



FTA Section 5311 DTR Training

January 27, 2011

California Department of Transportation

Division of Mass Transportation

FTA Section 5311

Agenda

- Application Process & Review Instruction
- Standard Agreement Process
- Procurement Process
- Request for Reimbursement Process & Review Instruction
- Amendment Process
- Reporting Requirements
- On-site Agency, Vehicles, Equipment, & Facility Monitoring Process

Applications

In response to FY 2010 State Management Review Findings, Caltrans FTA Section 5311's applications were updated to help facilitate the program management and FTA/State oversight.

Applications - What's new?

Applications are divided into four segments.

- Operating Assistance
- Capital (Equipment & Vehicle)
- Capital (Preventive Maintenance)
- Capital (Real Estate Acquisition & Construction)

Applications - What's new?

- Continued

- Toll Credit
- In-kind Match
- Cost Allocation Methodology
- Other federal DOT funding received for the FY
- Project Budget Worksheet
- Transit Security and Emergency Preparedness
- DBE
- Authorizing Resolution

Applications – What's new?

- Continued

- 3 Like Kind Quotes (for Equipment)
- A Quote or Purchase Agreement with Options Highlighted (for Vehicle)
- IT/ITS Compliance Plan
- Regional ITS Architecture Plan (for ITS Equipment)
- Force Account Plan
- Maintenance Plan (for Vehicles and Facility)

Standard Agreement

In response to FY 2010 State Management Review Findings, Caltrans FTA Section 5311's standard agreement was revised to ensure subrecipients' compliance with FTA/State requirements.

Standard Agreement Exhibits

Exhibit A

- Scope of work including project description
- Project type: Capital, Operating or Preventive Maintenance, Construction/Real Estate Acquisition, or Transfer
- Funding amount

Changes were made on Page 2, #6, Page 3, D & Page 5, E)

Standard Agreement Exhibits

Exhibit B

- Invoicing and Payment
- Budget contingency Clause
- Prompt Payment Clause
- Project Closeout Clause

Changes were made on page 6, #1 & page 11, #4)

Standard Agreement

Exhibit C

- General terms and conditions for all federal grant programs

Changes were made on page 13, #3 & 5, page 18, #27, D & E, page 23, #44, A & page 29, #53 & 54

Exhibit D

- Special terms and conditions for 5311
- Changes were made on page 32, # 7

Procurement

All purchases reimbursed with Section 5311 funds must be conducted in accordance with Federal procurement requirements. (49CFR Part 18)

All purchases **MUST BE** approved by DMT **Prior to** incurring costs.

Procurement

Methods of Procurement

- Micro Purchase
- Small Purchase
- Competitive Proposals
- Joint Procurements
- Piggyback
- Sole Source
- State Contract

Procurement

Responsibilities

Subrecipient

- Procurement planning
- Determine method of procurement
- Conduct fair and open competitive procurement process
- Maintain record of procurement activities

HQ Liaison

- Review procurement documents for compliance to Federal and State requirements.
- Provide technical assistance to subrecipients in procurement and contract compliance.
- Send a letter of approval to subrecipient and cc DTR

Request for Reimbursement Process

In order to receive reimbursement for project costs, the subrecipient must submit a signed Request for Reimbursement (RFR) to the Department **after executed standard agreement** and project completion, but **prior to contract expiration**. The Department is obligated by law to process the RFR within **30 working days** of the date received by the DTR.

Request for Reimbursement Process

Responsibilities – Part I

DTRs will:

- Receive the RFR and supporting documents from subrecipients
- Date-stamp
- Review all supporting documents
- Send scanned copy of RFR and supporting documents to HQ liaison via email and cc Katherine confirming that all supporting documents have been reviewed/approved
- Mail the hard copy to HQ liaison

HQ liaison will:

- Receive the RFR, supporting documents DTR via email and mail
- Send an email to Katherine confirming that all bid related documents have been reviewed/approved

Request for Reimbursement Process

Responsibilities – Part II

Katherine Pongratz will:

- Process the invoice in the Advantage System
- Prepare a cover memo to Accounting
- Send the RFR, supporting documents, memo to Accounting and the screen print of RC to Accounts Payable Analyst via mail
- Provide a hard copy of the screen print to HQ liaison and Anne
- Scan the screen print and email it to DTR and Rico Pobre

HQ liaison will:

- File RFR, supporting documents, memo to Accounting and the screen print in the project folder

Amendment Process

An amendment may be used to change the scope, cost, contract expiration date, procurement schedule, or final invoice due date of a project.

Amendment Process

Responsibilities

Subrecipients will:

- Identify need for change and complete paperwork (amendment request form).
- Work with appropriate Caltrans HQ liaison and RTPA or MPO to prepare for the amendment request.

HQ DMT will:

- Review and approve the amendment form
- *For non-MPO/RTPA rural projects, Caltrans HQ liaison submits the completed amendment request to Caltrans Division of Programming (if applicable).
- Prepare an amendment, and send it to Caltrans' Division of Accounting and the grant manager and cc DTR.

Reporting Requirements

Upon request by the Department, the subrecipients must submit the following reports (Failure to meet these requirements may result in withholding of all invoice payments):

- National Transit Data (NTD) Reporting
- Drug & Alcohol Management Information System (MIS) Reporting
- Disadvantage Business Enterprise (DBE) Reporting
- Quarterly Reporting
- Federal Funding Accountability and Transparency Act (FFATA) Reporting



On-Site Review

On-site reviews are important for visually inspecting FTA Section 5311 program funded vehicles, facilities, and other equipment to ensure their continued use in transit service.

On-Site Review

- Agency Monitoring
- Vehicle Inspection
- Facility Inspection
- Equipment Inspection



Question or Comments?

Thank you very much for your
participation!

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