. (Government Code Section 811.2)
- *** FHWA is the Federal Highway Administration. FTA is the Federal Transit Administration.

Application FY 2010-2011

An electronic version of this application is available at <http://www.dot.ca.gov/hq/tpp/grants.html> Please visit this website for updates and information on the grant programs.

Step by Step Instructions to filling in the Application

Note: The enclosed application is also used for federally-funded transportation grants, so please be sure to read the application carefully.

Check One Grant Program: Check the grant program being applied to fund the project. A project may only apply to **one** program.

Project Title: This box needs to contain the name of project.

Project Location: This box needs to contain the location(s) where the project will be performed. If the project will take place in various neighborhoods, cities, counties, etc...list all that apply. If the project will take place within a particular neighborhood(s) or corridor(s), list them as such.

Applicant and sub-Recipients Table: The entity that submits a grant application to a grant program must provide the information requested in each appropriate row under APPLICANT. The sub-Recipient(s) (Also known as *sub-Applicant(s)*) as indicated/listed on a grant application submitted by the Applicant must provide the information requested in each appropriate row.

For Organization: Enter the name of the entity that is requesting the funds. Enter the name of a sub-Recipient if there is one.

For Executive Director: Enter the name of the Executive Director of the applicant organization. The Executive Director, may be the Mayor, City Manager, City Council Member (where project is located), or Director of the organization. Do the same is there is a sub-Recipient.

Contact Person and Title: The person Caltrans will establish communication regarding the grant awards and preferred title.

Mailing Address: The address where the notifications and correspondence should be sent.

E-mail address and telephone number: The email and phone number of the person with whom communication shall be established.

Funding Information Table: Provide the funding information for proposed project.

Grant Amount Requested: This should be the total amount requested to fund the project. The amount cannot exceed \$300,000 per project for a CBTP and \$250,000 for an EJ grant.

Local Match: must be at least 10% of the total project cost.

Sample Match Calculation

Local Match Calculator		
Grant Funds Requested	\$200,000.00	88.89%
Local Match - Cash	\$25,000.00	11.11%
Local Match - In-Kind	\$0.00	0.00%
Total Project Cost	\$225,000.00	100%
<i>Local Match total must be a minimum of 10%</i>		
Total Local Match %		11.11%
<i>In-Kind Match cannot exceed 25% of total match amount</i>		

Local Match Calculator can be found under Appendix E and on the Internet Toolbox by [clicking here](#).

The Source of the Local Match: must address the fund source for the local match.

Cash: The amount of cash contribution the organization will provide to the project.

In-Kind: Value of non-cash goods and services that will be contributed to the project.

Other funding: Any other funding contributed to the project. List any other resources that will be used for the same project.

Total Project Cost: List the total amount of funding that will be used for the completion of the project.

Legislators in Project Area: List the State Senator(s) and State Assembly Member(s) who represent the area in which the project is located. To help determine the legislators for the project area, [click here](#) to find them by zip code. or [click here](#) to find them by address.

Question #1: Planning Goals: Because the application is used for both federal and State transportation planning grants, both federal and State goals are listed. For CBTP and EJ grants, read through the California Transportation Plan goals and carefully select the goal(s) that align(s) most closely with your proposed project.

Every Caltrans Transportation Planning Grant proposal should be coordinated with the transportation planning efforts taking place under

the region's RTPA or MPO. Additionally, all applications should be in accord with that region's Blueprint Plan and Sustainable Communities Strategy (Senate Bill (SB) 375) if applicable.

If the proposed project aligns with the Regional Blueprints and Sustainable Communities Strategies, read and check the appropriate box.

Question #2: Project Description: Use this question to introduce the project.

Section A should provide a 60-word snapshot of the project as a whole. Be concise about defining the transportation barriers and problems that confront your community and how your project will address them.

Section B should provide detail of the geographical setting of the project. Clearly define the community, its boundaries, ethnic make-up, languages spoken, income-levels, and transportation issues. This section is to identify a community's conditions and needs. For example, the EJ Grant Program is aimed at assisting low-income, minority, and tribal communities, so it is important to research and present descriptive language, data, and statistics. Include photographs and maps. Photographs support an application by illustrating the existing condition of streets, housing, and transportation problems. A map will help locate the community, within a neighborhood, city, county, and/ or region.

Question #3, Project Justification: The response to this question should present the issues and problems that the project is aiming to address.

Section A should clearly define the purpose and needs that are being addressed, such as, better access to jobs and health care, safer access to schools and parks, traffic safety, air pollution, impact of heavy trucking on local streets, inadequate transit services, promoting more in-fill development, or reducing congestion.

Section B should describe how the project will address the recognized issues. This section can also serve to present attributes of the community that will be utilized to meet project goals and outcomes. In addition, provide some detail about how resolving these issues will improve the quality of life.

Question #4: Public Participation: This is the core component of the grant programs. This question should be thoroughly addressed with detail and supporting information. A competitive application will provide concrete project specific tasks to perform outreach and engage the public. Community awareness, acceptance, and involvement in the planning

process are vital ingredients for successful outcomes. A key goal of the grants programs is to help communities become partners in planning.

Section A: Identify the stakeholders of the project who will be involved and affected by the project. Provide insight into why the participation of stakeholders is important and how their particular interests and/or concerns are important to this project.

Section B: Provide detail about the methods that will be used to recruit, communicate and engage with stakeholders, such as community town hall meetings, “charrettes,” interactive websites, focus group meetings, surveys, workshops, door to door visitations, and public events. The section should provide meaningful detail about how the Applicant will connect and facilitate the integration of stakeholders who are traditionally under-represented in the community engagement processes.

Question #5, Project Implementation: The end result and implementation of the project is the ultimate goal of the grant. A good application should present a realistic set of outcomes that are achievable. Providing plans and recommendations with realistic outcomes that a community can understand, accept, and implement are going to be more impressive than a final product that does not have an obvious and practical outcome. The final product of these grants should have the ability to be adopted, initiated, and programmed into transportation improvements that will improve mobility, access, and economic vitality.

Section A: Describe the project’s anticipated accomplishments and final deliverables.

Section B: Describe how the project deliverables will be used to implement the move to the next step in accomplishing the plan goals.

Question #6, Project Management: The Scope of Work and the Project Schedule are key documents in successfully executing a grant project.

Section A: The Scope of Work (SOW) is a detailed listing and description of the tasks and sub-tasks that will comprise the work and activities of the project. In addition, the SOW describes who will be responsible for task completion, who will participate, and what will be the task “deliverables” or proof of completion. A sample SOW can be found as Appendix C and the SOW template can be found in the online Toolbox by [clicking here](#).

Section B: The Project Schedule (also known as project timeline) is a GANTT chart that will list each task and sub-task of the project. It will include a breakdown of responsibilities, cost and cost allocation. The timing and duration will be represented graphically. A sample project

schedule can be found as Appendix D and the template can be found on the online Toolbox by [clicking here](#).

Application Tips and Check List

Tips for Developing a SOW

The grant's Scope of Work (SOW) and schedule are the building blocks of a successful project. Not only will they articulate key elements and outcomes of the project, but they will serve as the guideposts for monitoring project progress. A successful proposal, and ultimately a successful project, carefully provides documentation of all steps of the project. Accurate and realistic estimates of time and resource needs for each item are crucial. The process of developing an SOW and schedule is one that will require drafts and revisions. The more time and effort spent in this phase has will result in fewer unexpected problems in project execution and easier resolution of problems that do arise.

1. Begin with the desired project outcomes:
 - a. What will be the final product from grant-funded work?
 - b. How will it be used?
 - c. Who are the intended end users of grant products?
 - d. What are the intermediate and final "deliverables?"
2. Assemble a broad proposal development team:
 - a. Seek a consensus regarding goals and project outcomes.
 - b. Use team member knowledge and experience.
 - c. Include external as well internal sources of expertise.
3. Work backwards:
 - a. Determine the components of the final product.
 - b. Determine the tasks needed to be completed to create each component.
 - c. Determine the research and background information needed for each component.
 - d. Determine the deliverables and other products to confirm task completion.
4. Work forward:
 - a. What information is already available?
 - b. Determine additional informational needs.
 - c. Determine steps and processes to acquire information.
5. Add in additional components:
 - a. Survey the product list. Are all the needed elements such as "public engagement," "project management" and "project progress reporting." included?
 - b. Add additional items needed to confirm task completion.

6. Determine which components are required to be in a sequence and which elements can move independently.
7. Realistically estimate time needed for each task and task element.
8. Allocate resources for each task.
9. Identify responsible party for each task.
10. Review SOW for completeness, accuracy and adequate detail.
11. Chart each item on the project schedule:
 - a. Include cost breakdown by fund source, including "in-kind."
 - b. Include expected products and deliverables that document task completion.
 - c. Include timely generation of invoices based on milestone completion. Invoicing should occur at minimum each quarter and up to once each month.
 - d. Review time allocation.
 - e. Review time allocation and schedule relative to other components and tasks.
 - f. Adjust schedule as needed.
12. The SOW and schedule must be in alignment with each other.
13. The SOW and schedule must be in alignment with the narrative of the application.
14. The SOW and schedule must include consistent, timely progress reporting to Caltrans.
 - a. Reporting must minimally be made at the end of each quarter.
- b. Requests for additional information or clarifications may be made by Caltrans at any time.
15. Seek out the advice of others with successful grant experience. A review of the overall proposal as well as the SOW and schedule by a person not involved with the current proposal will provide fresh insights.

Sub Applicant and Sub-Contractor

If the Grant Applicant specifically identifies a sub-recipient/subcontractor in the scope of work, the sub-recipient/subcontractor may be employed without further bidding. However, when choosing a Sub-recipient/subcontractor, applicants are reminded to select them at the onset of their application in a fair and careful manner and be able to justify the value the sub-recipient/subcontractor brings to the project.

If a sub-recipient/subcontractor is **not** identified in the SOW and the value *exceeds* \$25,000, the work must be competitively bid. The bidding process does not need to be elaborate, but must reflect an honest and reasonable effort to seek at least three written proposals for the same work or services. It must be a fair, objective, and documented process. Grantees are advised to retain their documentation.

If a sub-recipient/subcontractor is **not** identified in the SOW and the work contemplated is *less than \$25,000* in cost, the work is not subject to bid requirements but still requires prior approval by your Caltrans District Planning Office.

Other Required Documents

Local Resolution

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

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

In addition, we recommend that Applicants plan ahead to ensure that there is adequate time to get the resolution on the agenda of the governing board in order to meet the application deadline. Applications with missing resolutions, or resolutions that are enacted after the application deadline, are at a competitive disadvantage when compared to otherwise equally strong proposals that have met the deadline. A sample Local Resolution can be found as Appendix F and in the online Toolbox by [clicking here](#).

Map of Project Area

The map should clearly identify the boundaries of the project area and provide a sense of the local context of the project.

Photographs

Photographs and images present and communicate visually the current state of the proposed project area. Images convey existing conditions and needs will provide a more holistic message.

Letters of Support

Letters of support, while not a required part of the application, demonstrate the depth of stakeholder interest in the proposed project. Letters of support for the project are strongly encouraged. They should be **addressed to the grant's Applicant** and **submitted with the application**. Such letters can come from community-based organizations, local governments, Native American Tribal governments, service agencies, and elected officials. Letters of support received separately from the application package will not be considered. In addition the letters are not counted towards the 20-page length limit of the application. Letters of support should be addressed to the project's Applicant and included in the application package.

Application Checklist

- One original signed Application (PDF Format)
- Scope of Work (Microsoft Word format) (see Appendix C for an example or [click here](#))
- Project Timeline (Microsoft Excel format) (see Appendix D for an example or [click here](#)).
- Local Resolution (see Appendix F for an example or [click here](#)).
- Map of Project Area
- Digital Photographs of Project Area (when applicable)
- Letters of Support
- Four hard copies and two CDs with electronic copies of the Application (PDF Format), Scope of Work (Microsoft Word), Project Schedule (Microsoft Excel), and all other supporting documentation.

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

Steps to Contract Execution

Project Award and Initiating a Contract

Each grant program will formally notify applicants selected to receive grants and appropriate Caltrans District staff of grant awards after the state budget is in place. The notification from the grant program will provide instructions on how to engage in contract development. This notification may also request conditions or requirements that the program asks the Grantee to fulfill in order for contract execution to move forward. It will be delivered through postal mail and e-mail.

Grantees should begin taking steps toward contract development immediately upon award notification. Reimbursable work, fund expenditure, and/or invoicing cannot occur until after a contract has been executed between the Grantee and Caltrans.

Upon grant award notification, the Grantee and District staff will communicate to clarify who will be the Contract Manager, and who will be the Project Manager. A project kick-off meeting is strongly encouraged so that Contract/Project Manager responsibilities can be clarified. Caltrans District Planning management, the Grantee, and the Project/Contract Managers should all be present.

The Project Manager will work to complete the requirements identified in the grant program award announcement. Project Managers are encouraged to coordinate with their peers – District Planning staff, RTPA/MPO staff, city/county staff, Tribal government staff and transit agency staff to quickly leverage the required contract initiation documents – Local Resolution, Scope of Work, and Budget/Timeline. Completing these tasks should only take the Project Manager one to three months. The Contract Manager will help facilitate this task.

Local Resolutions

A Local Resolution (LR) is required when executing all Fund Transfer Agreements (FTA's). An RTPA's or an MPO's LR may be a copy of a blanket resolution approving the region's OWP. That resolution must contain language authorizing the execution of subsequent agreements or contracts to implement additional projects that will be identified in the OWP. That OWP must then be amended to include the grant project as a work element. If such a blanket resolution does not exist, a grant-specific LR amending the project into the OWP is acceptable. These LRs must clearly identify the project title, grant fund request, and the correct local match and its source. Completing the LR is a Project Manager

responsibility, but Contract Managers are encouraged to work with their District Regional Planning peers to ensure accurate LRs and OWP amendments are completed to promote a 3-C (continuous, comprehensive, and cooperative) transportation planning process. Section V – *Local Coordination*, provides more information below.

A LR is also required when executing an FTA with a city, county, Tribal government or transit agency. These LRs must clearly identify the project title, grant fund request, and the correct local match and its source. A representative of the awarded agency who is authorized to bind the Grantee contractually must sign or be cited in the LR. Two Local Resolution types or options are possible for these entities:

Option 1 – A grant-specific local resolution.

This type of LR must name the project and authorize a specific office or department of the city, county, Tribal government, or transit agency to:

1. Apply for a Planning Grant from Caltrans.
2. Accept a Planning Grant from Caltrans, if awarded.
3. Enter into an agreement or contract with Caltrans for purposes of implementing the Planning Grant project.
4. Identify local matching funds specific to the project.

Option 2 – A blanket Local Resolution listing many grants.

If a city, county, Tribal government or transit agency is awarded more than one grant in a fiscal year, they may adopt one LR that can satisfy the above specific requirements rather than passing multiple, individual local resolutions. However, all grants should be listed in that one LR.

Note: DPAC will accept a minute order as a substitute to a LR. However, a minute order must include the same information noted above. LRs are preferable.

Note: For projects conducted by a city, county, Tribal government, or transit agency, the region's RTPA/MPO must be encouraged to amend their OWP to include the grant project as an information work element. Contract Managers are encouraged to work with their District Regional Planning peers to help agencies complete accurate information in their OWP to ensure a 3-C (continuous, comprehensive, and cooperative) transportation planning process.

Note: Local governing boards usually only meet once per month and sometimes every other month. Holidays can also cause local board meetings to be postponed. Regardless, any delay in obtaining the LR can cause contract execution to be delayed – sometimes for months. Delays in contract development only mean less time for the Grantee/Project Manager to conduct project activities. Again, fiscal year 09/10 program activities for both EJ and CBTP can only be performed until February 28, 2012.

The Contract Manager is encouraged to begin leveraging LR language from the Grantee/Project Manager immediately upon receiving award notification. This activity should take place well before the Grantee requests action from their local supervisory board or council. Adhering to this process can help expedite the contract development process. Again, a sample LR can be found as Appendix F and in the online Toolbox by [clicking here](#).

Fund Transfer Agreement

The Project Manager submits a ‘clean’ local resolution (LR), and SOW - with clear tasks and deliverables, budget – with appropriate local match, and timeline – which utilizes all available time, to the Contract Manager.

The Contract Manager promptly reviews the LR, scope of work, budget and timeline. They scrutinize the documents for completeness, accuracy, adherence to the original grant proposal, and ensure required formats are utilized. All budgets must incorporate a minimum local match – non-state, non-federal source, 10% CBTP and EJ, of the grant total. One quarter of the local match may be in-kind or donated goods and services. The proposed timeline must have a project start date at least (60 days) after the date the Project Manager submits the local resolution, SOW, and budget/timeline to the Contract Manager. This 60-day timeframe is needed by the Contract Manager, Program Manager and DPAC to allow sufficient time for review and for the contract analyst to process/write the contract.

The Contract Manager completes and attaches an ADM Form 360 to the LR, SOW, and budget/timeline – the “360 package”. A sample ADM Form 360 can be found as Appendix H and to those with access to the intranet by [clicking here](#). The Contract Manager can obtain this Form by visiting the Caltrans Electronic Forms Systems (CEFS) at: <http://cefs.dot.ca.gov/>, and by following the directions below.

Click on “Forms” and then type “360” into the “Search By Form Number” field. You may need to download “Forms Flow” in order view and use these forms. The Contract Manager should contact their Program Manager if the form cannot be obtained.

The Form 360 is completed and signed by the Contract Manager and signed by their approving District Manager (Planning Deputy or Senior Transportation Planner). This “360 package” is then sent to the appropriate Grant Program Manager.

Note: The ADM Form 360 and project schedule/timeline must have congruent project start dates that are at least 60 days after the date the Project Manager submits the LR, Scope of Work, and Budget/Timeline to the Contract Manager. Again, this 60-day timeframe is needed to allow time for DPAC staff to process/write the contract.

The Program Manager reviews the “360 package” to ensure that the project “spirit and intent” are congruent the original grant proposal. If spirit and intent are achieved, the Program Manager documents the project’s status, and forwards the 360 package to RMB for coding and format review and processing.

RMB enters information about the project into DOTP’s contract monitoring database. If the 360 package is not complete, RMB and the Contract Manager work directly together to ensure proper paperwork is in order before moving forward. Once a proper 360 package is submitted to RMB, it is certified for availability of funds and then signed by the RMB Chief. The 360 package is then sent to DPAC for their review and contract writing.

DPAC works with the Division of Accounting (DOA) to encumber the grant funds. If DOA has any issues with the 360 package, they will work with DPAC, DPAC will work with RMB, and RMB will work with the Contract Manager. If all goes well, the Project Manager will receive an FTA to sign within or shortly after the 60-day period noted above.

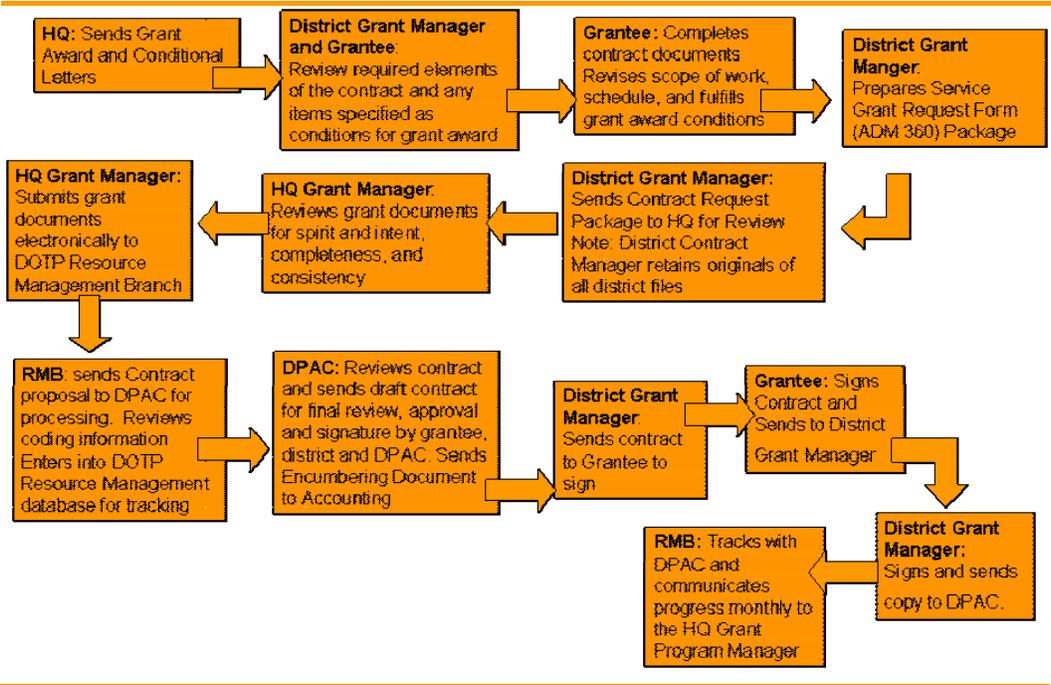
Note: Sometime within or shortly after the 60-day timeframe noted above, the Contract Manager should receive a memorandum or email from DPAC indicating the contract number and the contract analyst assigned to the contract. Henceforth, any formal correspondence or question related to the grant project must include the project title and contract number.

The Project Manager and Grantee receives the contract. The Grantee/Project Manager should review the contract and follow DPAC’s instructions to complete contract execution.

Copies of the contract are distributed by DPAC. DOA, the Contract Manager, Project Manager, and RMB contract administrator receive copies. The Program Manager receives a copy from RMB.

The following chart provides a summary of the EJ and CBTP Contracting Process.

CBTP and EJ Grant Contracting Process



Title VI and Disadvantaged Business Enterprises (DBE) Requirements

Title VI Nondiscrimination Requirement

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

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

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

Disadvantaged Business Enterprise Requirement (DBE)

Effective May 1, 2006, Caltrans and its sub-recipient local agencies receiving U.S. Department of Transportation federal financial assistance for transportation and transit-related projects, were obligated to change from a race-conscious to a race-neutral Disadvantaged Business Enterprises (DBE) Program. Current DBE provisions do not require specific DBE contract participation goals and evaluation of "good faith efforts." As a matter of statewide policy, Caltrans would like all local agencies to express their desire for prime contractors and prime consultants to voluntarily continue to use and list DBEs as subcontractors. Please refer to the Caltrans Civil Rights' website where the DBE Program Plan is posted.

<http://www.dot.ca.gov/hq/bep/index.htm>

Other Financial Requirements

Reimbursements

Grant payments are made only as reimbursements and occur no more frequently than monthly or at a minimum, quarterly. The Grantee must pay its sub-recipients and named subcontractors prior to submitting an invoice requesting reimbursement from Caltrans.

Indirect Costs

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

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

Local Match

Non-federal sources for local match can include local sales tax, special bond measures, private donations, private foundations, etc. Examples of in-kind contributions include donated printing, facilities, food, interpreters, equipment, advertising, staff time, etc. All in-kind contributions must be itemized. Local match contributions must be expended on a proportional basis coinciding with the expenditure of the grant funds.

Accounting System

Grantees are required to maintain an accounting system and records that properly accumulate and segregate incurred project costs and matching funds by line item. The accounting system of the Grantee, including its sub-recipients and subcontractors, shall conform to generally accepted accounting principles that enable the determination of incurred costs at interim points of completion, and provide support for reimbursement payment vouchers or invoices sent to or paid by Caltrans. Allowable project costs will be in compliance with 49 Code of Federal Regulations (CFR), Part 18 and Office of Management and Budget (OMB) A-87. It is the Grantee's responsibility, in conjunction with Caltrans District staff, to monitor work and expenses to ensure the project is completed according

to the contracted scope of work and project timeline/project schedule and funding chart. Grantees must monitor work and costs to ensure their invoices are submitted on a regular and timely basis (after the completion of each milestone). Grantees must communicate with their local Caltrans District Planning Office to ensure any issues are addressed early during the project period.

Contract Management

Contract and Project Managers are encouraged to research answers to contract-related questions that may arise within a contract period of performance. The Department encourages all Contract Managers and Project Managers to download and keep as reference several resources to help them manage their contracts/projects. They are also encouraged to ask their peers or management contract management-related questions. If answers to questions cannot be found in the *Contract Managers Handbook*, DOTP's *Transportation Planning Grant Application Package*, this *Handbook*, or from *staff peers*, Contract Managers are encouraged to call the Caltrans headquarters Grant Program Managers. The documents listed above can be found on the following Caltrans websites:

Contract Managers Handbook

<http://admin.dot.ca.gov/pc/doc/handbook.pdf>

DOTP's Transportation Planning Grant Application Package

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

Steps to Project Execution

This section is a summary of the responsibilities and duties of the parties involved in the execution of grant-funded projects.

The Grantee is not authorized to commence work or incur reimbursable costs until after the Grantee and Caltrans have executed the contract, and a formal, written 'notice to proceed' has been provided to the Project Manager from the Contract Manager.

The Contract Manager reminds the Project Manager that funding for these state-funded grants are limited to: one year to commit/encumber, and two years to spend for a total of three years of authorized use. The **funds lapse June 30, 2012 for State FY 2009/10**. In order to complete projects by this deadline and ensure funds available for reimbursement, all Grantees will be given a contractual obligation of **February 28, 2012**, to complete work and spend all grant funds. Grantees must then submit final invoices for costs incurred by **April 28, 2012**, as written within the contract.

After the 'notice to proceed' has been executed, the Project Manager can begin work on the project. The Project Manager retains staff and subcontractors for project work. He/she keeps all parties and stakeholders informed and involved throughout the project. Both the Project and Contract Manager encourage stakeholders to take actions throughout the project schedule that support the project and the proposal's original intent. They communicate on a weekly basis – more if needed or desired. When there are questions that cannot be answered by the contract or project manager, the Program Manager should be contacted. Unanswerable questions are carried forward to DOTP management or the DOTP Grant Team. An answer is then provided back to the Contract Manager from the Program Manager.

All stakeholders to a project are expected to establish relationships and maintain professional partnerships. They must attend project meetings, public participation events, and other project-related activities. They must participate, document activities, and try to add value to the project as it proceeds. *Everyone* should feel like they can offer suggestions or discuss ideas and issues.

The Contract Manager maintains oversight of the Fund Transfer Agreement (FTA) and maintains basic knowledge of any subcontract the Project Manager executes for the project. Subcontracts must be kept in both the Project Manager and Contract Manager project files. The Project Manager and Contract Manager must both also ensure the project stays on schedule, paying specific attention to the dates and funding

applications identified in the contract timeline/schedule. The Contract Manager must also monitor, review, verify, and provide feedback to the Project Manager and contractors/subcontractors on deliverables, reports and other products.

The Project Manager ensures project staff and subcontractors are paid for work performed according to the project scope of work and FTA. All work must be paid for prior to requesting reimbursement from Caltrans.

The Project Manager prepares and submits invoices and deliverables to the Contract Manager. Invoices are prepared monthly or at a minimum quarterly, especially when milestones are completed (required).

The Contract Manager reviews invoices submitted by the Project Manager and checks them for completeness and proper use of funds. Deliverables associated with the invoice must be compared to the project's scope of work and invoice support documentation. The Contract Manager then processes the invoice.

Each individual grant program provides blank quarterly reports to their District Planning Office. The Contract Manager completes quarterly reports based on project activities, invoice summaries and prior correspondence with the Project Manager. Quarterly reports are then sent back to each individual grant program within Caltrans headquarters. A copy of the quarterly reports should be kept in the Contract Manager's correspondence/project file. Quarterly reports are used by the Program Managers to help track project progress, and determine necessary program improvements.

The Project Manager ensures the project is completed according to the project's scope of work, schedule, and FTA. The Project Manager distributes hard-copies and electronic-web copies of the final product to the Contract Manager and project's stakeholders.

The Contract Manager acknowledges receiving the final product. If the product meets contractual requirements, the Contract Manager requests a final invoice be submitted.

After the Project Manager submits the final invoice and it has been paid, the Contract Manager initiates project closeout. The Contract Manager completes program closeout materials and forwards the final product and closeout materials to the Program Manager. The Contract Manager also requests the Program Manager close the project EA.

The Program Manager reviews the final product and closeout materials. He/she uses these documents to close out the project, and as tools to help improve program policies and develop protocol for upcoming grant cycles.

The Project Manager, Contract Manager, and Program Manager continue to advocate for the use, adoption, and/or programming and implementation of the project's recommendations. Efforts should be made to keep the project vision alive through the relationships that were built with each community or organization involved.

Project Execution – Technical Information

Audits

The Grantee must agree to maintain grant records as required under the contract. These records must be made available upon request during an interim or post audit. Any Grantee performing work under an FTA with Caltrans is subject to the following audit reviews:

For grant awards of \$250,000 or more, a pre-award evaluation is required. Pre-award audits occur if the pre-award evaluation determines an audit is needed. The Program Manager requests pre-award evaluations and audits prior to contract execution. The purpose of the pre-award evaluation/audit is to determine if the Grantee's accounting system is adequate. It must be able to accumulate and segregate costs and determine if the proposed costs are reasonable. A pre-award audit alerts both the Grantee and Caltrans of possible problems relative to the Grantee's cost proposal and cost accounting system.

Interim audits are performed on an "if-needed" basis. For example, during a pre-award audit (described above), if it is found that the Grantee's accounting system is new or if minor deficiencies are noted, an interim audit would be scheduled. The purpose of the interim audit is:

1. To determine if the accounting system is functioning adequately.
2. To ensure that billed costs are supported.
3. To ensure that any deficiencies are corrected.

The Contract Manager may also request an interim audit if there are concerns to be addressed during the course of the contract.

Post-audits may be performed after project completion to determine whether the costs claimed were allowable, allocable, reasonable, and in compliance with federal and state laws and regulations. Post-audits are performed routinely for many Caltrans contracts.

Local Coordination

Every CBTP or EJ grant project should be coordinated with the transportation planning efforts taking place under the region's RTPA or MPO. If the Grantee is an RTPA/MPO, or if the project's local match contribution was provided by an RTPA or MPO, the project must be included as a Work Element in the region's Overall Work Plan (OWP). An OWP amendment will be required to include a grant project as a Work Element in a region's OWP. Amendments to OWPs should be executed simultaneously when the Local Resolution is leveraged from the RTPA/MPO board. Contract Managers can help facilitate this process through their regional planning offices.

If the Grantee is a city, county, Tribal government, or transit agency, the project should be included as an informational item in the RTPA's or MPO's OWP. Grant Managers can help facilitate this process through their District's Regional Planning Office.

OWP work elements and informational items should be included within annual OWPs for the duration of the grant project FTA. Contract Managers must work with their regional planning peers to ensure all local planning efforts are incorporated in respective RTPA/MPO OWPs.

If a Tribal government is the Grantee, or if a project resides within or adjacent to Tribal land, the Contract Manager should encourage the Tribe, RTPA/MPO, and District management to consult with one another so that the transportation planning process conducted for the grant project is carried forward in coordinated manner.

Subcontracting

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

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

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

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

In general, a Grantee's Project Manager must conduct the procurement of goods and services in a fair, open competitive manner. Grantees are prohibited from restricting competition in any government-funded procurement transaction except under the following circumstances:

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

Note: Regardless of how the third-party contractor is retained for services, a Grantee's Project Manager must pay subcontractors prior to requesting any reimbursement from Caltrans and must do so in a timely manner.

Note: A Grantee's Project Manager must provide copies of all subcontracts to the Contract Manager so that he/she can properly monitor invoices and project activities. All third party contracts must include a scope of work that has tasks, a task budget, and timeline that identify work congruent to that identified under the FTA.

Eligible Expenses

Direct costs must be used for planning-related activities, such as community surveys, community meetings, charrettes, focus groups, data gathering and analysis, planning consultants, bilingual services to facilitate meetings, reproduction costs, office supplies, concept drawings of the project, computer/furniture rental, transit passes, light snacks, and non-alcoholic refreshments (*light snacks and refreshments are an eligible expense*) to facilitate public participation.

Note: It is acceptable to use grant funds to purchase more substantive meals for participants in public engagement events that are of long duration (4 hours).

Indirect costs are an eligible expense. These are generally defined as rent, utilities, and other overhead costs. These costs must not exceed 15% of the total project budget. If an agency will be seeking reimbursement for indirect costs, the agency must prepare and submit annually to Caltrans an indirect cost rate proposal and a central service cost allocation plan (if any) in accordance with the Office of Management and Budget A-87 and the Department's Local Programs Procedures (LPP) Chapter 5, 04-10. Reference to these materials can be found at:

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

Ineligible Expenses

These grants **cannot** be used for the following:

These grants cannot be used for personal expenses, use of personal vehicles, organizational membership fees, or other items unrelated to the project such as meals or refreshments not connected to public participation activities. Purchases of computers, software, or office furniture are also excluded.

Environmental studies, plans, or documents normally required for project development under the National Environmental Policy Act (NEPA) or the California Environmental Quality Act (CEQA), or any Project Initiation Document (PID) are not eligible expenses under these grants.

Construction and procurement of equipment or materials, such as building a facility are not eligible expenses, even if such purchases might be funded with other funds or provided as match. Construction permits, construction projects, construction materials, maintenance, decoration,

traffic studies, detailed design, or acquisition (purchase or rental) of any vehicles for bus or shuttle programs, and operating subsidies of vans or shuttles.

Invoicing

All Contract Managers must comply with the State's "*Prompt Payment Act*". This law requires state agencies to pay properly submitted, undisputed invoices within 45 calendar days of initial receipt. If requirement is not met, Caltrans must automatically calculate and pay the appropriate late payment penalties as specified in Government Code section 927, et seq. Contract Managers review, process and forward the invoice to RMB within 14 calendar days, or dispute the invoice within 15 working days of the district mailroom stamp. If approved within 14 calendar days, the remaining 31 days are for processing the invoice through RMB, the Division of Accounting (DOA), and the State Controller's Office, where checks are issued to the Grantee. More information about the "*Prompt Payment Act*" can be found online at:

<http://www.pd.dgs.ca.gov/promptpay/default.htm>

Payments by Caltrans to a Grantee are made only after the FTA has been executed, and after a specified work or service is performed, paid for, and verified. These grants are only eligible for reimbursable expenses invoiced in arrears. Invoicing can be monthly, but must occur at least quarterly. The Programs strongly suggest quarterly. Grantees are expected to submit a request for reimbursement as milestones are completed. A single, one-time, **lump-sum invoice for the entire grant is not allowed**. Local match contributions must be expended on a proportional basis coinciding with the expenditure of the grant funds. Project Managers are to be reminded by the Contract Managers to submit invoices and supporting documentation on a regular and timely basis – at least quarterly, to enable monitoring of progress and deliverables.

Invoices

In general, the level of reimbursement to a Grantee should be commensurate with the percentage of the project completed as specified within the scope of work. Credits for local matching funds will be made or allowed only for work performed **after the start date** and up to the **termination date of the contract**. Expenditure or proof of local match contributions must be provided on a basis proportional to each task, coinciding with invoice frequency.

Note: A Project Manager must submit with each invoice a clear and concise summary of tasks completed and funds – grant and local match funds, expended to date. The summary is one of the tools Contract Managers utilize when completing quarterly reports. These reports are retained in the Contract Manager’s project file.

A complete invoice submitted by a Grantee’s Project Manager must include the summary noted above and the following information:

1. The Grantee’s name
2. Remittance address
3. Description/itemization of goods or services completed
4. Dollar amount for the goods or services completed
5. Date the invoice was written and mailed
6. Invoice number (e.g., Invoice # 1)
7. FTA number
8. EA and any associated special designation
9. Support documentation that proves funds were expended and a product or activity delivered

For a Project Manager’s convenience, a sample invoice is provided in Appendix K and in the online [Toolbox](#). The sample invoice includes a space for each of the information items listed above. The invoice must be provided on their agency’s letterhead.

Invoice Reviews

It is the Grant Manager’s responsibility to ensure proper invoice content and formatting. When reviewing an invoice, the Contract Manager must do the following:

1. Log in and date stamp the invoice(s) immediately upon receipt.
2. Review the invoice for accuracy, timeliness, and compliance with the cost and payment terms of the contract.
3. Ensure the costs shown on the invoice are within appropriate parameters for costs listed in the scope of work and budget/timeline.
4. Review invoice(s) and deliverable(s) to verify what was paid for has been obtained.
5. Document and file the invoice and the summary of tasks completed and funds expended to date.
6. Monitor and track expenditures.

Preparing Invoices for Payment

Once the invoice is reviewed and approved by the Grant Manager, the Grant Manager prepares the invoice package and forwards to RMB. Each invoice must be submitted with a completed “*Receiving Record*” (Form 1226A). This form can be obtained by visiting the Caltrans Electronic Forms Systems (CEFS) at:

<http://cefs.dot.ca.gov>.

In addition, a sample Receiving Record can be found on the Intranet Toolbox by [clicking here](#), or on Appendix I.

Click on “Forms” and then type “1226A” into the “Search By Form Number” field. Contract Managers should contact your Program Manager if the form cannot be obtained. Refer to Appendix J for a step by step guide on filling out Form 1226A.

Processing Invoice Packages

Once an invoice package is reviewed and approved by the Contract Manager, the receiving record, and invoice must be assembled and transmitted to RMB – one original and one duplicate. The Contract Manager will retain one copy of the following for the District’s project file:

1. A copy of the invoice.
2. A copy of the receiving record.
3. All support documentation/proof of expenditure.

To expedite invoice delivery and payment, Contract Managers can fax or submit invoice packages electronically in PDF format. All invoice packages should be sent via email to RMB contact and Program Manager. The invoice packages may also be sent via Caltrans’ inter-departmental mail, or overnight courier service to:

California Department of Transportation
Division of Transportation Planning, MS 32
Attention: Resource Management Branch
P.O. Box 942874
1120 N Street, Room 5300
Sacramento, CA 94274-0001

RMB will enter the invoice information into the DOTP contract-monitoring database upon receiving. He/she will then forward the invoice to DOA for processing and payment by the State Controller’s Office.

Note: All Invoices must be reviewed and processed by the Contract Manager prior to sending the invoice to RMB. Invoice packages submitted directly to RMB from Project Managers will be sent back.

Invoice Disputes

A Contract Manager may use their discretion and dispute an invoice for “reasonable cause” within 15 working days from the receipt of the invoice. Reasonable cause is defined as a determination that any of the following conditions are present:

1. There is a discrepancy between the invoice and the provision of the contract.
2. There is a discrepancy between the invoice and either the contractor’s actual delivery of property or services to the State.
3. Additional evidence supporting the validity of the invoice is required to be provided to the Department by the Grantee/Project Manager.
4. The invoice needs to be corrected by the Grantee/Project Manager.

A Contract Manager cannot dispute an invoice on the basis of minor or technical defects in order to avoid having the invoice processed and paid within specified “*Prompt Payment Act*” time limits.

If an invoice is disputable, the Contract Manager must supply written notification of the invoice dispute to the Grantee. A copy of the notification must be provided to RMB, and the Grant Program Manager. Written notification must be accomplished by completing an “*Invoice Dispute Notification form (STD 209)*”. A cover letter should also accompany the STD 209. The cover letter and STD 209 should describe why the invoice has been disputed, and what actions are necessary to bring the invoice into a “payable” status.

Failure to notify the parties listed above in writing will cause the invoice to be considered an “undisputed invoice” requiring interest paid each and every day after the required “*Prompt Payment*” period. These interest charges are assessed to Caltrans, and must be paid. A Contract Manager can obtain the Invoice Dispute Notification form (STD 209) at the following web site:

<http://cefs.dot.ca.gov/forms/index.html>.

Type “209” into the “Search By Form” prompt.

You may need to download “Forms Flow” in order view and use this form.

Contract Managers should contact your Program Manager if the form cannot be obtained.

Contract Expenditures/Invoice Monitoring

Approximately 45 days after a Project Manager submits an invoice to Caltrans, expenditure balances or a grant's draw-down should be able to be tracked. Contract Managers monitor contract expenditures for most contracts through SCATS – the Service Contract Automated Tracking System, on the Intranet at:

<http://onramp.dot.ca.gov/hq/accounting/scats/main.htm>

Follow the instructions below to use SCATS:

1. Select appropriate district.
2. Click on “Summary Report for District”.
3. Scroll to, or search for the Contract Number in the “Contract/Lease” field at the bottom of the page.
4. Click on the Contract Number.
5. Or, just enter the contract number in the box at the bottom of the page and click view.

Contract Managers and Project Managers should communicate when payments are received. Contract Managers should call their Project Managers approximately 30 days after they mail invoices to RMB for processing. This is done to track when or if invoices have been paid. Contract Managers should also be checking SCATS approximately 30 days after they mail invoices to RMB. This is done to see if invoices have been logged. Conducting these activities can help any Contract Manager track payment and grant fund draw-down.

Reporting Requirements

Quarterly reporting is required for all grants. Each individual grant program facilitates quarterly reports. They are requested four times each State Fiscal Year, July 1 – June 30. Information is gathered through the quarterly report that helps the Program Manager monitor each project and determine needed improvements.

Contract Managers should be able to complete quarterly reports based on invoice summaries, discussions, emails and other written correspondence conducted through the prior quarter. If needed, the Contract Manager can solicit the Project Manager for a project status. **Project Managers shall not fill out Caltrans quarterly reports.**

Grantees must provide interim or draft reports to their Contract Managers as they are developed in accordance with the scope of work and FTA. All grant deliverables (including project summaries, invoices, draft or final reports, and other documents) will be submitted to Caltrans directly from the Grantee to their designated Contract Manager.

Program Managers or Headquarters staff will solicit District staff for quarterly reports following this schedule:

1st Quarter: July-September: **(Quarterly Report due October 15)**

2nd Quarter: October-December: **(Due January 15)**

3rd Quarter: January-March: **(Due April 15)**

4th Quarter: April-June: **(Due July 15)**

Information required on a quarterly basis (*this section will be revised soon to reflect any changes*):

1. Project status/general comments (including progress, contract issues, problems encountered).
2. Identification of Community-Based Organizations (not-for-profit) involved in the project.
3. Discussion/evaluation of public participation efforts.
4. Dollars expended.

A sample of quarterly report can be found in the Toolbox by [clicking here](#) and Appendix L at the end of this document.

Ownership

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

Project Close-Out

There are a number of steps that must to be followed in order to properly closeout projects. These steps are:

Final Invoice/ Project Close-Out

The contract expiration date is the last date that a Grantee can incur project costs.

FY 2007-2008 Projects is February 28, 2010
FY 2008-2009 Projects is February 28, 2011
FY 2009-2010 Projects is February 28, 2012
FY 2010-2011 Projects is February 28, 2013

A Project Manager has up to 60 calendar days after the contract expiration date to make final payments to Project Contractors, produce the final report and electronic web file, and submit the final invoice to the Contract Manager for reimbursement (April 28). District Contract Managers will need to indicate on the Receiving Record (Form 1226A) that the invoice is the final invoice, and then follow the invoicing procedures noted above. The Contract Manager must also notify the Program Manager and RMB in writing to close out the project EA.

Final Report Distribution

The Project Manager will mail four reproducible hard-copies of the final report or plan, and four electronic versions, on compact discs to the Contract Manager. The Contract Manager will keep **one set** for Caltrans District files, mail **one set** to the Caltrans headquarters Program Manager, and mail one set to **each** of the following addresses:

California State Library
Government Publications Section,
P.O. Box 942837,
Sacramento, CA 94237-0001
(IMS: 914 Capitol Mall, E-29)

California Department of Transportation,
Transportation Library (MS45),
P.O. Box 942874,
Sacramento, CA 94274-0001

Note: Any other types of Final Products may only require submission to Contract Manager and Program Manager.

Evaluation Materials

Contract Managers will need to complete and submit to the Caltrans headquarters Program Manager the following evaluation materials upon project completion:

An *STD.4 – “Contractor Evaluation Form”* A copy of the STD. 4 can be obtained by [clicking here](#) and following the directions below –

In the first box type "4".

Click "GO"

Click the button that is the first one at the top called "std004.pdf".

A Program Survey should be completed and submitted to Headquarters Program Manager. See Appendix M.

Closing

We hope this handbook serves as a tool to Caltrans staff, interested Applicants, and Awardees when working with the EJ and CBTP Grant Programs. This handbook is intended to supplement the already existing materials provided by the EJ and CBTP Grant Programs. This document is not legal in nature, but is recommended for use when completing grant contracting forms with Caltrans.

If you feel there are revisions to be made, or information to be included to this document please contact Headquarters EJ and CBTP Program staff.

Appendices

General Information

- A. Caltrans District Boundaries
- B. Caltrans District Contacts

Application Process

- C. Sample Scope of Work
- D. Sample Project Timeline
- E. Match Calculator
- F. Sample Resolution

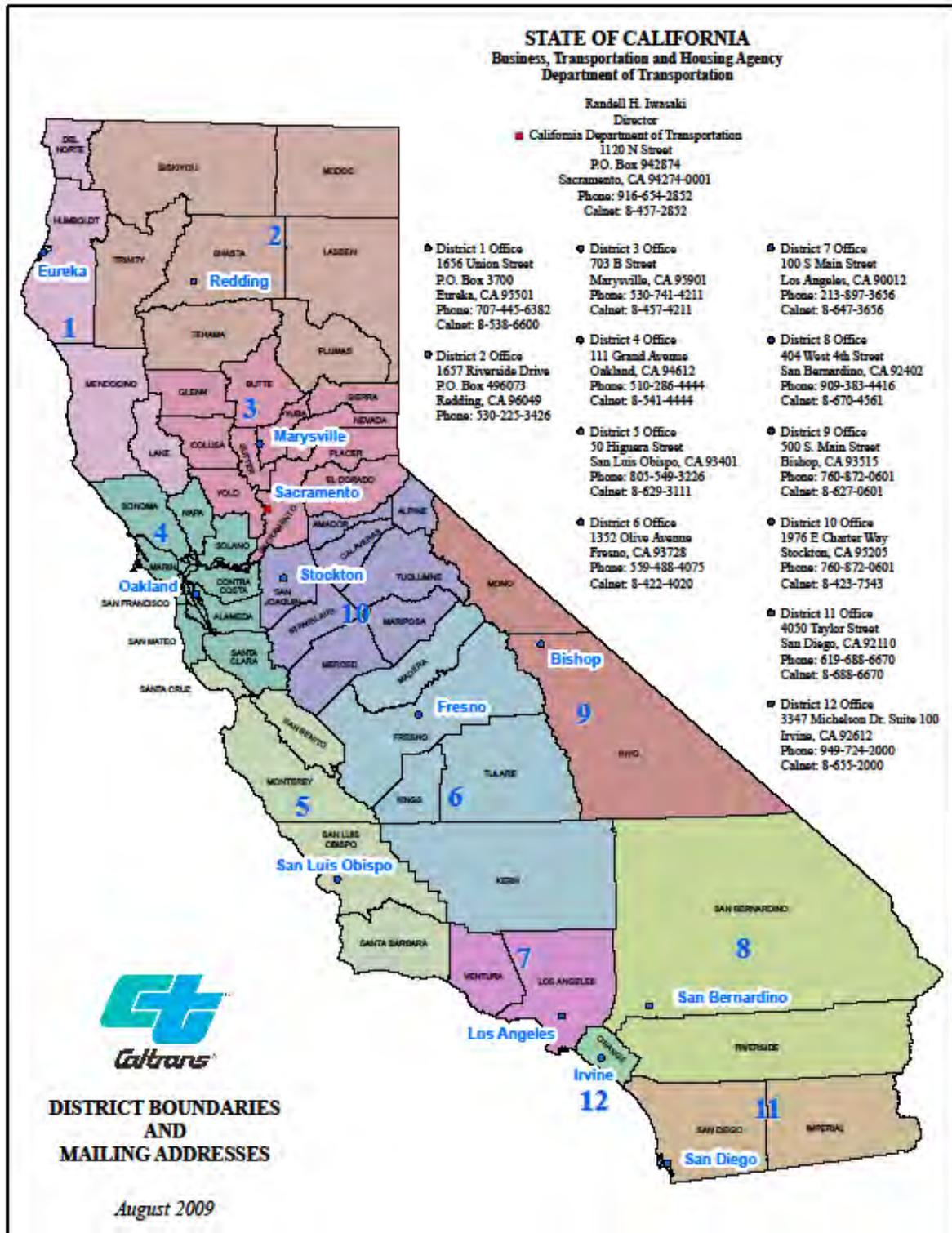
Contract Execution

- G. Contracting Flow Chart
- H. Sample Form 360

Project Execution and Closeout

- I. Sample Receiving Record
- J. Step by Step Instructions to prepare a Receiving Record
- K. Sample Invoice
- L. Sample Quarterly Report
- M. District Survey

Appendix A: Caltrans District Boundaries



Appendix B: CBTP and EJ District Contacts

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

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

Appendix C: Sample Scope of Work

City of Can Do Planning Project
Required Scope of Work Format

PUBLIC OUTREACH AND EDUCATION

Task 1 Direct Public Outreach

Task 1.1

Perform door-to-door outreach in the targeted neighborhoods, engaging resident in one-on-one conversations and distributing materials such as flyers and brochures.

Task 1.2

Distribution of flyers and information through the local schools.

Task 1.3

Follow-up telephone calls to people contacted through the door-to-door efforts.

Task 1.4

Direct mailing to the existing members and the new contacts in the target neighborhoods.

DELIVERABLES (on a monthly basis)

Deliverable	Documentation
Talk one-on-one in the neighborhoods with 500 people a month	Numbers will be on the invoices listed by organizer
Distribute 3,000 flyers per month door to door	Copy of flyer and lists of institutions that distribute the flyers
Contact 500 people a month by telephone in follow up telephone calls	Number of telephone hours listed on the invoice
Direct mail to 1,000 a month	Copy of mailer

Task 2 Small Planning/Educational Meetings

Task 2.1

Hold neighborhood-based house meetings with 8-15 people to begin discussing the transportation issues in the neighborhood.

Task 2.2

Hold advanced leadership training for people already involved in the campaign with between 10-20 people in attendance.

DELIVERABLES (on a monthly basis)

Deliverable	Documentation
House meetings	Attendee numbers will be on the monthly invoice
Leadership meetings	Attendee numbers will be on the monthly invoice

Task 3 Community Workshops

A series of five community workshops will be held to explore the planning process itself, issues related to creating bike and pedestrian-friendly neighborhoods, methods of gathering empirical evidence of problems, other ways research can help community residents understand problems and solutions, the current efforts to enhance bike and walk ability in the target community plan areas, and the historical context of land-use decision-making in the City of Can Do area.

Conduct Community Workshops with 30-50 people

DELIVERABLES (on a monthly basis)

Deliverable	Documentation
Larger community meetings	Attendance figures will be on the monthly invoices

Task 4 Media Outreach

Task 4.1 Develop and Implement Public Service Announcement (PSA) Campaign

Script PSA to ask various radio stations to record and play.

Ask radio stations to play our PSAs describing the transportation concerns and asking people to contact ACORN.

Contact five radio stations about running the PSAs.

For the rest of the project, keep in touch with these stations.

Task 4.2 Meet with Television Stations

Meet with two Spanish language television stations about the project.

Meet with three English language television stations about the project.

Task 4.3 Meet with Newspapers

Contact English language community newspapers.

Meet with a Spanish language daily newspaper.

Throughout the project, continue to notify these newspapers of upcoming meetings and events as well as the plans that are being developed.

DELIVERABLES

Deliverable	Documentation
Develop PSAs	Written copy of PSA
Contact radio stations	List of stations contacted
Contact television stations	List of stations contacted
Contact newspapers	List of newspapers contacted

RESEARCH

Task 5 Develop and Implement Survey Instruments

Task 5.1 Develop Survey

Develop a community survey to observe and collect data on current physical neighborhood conditions and to gather community members' perspectives on transportation issues as well as related neighborhood concerns.

Task 5.2 Perform Survey with Residents

Perform door-to-door walking audits and complete survey of residents.

Task 5.3 Survey Organizations

Conduct an ongoing series of community involvement meetings working directly with groups in the targeted neighborhoods. These meetings will include small, intimate, block-level meetings; larger, community-wide meetings; tours of trouble spots and model solutions; and other forums for bringing representatives of groups together to impact the planning process.

Task 5.4 Hold Education Meetings

Hold a guest-presenter series that includes people with expertise on neighborhood design and planning processes, local walking and biking efforts, community involvement systems, conducting community-based research, and most likely, several topics selected by representatives from groups themselves. We expect strong representation from City of Can Do, STPP, ACORN, and other community-based organizations as part of this series.

Deliverable	Documentation
Creation of Survey Instrument	W written copy of survey
Completed surveys by community residents	Report and copy of survey results
Input from organizations and others	Report with their comments
Hold series of education trainings	Copy of agendas

ANALYSIS

Task 6 Analyses of Data

Task 6.1 Compile Data

Compile survey results into a report documenting the sentiments, concerns, and specific issues of those surveyed.

Task 6.2 Coordination with City of Can Do

Work with the City of Can Do to work through the data, make recommendations, and compile an analysis and report.

Task 7 Collaboration and Final Report

Task 7.1 Work with Neighborhood Planning Groups

Make presentation to the Neighborhoods Community Planning Group and the Southeastern Planning Committee.

Hold monthly meetings with leaders of each Community Planning Group.

Meet with members of each planning group for input on plans made so far by community residents.

Meet with Neighborhoods Community Planning Group and the Southeastern Planning Committee about the data and report and ensure that our final recommendations and plan reflect their input.

Task 7.2 Compile Final Report

Create and publish a set of documents that clearly delineate a set of the “best practices” for increasing the involvement of groups in local planning efforts that the City of Can Do may distributed to planning agencies, cities, counties, and regional governmental bodies across the state. This manual will need to be reviewed for consistency with the newly revised and updated Street Design Manual.

Deliverable	Documentation
Analysis of data collected	Written copy of final analysis
Input from neighborhood planning groups	Memo on meetings with them
Draft best practices manual	5 copies of manual
Final best practices manual	25 copies of manual

ADMINISTRATION/COORDINATION

Task 8: Project Management

The City of Can Do Planning Department will manage the project including administration of the grant and coordination of all activities related to the scope of work. Duties will include establishing contractual arrangements with ACORN and all sub consultants, monitoring consultant work, participating in public events, reviewing deliverables, processing invoices, etc.

Appendix E: Match Calculator

Community-Based Transportation Planning and Environmental Justice Planning Grants		
Local Match Calculator		
Grant Funds Requested	\$200,000.00	88.89%
Local Match - Cash	\$25,000.00	11.11%
Local Match - In-Kind	\$0.00	0.00%
Total Project Cost	\$225,000.00	100%
<i>Local Match total must be a minimum of 10%</i>		
Total Local Match %		11.11%
<i>In-Kind Match cannot exceed 25% of total match amount</i>		
In-Kind % of Total Local Match		0%

Appendix F: Sample Resolution

(R-2006-320)

RESOLUTION NUMBER R- 300957

ADOPTED ON OCT 24 2005

WHEREAS, the City and the San Diego Association of Governments [SANDAG] both applied for and were awarded grants from the California Department of Transportation to complete mobility planning studies for the 4th, 5th, and 6th Avenue corridors; and

WHEREAS, SANDAG and the City seek to combine their resources and respective grant funding in order to conduct the technical analyses, public outreach, prepare the refined concept plan, transit operating plan design documents, and conceptual design plans for BRT stations [Project]; and

WHEREAS, Staff has prepared a Memorandum of Understanding [MOU] between SANDAG and the CITY in order fund and administer the Project; NOW, THEREFORE,

BE IT RESOLVED, by the Council of the City of San Diego, that the City Manager or his representative is authorized or empowered to enter into a Memorandum of Understanding with SANDAG establishing the division of labor and cost sharing to complete mobility planning studies, including traffic calming, transit lanes, and pedestrian and parking improvements for the 4th, 5th, and 6th Avenue Corridors [Hillcrest Corridor Mobility Plan], which are required by the respective grants; and

BE IT FURTHER RESOLVED, that the City Manager is authorized or empowered to execute all documents, including contracts, subcontracts, agreements, extensions, renewals, and/or amendments required by SANDAG, which may be necessary to carry out and administer all obligations, responsibilities and duties under these grants upon receipt of a fully executed Memorandum of Understanding.

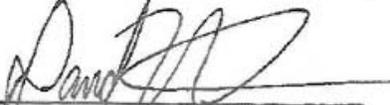
-PAGE 1 OF 2-

BE IT FURTHER RESOLVED, that the City Auditor and Comptroller is authorized to establish a separate interest bearing grant fund account as needed for the MOU, if secured.

BE IT FURTHER RESOLVED, that the City Auditor and comptroller is authorized to increase the Fiscal Year Capital Improvements Program CIP No. 527570, Hillcrest Corridor Mobility Study, by \$120,000 in new SANDAG funding, upon receipt of a fully executed program supplements.

BE IT FURTHER RESOLVED, that the City Auditor and comptroller is authorized to appropriate and to expend an amount not to exceed \$120,000 from CIP No. 527570, Hillcrest Corridor Mobility Study, which is from the MOU with SANDAG for the purpose of preparing a study and related expenses, upon receipt of a fully executed MOU.

APPROVED: MICHAEL J. AGUIRRE, City Attorney


David E. Miller

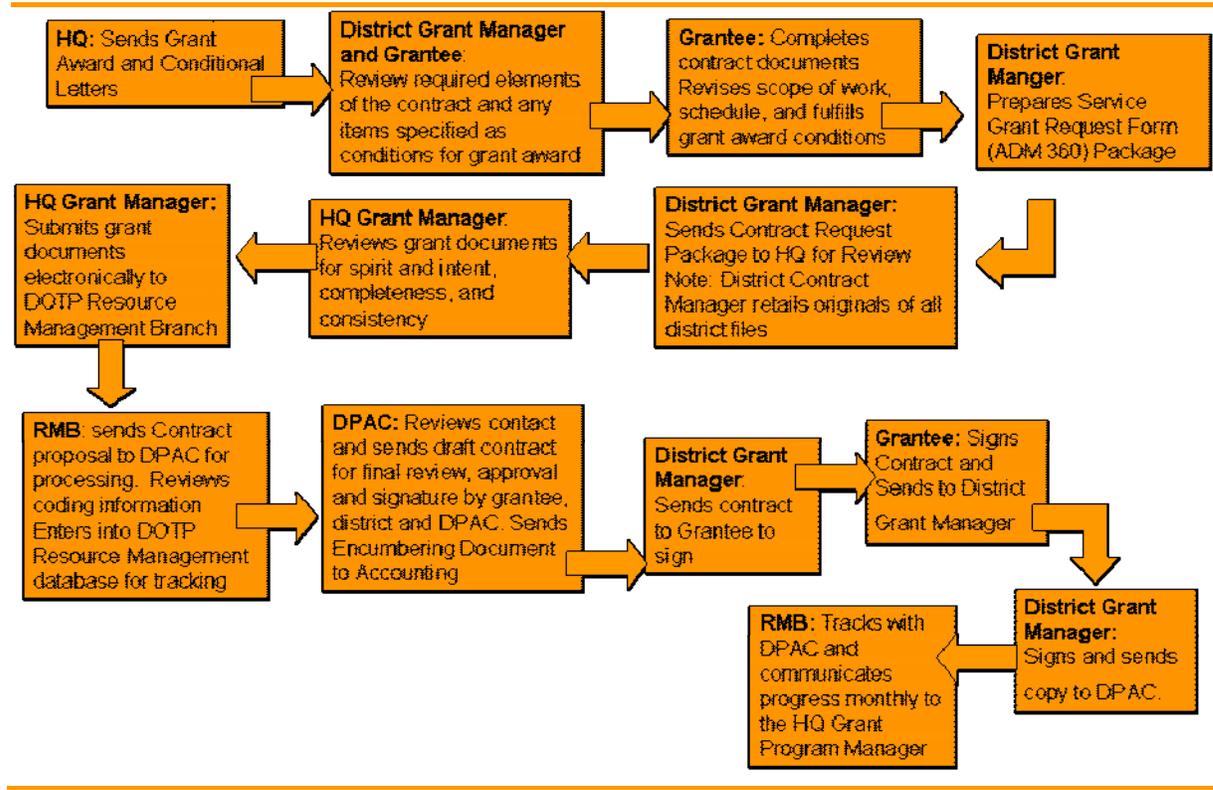
By

Ddputy City Attorney

DEM:aml
09/30/05
Or.DeptPlanning
Aud.Cert:N/A
R-2006-320
MMS#2516

Appendix G: Contracting Process

CBTP and EJ Grant Contracting Process



Appendix H: Sample Form 360

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION SERVICE CONTRACT REQUEST ADM-0360 (REV. 07/07) <i>Electronic Submittal: Non A&E - Lotus Notes Address "Contract Submittal"</i> <i>A & E - Lotus Notes Address "AE Contract Submittal"</i>				DIVISION OF PROCUREMENT AND CONTRACTS USE ONLY						
Contract Request # HQ Will Assign			REQUESTER District/Division Your District # / Division							
Mail Station Your MS		Office/Branch Your Office /Branch		ASSESSMENT REVIEW Logged In By Logged In Date Team Accepted By						
Contract Manager (Print) District Contract Manager			Phone ###-###-####							
Contract Manager (Signature)			Fax ###-###-####							
Reason Not Accepted				Assigned To DPAC Contract # Category Code						
CONTRACT SUMMARY										
AGREEMENT OUTLINE Identify specific problem, administrative requirement, program need, or other circumstances making contract necessary. In addition, cite specific statutory authority justifying contracting out. (See instructions for assistance)			DESIRED TERM OF CONTRACT Start Date End Date Date + 60 Days 02/28/2012 Number of Working Days (Minor B Only)							
GC 19130(b)3: The services are not available within civil service; cannot be performed satisfactorily by civil service employees; or are of such a highly specialized and technical nature that the expert knowledge, experience and abilities required are not available through the civil service system.			NEW, RENEWAL, OR AMENDMENT (CHECK ONE ONLY)							
			<input checked="" type="checkbox"/> New Service <input type="checkbox"/> Renewal - Prior Contract # _____ <input type="checkbox"/> Amendment - Original Contract # _____							
Type of Contract - FTA Project Title: Exactly as it appears on the approved application Short Description of the work to be performed Grantee Name Grantee Project Manager Mailing Address Phone Number Fax Number Federal Tax ID #			DESIRED SOCIOECONOMIC PARTICIPATION							
			<input checked="" type="checkbox"/> No Goals <input type="checkbox"/> State or State/Local Funds DVBE Goals _____ % <input type="checkbox"/> Fed or Fed/State Funds DBE Goals _____ % <input type="checkbox"/> Small Business Solicitation Invitation For Price Quote Process							
COMPLETE YOUR ADM 0360 PACKAGE BY ATTACHING: (See instructions for assistance)										
<input checked="" type="checkbox"/> Scope of Work <input type="checkbox"/> Conflict of Interest Fm DGS-GC 19990 <input type="checkbox"/> Bidders/Proposers List <input type="checkbox"/> Confidentiality of Information Fm 65 <input type="checkbox"/> Bid Sheet <input type="checkbox"/> Selection Committee Members <input type="checkbox"/> Prior Contract <input type="checkbox"/> Selection Committee Nomination Memo <input type="checkbox"/> Original Contract <input type="checkbox"/> Work Plan Justification <input type="checkbox"/> Minor B Contract Documents <input type="checkbox"/> IT Required Documents <input type="checkbox"/> Noncompetitively Bid ADM 3007 <input type="checkbox"/> Approved No Goals Justification <input checked="" type="checkbox"/> Timeline <input type="checkbox"/> Emergency Contract Documents <input checked="" type="checkbox"/> Board Resolution										
FUNDING (Post Funding For This Contract Request Only)										
Source District	Source Unit	Change District	Expenditure Authorization	Subjob	Special Designation	Fed Aid	Object Code	Amount	Fiscal Year	
74	167	YourD	606869		See HQ Contact/Toolbox for #	7	049		10	
TOTAL										
Agency Billing Code	Fund Title	Budget Item	Fund Chapter	Statute	Cap Outlay Funds	Fund Source Percentages				
District Billing	SHA	2660-102-0042	1	2009	YES <input type="checkbox"/> NO <input checked="" type="checkbox"/>	Fed	% State	% Local	100	% Other
APPROVALS										
BUDGET REPRESENTATIVE CERTIFIES ACCURACY & AVAILABILITY FUNDING			Print	Signature	Phone	DATE				
			Cheryl Babcock		(916) 654-4499					
APPROVING MANAGER CERTIFIES CONTRACT JUSTIFICATION & COMPLETE ADM0360 PACKAGE			Print	Signature	Phone	DATE				
			District Approving Manag		###-###-####					
DISTRICT DIRECTOR / DIVISION CHIEF CERTIFIES EMERGENCY CONTRACT JUSTIFICATION			Print	Signature		DATE				

Appendix I: Sample Receiving Record

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION
RECEIVING RECORD
 FA-1226A (REV 8/2004)

PLEASE CHECK ONE: CDDPO CONTRACT GSPPO OTHER

VENDOR NAME: City of Mazza
 RECEIVED BY (Please Print): Jodi Lehmkuhl
 DATE RECEIVED: 10 / 06 / 2009
 SPECIAL INSTRUCTIONS: DISCOUNT EXPEDITE

PREPARED BY (Please Print): JODI LEHMKUHL
 PHONE NUMBER: (916) 653-3896
 DATE PREPARED: 10 / 09 / 2009
 APPROVED BY (Signature): 
 PHONE NUMBER: (916) 653-3896

SERVICE CONTRACT NUMBER: 74A1010
 PURCHASE ORDER NUMBER:
 VENDOR NUMBER:
 CURRENT DOCUMENT NO.:

DESCRIPTION/COMMENTS	TC	DD	MM	YY	SOURCE	CHG	EXPENDITURE	SUBJOB	SPECIAL DESIGNATION	F	AGCY	AMOUNT	OBJ	CHECK DATE	CHECK NUMBER	APP	FUND
Task 1,2,3					DIST	UNIT	DIST	AUTHORIZATION		A	OBJ		DET			SYM	CODE
INVOICE NUMBER					74	167	13	6106869	stop5675		7647	\$4,469.00			110		F
																	S
								10/01/2009									

DESCRIPTION/COMMENTS	TC	DD	MM	YY	SOURCE	CHG	EXPENDITURE	SUBJOB	SPECIAL DESIGNATION	F	AGCY	AMOUNT	OBJ	CHECK DATE	CHECK NUMBER	APP	FUND
					DIST	UNIT	DIST	AUTHORIZATION		A	OBJ		DET			SYM	CODE
INVOICE NUMBER																	F
																	S

DESCRIPTION/COMMENTS	TC	DD	MM	YY	SOURCE	CHG	EXPENDITURE	SUBJOB	SPECIAL DESIGNATION	F	AGCY	AMOUNT	OBJ	CHECK DATE	CHECK NUMBER	APP	FUND
					DIST	UNIT	DIST	AUTHORIZATION		A	OBJ		DET			SYM	CODE
INVOICE NUMBER																	F
																	S

ADA Notice For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 854-3410 or TDD (916) 854-3880 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.

Appendix J: Preparing and Receiving Record



California Department of Transportation
Office of Community Planning
Environmental Justice and Community-Based Transportation Planning

Preparing a Receiving Record

This Receiving Record form can be obtained by visiting the Caltrans Electronic Forms Systems (CEFS) at:

<http://cefs.dot.ca.gov/>

Click on "Forms" and then type "1226A" into the "Search by Form Number" field. Contract Managers should contact your Program Manager if the form cannot be obtained.

The fields on the "Receiving Record" must contain the following information:

Field

Mark the "Contract" box

Write or type "1 of 1" for "page no. ___ of ___".

Write or type the Vendor Name in the "Vendor Name" field.

Write or type the Contract Manager's name in the "Received By" field.

Write or type the date the District mailroom date stamped the invoice in the "Date Received" field.

Mark the "Expedite" box.

Write or type the name of the person who prepared the Receiving Record in the "Prepared By" field.

Write or type the persons phone number in the "Phone Number" field for the person who prepared the Receiving Record.

Write or type the date the Receiving Record was prepared in the "Date Prepared" field.

Ensure the District Contract Manager signs the Receiving Record in blue ink in the "Approved By" field.

Write or type the District Contract Manager's phone number in the next "Phone Number" field.

Write or type the FTA/ Contract number in the "Service Contract Number" field.

Skip the "Purchase Order" field.

Write or type the vendor number (obtained through the Project Manager) in the "Vendor Number" field

Write or type in the box labeled "Description/Comments" a general description of expenses to be reimbursed.

Write or type in the boxes/fields provided the "Source District" = 74 (HQ), and "Source Unit" = 167 for CBTP and 169 for EJ, and your District # (1-12) in the "Chg Dist field.

Write or type the Specific Contract EA in the "Expenditure Authorization" fields.

Write or type in the Special Designation in the "Special Designation" field.

Write or type "7" (State Highway Account Funds) in the "FA" field.

Write or type "049" in the "Agcy Obj" field.

Write or type the invoice amount in the "Amount" field.

Write or type the fiscal year in the "FY" (for example 09 for a FY 08-09 project).

Write or type in the "Reference Document No" field, the FTA/contract number and suffix if applicable).

Write or type in the "Invoice number" field the invoice number (Example, for the first invoice write "Invoice # 1" and for the final invoice write "Invoice # ___ final").

Write or type in the "Document Date" field, the date posted on the invoice by the Grantee.

Appendix K: Sample Invoice

Grantee Letterhead

Grantee Logo

Cost Reimbursement
 Invoice No. 06-155134
 Tax ID# 95-3457298

TO: Caltrans – District 100
 P.O. Box 85678, MS 50
 City of Can Do, CA 90000

INVOICE DATE: October 13, 2005
CONTRACT NO.: 11A1111
DATES OF SERVICE: 9/1/06-12/25/06

ATTENTION: Joe Waiting

Project Title: Making the Freeway a better way to travel

DESCRIPTION	HOURS	UNIT COST	AMOUNT (\$)
Contractor Direct Cost: fixed – fee for service	547.00	31.98/hr	\$17,493.06
Contractor Direct Cost: variable fuel expense	574.00	0.217/hr	\$124.56
Door-to-Door Research	547.00	15.75/hr	\$8,615.25
Distribution of flyers	33.00	1/hr	\$33.00

FTA Amount:	\$112,500	Match Requirements:	\$12,500
Previously Billed:	(\$2,364.99)	Previously Billed:	(\$2,625.00)
Current Amount Billed:	\$26,265.87	Currently Billed:	\$5,252.03
Contract Balance:	\$83,869.14	Match Balance:	\$4,622.97
Net Amount Due to Grantee:	\$26,265.87		

I certify the charges for work billed are proper and that project progress is commensurate with cash disbursements being claimed on the "Net Amount Due" line above:

I have reviewed the invoice and supporting documentation and concur that expenses are consistent with the scope of work.

Caltrans District Representative Signature

Date

Print Name/Title: _____ Business Phone: _____

Appendix L: Sample Quarterly Report

(Coming Soon)

Appendix M: District Survey



California Department of Transportation
Office of Community Planning
Environmental Justice and Community-Based Transportation Planning

District Survey

To ensure quality and continuity of the Community-Based Transportation Planning (CBTP) and the Environmental Justice (EJ) Grant Programs, please complete the following survey. The survey shall be completed at the time of final project close out. District comments will help to improve the program.

SURVEY QUESTIONS

Were the grant purposes met?

Does the project provide a showcase example of livable community concepts?

Does the project help leverage other sources of funds for developing and implementing improvements?

Were the objectives of the Grant Program met?

What are the strengths of Grant Program?

What are the weaknesses of the Grant Program?

How would you improve the Grant Program?

How would you improve the technical help from Headquarters?

What is the quality of the final reports?

What are the next steps to be taken?