

Department of Transportation

**TRANSPORTATION PLANNING
GRANT CONTRACTING AND
MANAGEMENT**

FY 2009 - 2010



Congratulations!

- Nearly 90 Community Based Transportation Planning (CBTP) and over 50 Environmental Justice (EJ) grant applications were submitted with a combined request value of nearly \$35 million!
- This represents a substantial increase over all previous grant cycles.

Grant Selection Was Highly Competitive

- Grant awardees are among a very select group.
- 19 CBTP grants valued at \$2.6 million and 19 EJ grants valued at \$2.7 million were awarded.

Today's Objectives

- Celebrate success!
- Prepare for the contracting process.
- Discuss successful project execution.
- Review reporting expectations.
- Establish a strong partnership between Caltrans and grant winners.

Agenda

- Welcome/Introductions
- Review Agenda
- Who is involved?
- Responsibilities of parties involved
- Contract Process – How to Complete a Service Contract Request (Form 360)
- Invoicing
- Contract Closeout
- Questions & Answers

Who is involved?

- The grantees: The folks who will conduct the projects.
- Caltrans district staff: The main point of contact between grantees and Caltrans.
- Office of Community Planning (OCP) staff from Division of Transportation Planning (DOTP) at Caltrans Headquarters: Management of grant programs at a policy and statewide level.

Who is involved?

- Resource Management Branch (RMB): Tracks, reviews and monitors the reimbursement of funds to grantees.
- Division of Procurement and Contracts (DPAC): Develops all Caltrans contracts.

Contracting Process

Overview of Process
and Pathways

Steps in the Contracting Process

- District grant manager and grantee review required elements of a contract and any items specified as conditions for grant award.
- Grantee completes contract documents, revises scope of work and schedule, and fulfills grant award conditions.

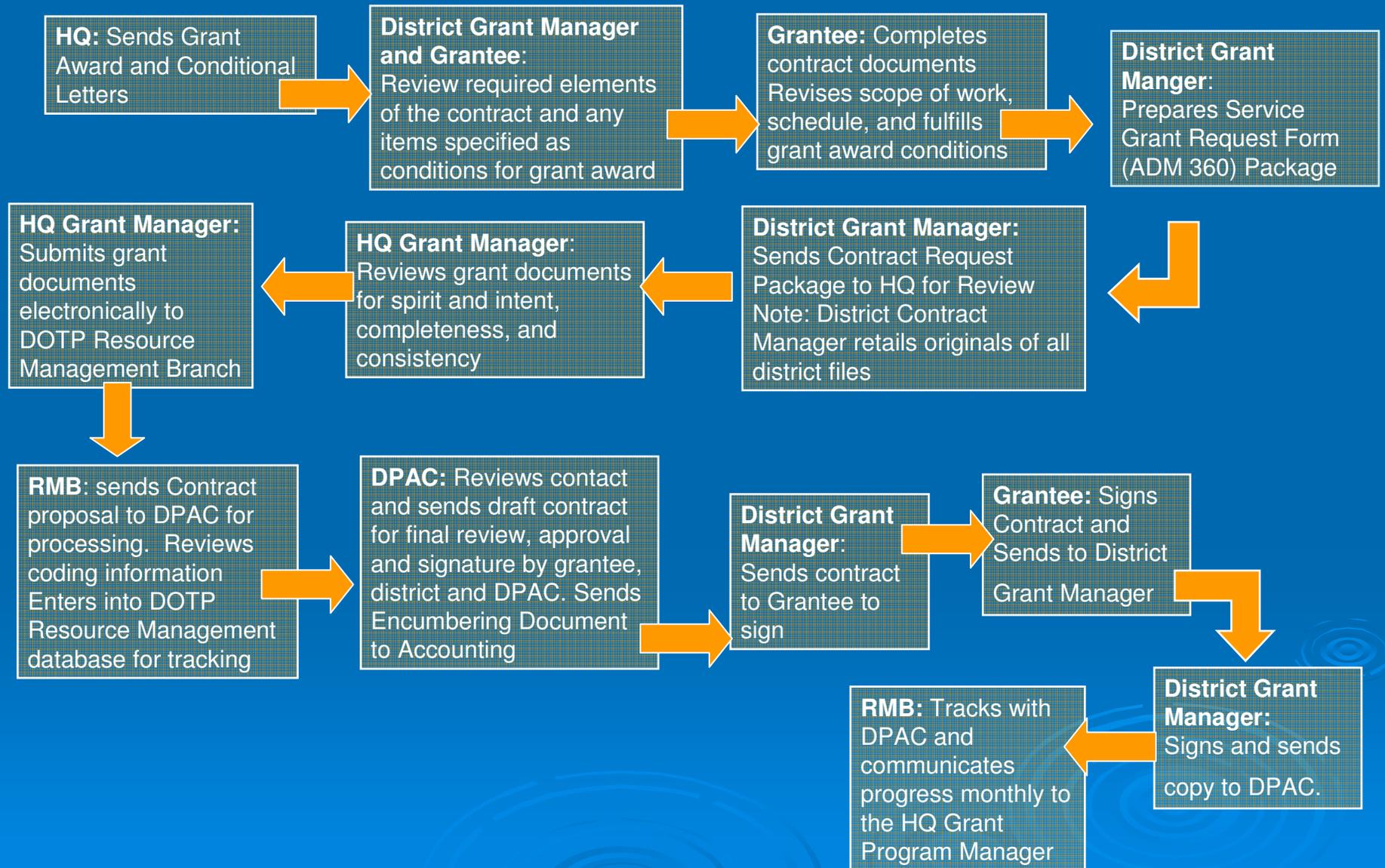
Steps in the Contracting Process

- Grantee sends package to district grant manager for review.
- District grant manager sends package to HQ Grant Program manager in the Office of Community Planning.
- Office of Community Planning reviews package and sends it to Resource Management Branch.
- Resource Management Branch reviews package and enters project information into tracking system.

Steps in the Contracting Process

- Contract proposal is sent to DPAC for processing.
- Draft contract is sent back for final review, approval and signature by grantee, district and DPAC.
- Project begins...

CBTP and EJ Grant Contracting Process



Contracting

Formalizing the Project

Contracting

Responsibility: District Grant Manager

- Review documents needed for contract package with grantee.
- Review any conditions of approval.
- Provide technical recommendations and assistance in preparation of documents.
- Provide review and feedback of documents.

Contracting

Responsibility: Grantee

- Prepare contract package for submittal.
- Modify and update Scope of Work and Schedule.
- Complete tasks or modifications necessary to meet any specified conditions.
- Maintain contact with your District grant manager through grant process.

Contracting

Responsibility: District Grant Manager

- Prepare and sign Service Contract Request Form (ADM- 360).
- Work with Grantee to ensure a complete Service Contract Request package (completed 360, fully- developed Scope of Work (Word), Budget/Timeline (Excel), Local Resolution (PDF)).
- Send Service Contract Request package electronically to HQ Grant Program Manager
- Retain original documents in District files.

Contracting

Responsibility: HQ Grant Program Manager

- Review grant documents for spirit and intent, completeness, and consistency.
- Work with District Grant Manager to revise as needed.
- Submit grant documents electronically to Resource Management Branch.

Contracting

Responsibility: Resource Management Branch (RMB)

- Enter into Resource Management database for tracking.
- Submit all contract documents electronically to the Division of Procurement and Contracts (DPAC).
- Track with DPAC and communicate progress monthly to the HQ Grant Program Manager.

Contracting Responsibility: DPAC

- Send Fund Transfer Agreement (FTA) to Grantee for signature.
- Send Encumbering Document to Accounting.

Contracting

Responsibility: Grantee

- Sign FTA and return to DPAC.

Contracting Responsibility: DPAC

- Sign FTA.
- Send copies of executed FTA to Grantee, District Grant Manager, HQ Program Manager and RMB.

Fund Transfer Agreement – FTA

Completing a Form 360

Contract Service Request

Completing a Form 360

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION		DIVISION OF PROCUREMENT AND CONTRACTS USE ONLY			
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>					
REQUESTER					
Contract Request #	District/Division				
DOTP-09-xxx	Your D / Your Division				
Mail Station	Office/Branch				
XX	XXXX / XXXXXXXX				
Contract Manager (Print)					
Your Name	(xxx) xxx-xxxx	Reason Not Accepted			
Contract Manager (Signature)		Assigned To		DPAC Contract #	Category Code
	(xxx) xxx-xxxx				

Contract Request # supplied by Jodi Lehmkuhl
This will be assigned when paper work is received at HQ

**** Contract Manager and Approving Manager **CAN NOT** be the same person.

Completing a Form 360

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)*

GC 19130(b)3: The services are not available within civil service; cannot be performed satisfactorily by civil service employees; or are of such highly specialized and technical nature that the expert knowledge, experience and abilities required are not available through the civil service system.

Type of Contract: FTA

Project Title; Exactly as approved on Grant Application

Short Description of work to be performed as described in Grant Application

Grantee Agency Name

Grantee Project Manager

Mailing Address

Phone Number

FAX Number

Federal ID Number

Completing a Form 360

Start Date	1/5/2010*	DESIRED TERM OF CONTRACT	
End Date	2/28/2012	Number of Working Days	(Minor B Only)
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 # _____		
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:			
<i>(See instructions for assistance)</i>			
<input checked="" type="checkbox"/>	Work	<input type="checkbox"/>	Conflict of Interest FM DGS-GC 1990
<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"/>	Non Competitively Bid ADM 3007	<input type="checkbox"/>	Approved No Goals Justification
<input type="checkbox"/>		<input type="checkbox"/>	Emergency Contract Documents
<input checked="" type="checkbox"/>	Local Resolution		
<input checked="" type="checkbox"/>	Project Timeline		

*Estimated Contract Execution Date – 60 days after complete package submitted to DPAC

Completing a Form 360

FUNDING (Post Funding For This Contract Request Only)										
Source District	Source Unit	Charge District	Expenditure Authorization	Subjob	Special Designation	Fed Aid	Object Code	Amount	Fiscal Year	
74	*	Your ID	**		***	7	049	Your Grant Amount	10	
TOTAL										
Agency Billing Code	Fund Title	Budget Item	Fund Chapter	Statute	Cap Outlay Funds	Fund Source Percentages				
****	SHA	2660-102-0042T	01	2009	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Fed	%State	%Local	100%	%Other

*EJ = 169

*CBTP = 167

** EJ = 606870
 CBTP = 606869

*** Assigned by HQ Program

**** District 1 = 60152
 District 2 = 60153
 District 3 = 60190
 District 4 = 60145
 District 5 = 60154
 District 6 = 60146
 District 7 = 60147
 District 8 = 60143

District 9 = 60155
 District 10 = 60142
 District 11 = 60144
 District 12 = 60600

Completing Form 360

APPROVALS

BUDGET REPRESENTATIVE CERTIFIES ACCURACY & AVAILABILITY OF FUNDING	Print Cheryl Babcock	Signature	Phone 916 654-4499	Date
APPROVING MANAGER CERTIFIES CONTRACT JUSTIFICATION & COMPLETE ADM0360 PACKAGE	Print **	Signature	Phone ()	Date
DISTRICT DIRECTOR/ DIVISION CHIEF CERTIFIES EMERGENCY CONTRACT JUSTIFICATION	Print	Signature		Date

**** - District Contract Manager Supervisor Signature**

The Scope of Work (SOW)

Who, What, Where,
When, Why and How
Much?

The Scope of Work (SOW) is a Key Document

- The SOW is the official description of work requirements needed to fulfill your contract.
- The SOW is the road map to the successful completion of your project.
- The SOW will be the reference point for project progress monitoring.

Elements of a Scope of Work

- Lists all major project tasks.
- Lists subtasks.
- “Deliverables” or products from each task and subtask.
- Description of work methods.
- Assignment of responsibility for task completion.

Tips and Pointers

- All tasks and task elements must be in alignment with the project narrative.
- Check task list for proper sequencing.
- Check task list for thoroughness and accuracy.

A Sample SOW Section

Task 2: Ongoing Community and Stakeholder Outreach

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

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

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

Deliverable

Promote and advertise charrettes

Conduct charrettes

Conduct TAG & CAC meetings

Documentation

Copies of advertisements and promotional materials

Meeting notes and/or summary of outcomes

Meeting notes

The Project Timeline\ Schedule

Timing is everything...

Sample The Project Timeline\ Schedule

California Department of Transportation
 Transportation Planning Grants
 Fiscal Year 2009-2010

SAMPLE PROJECT TIMELINE

Project Title		ACME CAP, Streetscape, Parking & Circulation Plans						Grantee	THE Council of Governments																		
Task Number	Tasks	Responsible Party	Fund Source				Fiscal Year 2010/11				FY 2011/12				FY 2012/13				Deliverable								
			Total Cost	Grant	Local	In-kind	Other	J	A	S	O	N	D	J	F	M	A	M		J	J	A	S	O	N	D	J
1.0	Pre-contracting conference	THECOG/ CT																									Meeting notes
1.1	RFP Preparation	THECOG	\$500	\$400	\$50	\$50																					Prepare Contract
1.2	Kick-off Meeting	THECOG/ABC	\$500	\$400	\$50	\$50																					Conduct Kick-off meeting
Ongoing Community & Stakeholder Outreach																											
2.1	Promote/Advertise Charrettes	ABC	\$20,000	\$18,000	\$2,000																						Charrettes promotional material
2.2	Conduct Charrettes	ABC	\$10,000	\$9,000	\$1,000																						Charrettes notes
2.3	Conduct TAG and CAC meetings	ABC	\$10,000	\$9,000	\$1,000																						TAG & CAC meeting notes
Develop Plan Components																											
3.1	Develop Parking Plan	ABC	\$16,000	\$14,400	\$1,600																						Parking Plan
3.2	Develop Circulation Plan	ABC	\$16,000	\$14,400	\$1,600																						Circulation Plan
3.3	Develop Streetscape Plan	ABC	\$16,000	\$14,400	\$1,600																						Streetscape Plan
3.4	Develop Funding Strategy	ABC	\$16,000	\$14,400	\$1,600																						Funding Strategy
3.5	Provide draft plans to TAG, CAC & public	ABC	\$16,000	\$14,400	\$1,600																						Draft plans and presentations
Final Plan Preparation																											
4.1	Prepare final plans based on input received	ABC	\$7,500	\$6,750	\$750																						Final plan(s) for hearing
4.2	Present final plan at THECOG public hearing	THECOG/ABC	\$7,500	\$6,750	\$750																						Present plan(s) to THECOG at public hearing, meeting minutes
Administration																											
5.1	Project monitoring & contract management	THECOG	\$7,000	\$6,300	\$350	\$350																					Monitoring project and contract management
5.2	Submit Info for Quarterly reports	THECOG	\$0	\$0	\$0	\$0																					Project status information
5.3	Fiscal management	THECOG	\$7,000	\$6,300	\$350	\$350																					Invoices
TOTALS			\$150,000	\$134,900	\$14,300	\$800	\$0																				

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

Tips and Pointers

- The schedule must align with the scope of work.
- The task items must include:
 - The party responsible for completion.
 - Cost.
 - Allocation of cost, ie. grant or local match in-kind, local match cash.
 - Deliverable.

Tips and Pointers

- Schedule must indicate providing of progress reporting each quarter.
- Schedule must include a project kick-off meeting between the district and the grantee.
- Schedule the consultant selection process.

Grant Contract Management

Teamwork For Success!

Grant Administration

Responsibility: Grant Manager

- Conduct kickoff meeting with Grantee.
NOTE: No charges can be incurred prior to execution of FTA (match or grant funds)
- Work with Grantee to ensure approved Scope of Work, Project Timeline, and Project Funding and Funding Chart are maintained.
- Submit quarterly progress reports to HQ Grant Program Manager.

District Grant Manager Once Contract is Awarded

➤ *Read Contract: Know what it says.*

Who is responsible for what?

What are deliverables?

When are services required?

What is the Budget?

District Grant Manager Needs to Know

1. Is the project on schedule?
2. Is the project within budget?
3. Are services specified in the contract being received?
4. What is the quality of services or products received?

District Grant Manager – Once Contract is Awarded

Set up a contract file:

- ADM Form 360
- An executed copy of contract
- Log of contract activities
- Correspondence, including invoice disputes
- Retain copies of all invoices and supporting documentation
- Develop a spreadsheet for available funding and expenditures
- Progress Reports
- Close-out Documentation

District Grant Manager Contract Management

Monitor Grantee Performance:

- Prepare quarterly progress reports.

- Is work satisfactory?

If not, document poor performance, take corrective action – may need to withhold payment.

Note: Caltrans may request a project audit at any time.

- District Grant Manager needs to have open communication with grantee.

District Grant Manger

Contract Management - Payment

- Progress Payments – Payment should equal services provided.
- Payments should be made at milestone completion.
- Compare Rates with Budget – Only Pay for Deliverables Completed.
- Comply with Prompt Payment Provisions.
- Use Invoice Dispute Notice (Std. 209), if necessary.
- Monitor Expenditures.

Invoicing

“Show me the money....”

Invoicing

Responsibility: Grantee

- Submit invoices with supporting documents to District Grant Manager - no more frequently than monthly but at least quarterly...

...lump sum invoices are **not** allowed.

Invoicing – District Grant Manager

- **Ensure** Grantee is aware of monthly/quarterly invoicing requirement.
- **Receive, date stamp, review invoices** to ensure charges are consistent with the approved Scope of Work, Project Timeline, and Project Funding Chart.
- **Complete Receiving Record** – prepared by District Grant Manager and approved by Supervisor (two different names and signatures).
- **Forward** invoice electronically, Fax, or by overnight mail to DOTP Resource Management Branch.
- **Retain copies** of all documents in the District Grant Manager's project file.

Invoicing – District Grant Manager Receiving Record

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION
RECEIVING RECORD
FA-1226A (REV 6/2004)

You can save data typed into this form for later editing, unless you click on the Lock Data Button.

Lock Data on Form

PLEASE CHECK ONE: CDPO CONTRACT GSPO OTHER _____ PAGE NO. _____ OF _____

VENDOR NAME _____ RECEIVED BY (Please Print) _____ DATE RECEIVED ____/____/____ SPECIAL INSTRUCTIONS:
 DISCOUNT EXPEDITE

PREPARED BY (Please Print) Ed Philpot PHONE NUMBER () DATE PREPARED ____/____/____ APPROVED BY (Signature) _____ PHONE NUMBER ()

SERVICE CONTRACT NUMBER _____ PURCHASE ORDER NUMBER _____ VENDOR NUMBER _____ CURRENT DOCUMENT NO. _____

DESCRIPTION/COMMENTS	T	C	SOURCE		CHG	EXPENDITURE	SUBJOB	SPECIAL DESIGNATION	F	AGCY	AMOUNT	FFY	REF	REFERENCE DOCUMENT NO.	SUF
			DIST	UNIT											
			INVOICE NUMBER				DOCUMENT DATE	SUBSIDIARY ACT	MSA CODE	OBJ DET	CHECK DATE	CHECK NUMBER	APP SYM	FUND CODE	F S

DESCRIPTION/COMMENTS	T	C	SOURCE		CHG	EXPENDITURE	SUBJOB	SPECIAL DESIGNATION	F	AGCY	AMOUNT	FFY	REF	REFERENCE DOCUMENT NO.	SUF
			DIST	UNIT											
			INVOICE NUMBER				DOCUMENT DATE	SUBSIDIARY ACT	MSA CODE	OBJ DET	CHECK DATE	CHECK NUMBER	APP SYM	FUND CODE	F S

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			DIST	UNIT											
			INVOICE NUMBER				DOCUMENT DATE	SUBSIDIARY ACT	MSA CODE	OBJ DET	CHECK DATE	CHECK NUMBER	APP SYM	FUND CODE	F S

DESCRIPTION/COMMENTS	T	C	SOURCE		CHG	EXPENDITURE	SUBJOB	SPECIAL DESIGNATION	F	AGCY	AMOUNT	FFY	REF	REFERENCE DOCUMENT NO.	SUF
			DIST	UNIT											
			INVOICE NUMBER				DOCUMENT DATE	SUBSIDIARY ACT	MSA CODE	OBJ DET	CHECK DATE	CHECK NUMBER	APP SYM	FUND CODE	F S

ADA Notice For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.

Invoicing Interest Penalty Policy

- The California Prompt Payment Act of 1999 requires paying an invoice within 45 calendar days: (Penalties are paid by the district).
- 15 calendar days total for the district and DOTP.
15 calendar days for the Division of Accounting.
15 calendar days for State Controller's Office.
45 calendar days total.

Invoice Disputes

- Invoice Dispute – District Grant Manager
If there is a problem or a question regarding an invoice and it cannot be resolved within a day or two you must complete and send to the grantee an Invoice Dispute Notification Form (Std Form 209). This will “stop the clock” for the prompt payment timeline and must be done within 15 working days from receipt of invoice.

STATE OF CALIFORNIA

INVOICE DISPUTE NOTIFICATION

Std. 209

PC/LAN (dispute rev. 2/1996)

ADA Notice

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(Mail in a window envelope)

VENDOR ADDRESS

DATE

INVOICE NUMBER

AMOUNT

\$

DATE RECEIVED

REFERENCE NUMBER(S)

(fold)

The invoice referenced above is disputed for the following reasons:

- | | |
|---|--|
| <input type="checkbox"/> Goods/Services not received | <input type="checkbox"/> Duplicate billing |
| <input type="checkbox"/> Noncompliance with contract | <input type="checkbox"/> Invoice belongs to another department |
| <input type="checkbox"/> Incorrect billing/amount due | <input type="checkbox"/> Damaged goods |
| <input type="checkbox"/> Partial shipment received | <input type="checkbox"/> Invoice not properly executed |
| <input type="checkbox"/> Other | |

THIS NOTIFICATION IS A FOLLOWUP TO A PHONE CONVERSATION WITH THE PERSON FROM YOUR COMPANY WHOSE NAME APPEARS BELOW:

NAME

DATE OF CONVERSATION

IF YOU HAVE ANY QUESTIONS REGARDING THIS DISPUTE, CONTACT:

NAME

TELEPHONE (Include Area Code)

(916) 227-

(fold)

FOR STATE AGENCY USE ONLY

DATE DISPUTE RESOLVED

INITIAL

RESOLUTION

RETURN COPY OF THIS NOTIFICATION

WITH THE CORRECTED INVOICE

(For your convenience, the return address has been provided for use in a window envelope.)

RETURN TO:

Department of Transportation
Accounting
P.O. Box 168018
Sacramento, CA 95816
Attention:

DISTRIBUTION:

First - Vendor

Second - Accounting

Invoicing

Resource Management Branch

- Review Receiving Record package for accuracy and correct coding information, update the contract database, and forward to the Division of Accounting for payment.
- Provide expenditure reports to HQ Grant Program Manager quarterly or more often if requested.

Completing the Project

Close Out

Final Product

Responsibility: Grantee

- **Send copies of final product to District Grant Manager.**
(4 reproducible hard copies and 4 electronic copies on a CD – of the entire product).

Final Product

Responsibility: District Grant Manager

➤ Send one reproducible hard copy and one electronic copy of final product to:

HQ Grant Program Manager

HQ Caltrans Library

State Library

Retain one copy in District.

Contract Closeout

District Grant Manager

- Review and approve deliverables, including final product.
- Pay final invoice.
- Disencumber unused funds.
- Complete Contractor Evaluation form (Std. 4), if applicable.
- Retain file documentation for 5 years.

Headquarters Contacts

HQ Grant Program Managers

Carl Payne Environmental Justice Transportation Planning
(916) 653-3726

Jorge Rivas Environmental Justice Transportation Planning
(916) 654-6236

Russ Walker Community Based Transportation Planning
(916) 651-6886

Priscilla Martinez-Velez Partnership Planning and Transit
Planning (916) 651-8196

DOTP Resource Management Branch

Jodi Lehmkuhl (916) 653-3896

Cheryl Babcock (916) 654-4499

Major Dates For Active Grants

- Completion of Form 360 package

December 1, 2009

- Quarterly Reports

January 15

April 15

July 15

October 15

Major Dates For Active Grants

- Work Completion Deadlines
FY 09-10 cycle:2/28/12
- Final Invoices: April 28

Resources

Office of Community Planning

<http://www.dot.ca.gov/hq/tpp/offices/ocp/>

Office of Community Planning Intranet

http://onramp.dot.ca.gov/hq/tpp/offices/ocp/ej_cbtp_toolbox.html

EJ and CBTP Tool Box

http://www.dot.ca.gov/hq/tpp/offices/ocp/ej_cbtp_toolbox.html

Grant Programs Overview

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

DPAC

<http://admin.dot.ca.gov/pc/index.shtml>

Thanks for your
participation

...any questions?