

PIGGYBACKING PROCEDURES

Revised 07/10/13

Purpose: This guidance is to provide subrecipient agencies information on piggybacking purchases supported with FTA grant funds. Although piggybacking is allowable for goods and services, these procedures will focus on the most typical vehicle piggybacking procurements made by Caltrans grant subrecipients.

PIGGYBACKING PURCHASE

Piggybacking is an assignment of existing contracts rights to purchase supplies, equipment, or services and is defined as the post-award use of a contractual document/process that allows someone who was not contemplated in the original procurement to purchase the same supplies or equipment through the original document/process. The Federal Transit Administration (FTA) expects grantees to limit its procurements to the amount of property and services required to meet its reasonably expected needs without adding excess capacity simply for the purpose of assigning contract rights to others at a later date. However, at times an agency may find that it has unintentionally acquired contract rights in excess of its needs. In these cases only the agency may assign those contract rights to other agencies if the original contract contains an assignability provision that will permit the assignment of all or part of the specified deliverables under the terms of the original contract which was advertised, competed, evaluated and awarded.

The original solicitation and resultant contract must contain both a minimum and a maximum quantity, which represent the reasonably foreseeable needs of the members to the solicitation. The original contract must comply with all Federal procurement requirements and contain the appropriate assignment provisions.

Piggybacking is not permissible when the action would call for a substitution of goods or services or an increase in quantities that were not originally bid on and not originally evaluated as part of the contract award. The action to substitute or add quantities would constitute a prohibited action known as “tag-on.”

The following steps and documents will be required, at a minimum, for Caltrans approval of purchasing transit vehicles from another agency’s contract. The procedures cover both general piggybacking procurements as well as piggybacking procurements through the CalACT/MBTA Cooperative Agreement. All procurements supported with FTA funds administered through Caltrans require *prior* approval.

Procedures

1. The Agency should determine if the piggybacking option is the most efficient method of procurement based on a comparison of cost of the contract price against current market survey. The Agency should complete and submit to Caltrans an Independent Cost Estimate (ICE). Procedures for ICE can be found at, <http://www.dot.ca.gov/hq/MassTrans/Procurement-Mgmt.html>.

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2. If the piggybacking method is determined to be the best option, then the Agency obtain and submit to the Caltrans Program Liaison the following documents:
 - a. Completed Caltrans Piggybacking Worksheet
 - b. Assignment letter from the originating agency. The letter should be on Agency letterhead and include the following information:
 - i. Specific type of vehicle and fuel type or item to be assigned,
 - ii. to whom the assignment is to be made,
 - iii. original base and option quantity,
 - iv. quantity of options already assigned,
 - v. quantity of options remaining, and
 - vi. quantity of assignment to the requesting Agency
 - c. Copy of original contract and contract amendments.
 - d. Original solicitation document and all addendums.
 - e. Specifications
 - f. All Bid-related certification and assurances including pre-award certifications for Buy America, Purchaser's Requirement, and FMVSS and post-delivery audits.
 - g. Bid Summary
 - h. Selection Justification
 - i. Cost or price analysis documenting the reasonableness of the price.
 - j. Draft vehicle quote and floor plan.
 - k. Completed federal clauses chart.

3. **For vehicle purchase from CalACT/MBTA Purchasing Cooperative** – The Agency should follow the instructions on the Purchasing Schedule Procedures for Agencies and submit to Caltrans Program Liaison the following documents:
 - a. Completed Caltrans Piggybacking Worksheet (completed for the Cooperative).
 - b. Assignment letter from CalACT.
 - c. Completed Bus Quote Requirements List identifying the base vehicle and optional features; and a floor plan.
 - d. Copy of pre-award certifications (Buy America, Purchaser's Requirement, and FMVSS).
 - e. If more than one manufacturer provides that type of vehicle the Agency must also include a price comparison of at least three buses OR if there are fewer than three listed, the pricelist of all the contractors should be reviewed. In addition to the price comparison The Agency must also provide a justification for vendor selection. (Refer to Requirements List Instructions on CalACT website at, www.calact.org.)

4. Caltrans Program Liaison will work with Procurement Branch for review and approval/denial of piggybacking request.

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5. Caltrans Procurement Branch will respond to the Agency with approval/denial of piggyback request and copy to Caltrans Program Liaison.
6. The Agency prepares final Purchase Order (PO) or Buyer's Agreement (BA). The Agency will send PO/BA to contractor with a copy to Caltrans Program Liaison. The PO/BA should include all items identified on Caltrans approved quote, the actual delivery date provided by the contractor, and identification of Caltrans Division of Mass Transportation (DMT) as lienholder.

Vehicle Delivery and Inspection

7. Upon delivery of the vehicle(s), the Agency must complete a detailed post-delivery inspection. The inspection should be conducted by a qualified inspector and should include verification of compliance with Buy America requirements including a review of actual components to meet the 60 percent Buy America domestic content requirement and that final assembly occurred in the United States. The inspection report should reflect deficiencies, any needed corrective actions, and re-inspection to satisfy vehicle specification requirements. If the Agency is purchasing more than 10 vehicles of the same type the Agency should obtain the manufacturer plant inspection and first article inspection reports from the originating agency. (Post-delivery inspection documents are available on CalACT website.) **NOTE:** It is the Agency's responsibility to make sure the vehicle(s) conforms to the PO and specifications.
8. **For vehicle purchase from CalACT/MBTA Purchasing Cooperative** - Prior to delivery of vehicle the Agency should obtain copy of post delivery certifications from CalACT. If the Agency is purchasing more than 10 vehicles of the same type the Agency should also obtain the manufacturer plant inspection and first article inspection reports for meeting Buy America, Purchaser's Requirements, and FMVSS. Copies of the Post-delivery certifications and documentation can be obtained from CalACT or Vehicle Technical Consultants (VTC) website. VTC access code for document download can be obtained from CalACT. **NOTE:** It is the Agency's responsibility to make sure the vehicle(s) conforms to the PO and specifications.
9. Upon completion of final inspection and vehicle acceptance the Agency must sign the post-delivery certifications for meeting Buy America, Purchaser's Requirements, and FMVSS. The Agency must sign post-delivery certifications specific to their vehicles. The Agency specific post-delivery certifications are different from the certifications provided by the originating agency or CalACT as it is specific to the vehicle(s) being built for the agency. Information on conducting Pre-Award and Post-Delivery Audits for bus procurements can be found in the FTA website at, http://www.fta.dot.gov/legislation_law/12921_5423.html.

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Invoice Payment and Reimbursement Request

10. After the Agency inspects and accepts delivery of the vehicle(s) the Agency will make payment to the contractor according to the invoice. The invoice should include at least the following information: Invoice Number and Date; Contractor Name, Address and Telephone Number; Agency Name and Address; Quantity and Description; Purchase Order Number; Sale Tax; Fees (DMV, delivery, procurement, etc.); and Credits.

11. After the Agency pays for the vehicle(s) the Agency will submit a Request for Reimbursement (RFR) to the Caltrans Program Liaison. The RFR should include all required supporting documentation. Refer to the attached RFR Procedures and Invoice Supporting Documents.

References and Attachments

- Caltrans Piggybacking Worksheet
- CalACT Purchasing Schedule Procedures for Agencies
- CalACT Requirements List Instructions
- CalACT Completed Vehicle Piggybacking Worksheet
- CalACT Bus Quote Requirements List
- CalACT Sample Purchase Order Form
- Pre-Award Compliance Certifications
- Post-Delivery Compliance Certifications
- RFR Procedures and Invoice Supporting Documents



CALTRANS PIGGYBACKING WORKSHEET

Definition: *Piggybacking is the post-award use of a contractual document/process that allows someone who was not contemplated in the original procurement to purchase the same supplies/equipment through that original document/process.*

In order to assist in the performance of your review, to determine if a situation exists where you may be able to participate in the piggybacking (assignment) of an existing agreement, the following considerations are provided. Ensure that your final file includes documentation substantiating your determination.

WORKSHEET	YES	NO
1. Have you obtained a copy of the contract and the solicitation document, including the specifications and any Buy America Pre-award or Post-Delivery audits?		
2. Does the solicitation and contract contain an express “assignability” clause that provides for the assignment of all or part of the specified deliverables?		
3. Did the Contractor submit the “certifications” required by Federal regulations? See BPPM Section 4.3.3.2.		
4. Does the contract contain the clauses required by Federal regulations? See BPPM Appendix A1.		
5. Were the piggybacking quantities included in the original solicitation; i.e., were they in the original bid and were they evaluated as part of the contract award decision?		
6. If this is an indefinite quantity contract, did the original solicitation and resultant contract contain both a minimum and maximum quantity, and did these represent the reasonably foreseeable needs of the parties to the contract?		
7. If this piggybacking action represents the exercise of an option in the contract, is the option provision still valid or has it expired?		
8. Does your State law allow for the procedures used by the original contracting agency: e.g., negotiations vs. sealed bids?		
9. Was a cost or price analysis performed by the original contracting agency documenting the reasonableness of the price? Obtain a copy for your files.		



WORKSHEET	YES	NO
10. If the contract is for rolling stock or replacement parts, does the contract term comply with the five-year term limit established by FTA? See FTA Circular 4220.1F, Chapter IV, 2 (14) (i).		
11. Was there a proper evaluation of the bids or proposals? Include a copy of the analysis in your files.		
12. If you will require changes to the vehicles (deliverables), are they “within the scope” of the contract or are they “cardinal changes”? See BPPM Section 9.2.1.		

Funding

Source SA# Quantity Vehicle Type, Fuel Type, # of Seats

<input type="checkbox"/> 5310			
<input type="checkbox"/> 5311			
<input type="checkbox"/> 5311f			
<input type="checkbox"/> ARRA			
<input type="checkbox"/> 5316			
<input type="checkbox"/> 5317			

Notes/Justification:

Name/Signature:

Title:

Date

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Note: This worksheet is based upon the policies and guidance expressed in (a) the FTA Administrator's "Dear Colleague" letter of October 1, 1998, (b) the *Best Practices Procurement Manual*, Section 6.3.3—*Joint Procurements of Rolling Stock and "Piggybacking,"* and (c) FTA Circular 4220.1F.

**Procedure for Purchases using the CalACT/MBTA
Local Government Purchasing Schedule**

Note the procedures below are for federally funded purchases only. Items purchased with state , local or other sources are only subject to your agency's internal purchasing procedures or grant specific requirements (if any)

1. Request ordering documents and permission to access the CalACT-MBTA procurement, contact jacklyn@calact.org or dan@calact.org
2. Develop the Requirements List for the vehicle. (This is an excel spreadsheet provided by CalACT or MBTA. It has a "tab" for each type of bus and lists the available buses, the pricing and the list of any "option features" that are available for that specific model.)
3. Review the pricelists of at least three buses OR if there are fewer than three listed, the pricelist of all the contractors should be reviewed. Use the Excel spreadsheet to calculate the total cost OR request quotes from dealers.
4. In addition to price, the agency may consider the following evaluation factors:
 - a. Past performance information – This is scored information provided by a CalACT survey and included on the CD provided by CalACT. Or from past performance specific to your agency
 - b. Special features of the specific vehicle required for effective program performance at your agency.
 - c. Warranty considerations, if any. – Each manufacturer was required to submit its proposed warranty for each vehicle. This information is included on the CD provided by CalACT.
 - d. Maintenance or inventory considerations, if any. This is information specific to your agency. (Consistency with current fleet)
 - e. Proposed delivery date – proposed date should be requested from proposed dealer via email.
5. Contact the selected dealers and obtain a proposed delivery date. Have the date sent to you via email.
6. Review all of the information and complete the Internal Approval Notice.
7. Request and receive an executed Assignment Agreement from CalACT or MBTA.
8. Issue an Order Form to that dealer showing what is being ordered, the total pricing and the delivery date. Provide a copy of this form to CalACT. **NOTE:** It is important to track the actual delivery date to the proposed delivery date. The contract with each dealer contains a provision for Liquidated Damages (See SP 11. Under this provision, the dealer must pay \$100 per business day per bus not delivered on time! It is the Agency's sole responsibility to track delivery and enforce the contract provision.
9. Minimum documentation – At a minimum, the file should contain

- a. The CD obtained from CalACT
 - b. Letter of Assignment
 - c. Pricing for the three products that were considered. (May be generated from CalACT Schedule or requested from dealer)
 - d. Internal Notice of Award – Form that shows the name of the proposed awardee including the pricing and the basis for the award. It requires a signature to show that the pricing was considered to be fair and reasonable based on adequate price competition.
 - e. A copy of the Order Form showing the amount of the contract and the delivery date.
10. Prior to receipt of the vehicles, the Agency should obtain copies of the following from CalACT:
- a. Executed PreAward certificates for Buy America and FMVSS
 - b. Master documentation of Buy America, Purchaser and FMVSS reports from VTC and Plant Inspection Report. Reports will be available on our consultant VTC's website, please contact CalACT for up to date access codes and links.
11. Following receipt of the vehicles, the Agency must inspect and conduct all required road tests and inspections. (For Federally funded purchases, this includes the FTA required Vehicle inspection and Road Test form.)
12. Prior to acceptance , the Agency must execute and retain its own copies of the ff:
- a. Post-Delivery Buy America certificate (keeping its own copies of backup docs specific to each order).
 - b. Post-Delivery Purchaser's certificate (After #11 above)
 - c. Post Delivery FMVSS certificate

*Caltrans Subrecipients to follow piggybacking procedures here:

http://www.dot.ca.gov/hq/MassTrans/Docs-Pdfs/Fed_Vehicle_Procure_Process.pdf

Requirements List Instructions

As a part of the process, each agency must identify the specific type of vehicle that it wishes to purchase. In addition to the base vehicle, the agency must identify any “optional features” such as a different operator seat or roof hatch, etc. that it wants included on the order.

An Excel spreadsheet has been provided to help the agency do this. The spreadsheet has a “tab” for each vehicle type. The agency would insert the quantity and then “multiple” the pricing for at least three vehicles – if three vehicles are shown. (If there are fewer than three vehicles for the selected type, use the maximum.)

Once you have created the Requirements List and calculated the total price, you need to obtain a proposed delivery date from each dealer. **DO NOT TELL THEM THAT YOU ARE PLACING AN ORDER.** You are **ONLY** getting an estimated delivery date if their vehicle is “selected.”

After that, determine if there are other evaluation factors that you wish to consider in making the selection. These could be:

- a. Past Performance with the specific vehicle and/or dealer
- b. Special features of the specific vehicle required for effective program performance.
- c. Warranty considerations, if any.
- d. Maintenance or inventory considerations, if any. (Consistency with current fleet)
- e. Delivery date.
- f. Other factors to be identified by procuring agency

Identify which other factors you considered and what your award decision is based on. (This information should be put on the Internal Award Form.)

We strongly recommend that each purchasing agency keep this documentation on file!



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In order to assist in the performance of your review, to determine if a situation exists where you may be able to participate in the piggybacking (assignment) of an existing agreement, the following considerations are provided. Ensure that your final file includes documentation substantiating your determination.

WORKSHEET	YES	NO
1. Have you obtained a copy of the contract and the solicitation document, including the specifications and any Buy America Pre-award or Post-Delivery audits?	X	
2. Does the solicitation and contract contain an express "assignability" clause that provides for the assignment of all or part of the specified deliverables?	X	
3. Did the Contractor submit the "certifications" required by Federal regulations? See BPPM Section 4.3.3.2.	X	
4. Does the contract contain the clauses required by Federal regulations? See BPPM Appendix A1.	X	
5. Were the piggybacking quantities included in the original solicitation; i.e., were they in the original bid and were they evaluated as part of the contract award decision?	X	
6. If this is an indefinite quantity contract, did the original solicitation and resultant contract contain both a minimum and maximum quantity, and did these represent the reasonably foreseeable needs of the parties to the contract?	N/A	
7. If this piggybacking action represents the exercise of an option in the contract, is the option provision still valid or has it expired?	X	
8. Does your State law allow for the procedures used by the original contracting agency: e.g., negotiations vs. sealed bids?	X	
9. Was a cost or price analysis performed by the original contracting agency documenting the reasonableness of the price? Obtain a copy for your files.	X	

PRE-AWARD COMPLIANCE CERTIFICATIONS

PRE-AWARD BUY AMERICA COMPLIANCE CERTIFICATION

As required by 49 CFR Part 663-Subpart B, the _____ (the recipient) is satisfied that the buses to be purchased, _____ (number and description of buses) from _____ (the manufacturer), meet the requirements of Section 165(b)(3) of the Surface Transportation Assistance Act of 1982, as amended. The _____ (the recipient) has reviewed the documentation provided by the manufacturer, which lists (1) proposed component and subcomponent parts of the buses identified by manufacturer, country of origin, and cost as a percentage; and (2) the proposed location of the final assembly point for the buses, including a description of the activities that will take place at the final assembly point and cost of final assembly.

PRE-AWARD PURCHASER'S REQUIREMENTS CERTIFICATION

As required by 49 CFR Part 663-Subpart B, the _____ (the recipient) certifies that the buses to be purchased, _____ (number and description of buses) from _____ (the manufacturer), are the same product described in the recipient's solicitation specification and that the proposed manufacturer is a responsible manufacturer with the capability to produce a bus that meets the specifications.

PRE-AWARD FMVSS COMPLIANCE CERTIFICATION

As required by 49 CFR Part 663-Subpart D, the _____ (the recipient) certifies that it received, at the pre-award stage, a copy of _____ (the manufacturer's) self-certification information stating that the buses, _____ (number and description of buses), will comply with the relevant Federal Motor Vehicle Safety Standards issued by the National Highway Traffic Safety Administration in 49 CFR Part 571.

Date: _____

Signature: _____

Title: _____

POST-DELIVERY COMPLIANCE CERTIFICATIONS

POST-DELIVERY BUY AMERICA COMPLIANCE CERTIFICATION

As required by 49 CFR Part 663-Subpart C, the _____ (the recipient) certifies that it is satisfied that the buses received, _____ (number and description of buses) from _____ (the manufacturer), meet the requirements of Section 165(b)(3) of the Surface Transportation Assistance Act of 1982, as amended. The _____ (the recipient) has reviewed the documentation provided by the manufacturer, which lists (1) the actual component and subcomponent parts of the buses identified by manufacturer, country of origin, and cost; and (2) the actual location of the final assembly point for the buses, including a description of the activities that took place at the final assembly point and the cost of final assembly.

POST-DELIVERY PURCHASER'S REQUIREMENTS CERTIFICATION

As required by 49 CFR Part 663-Subpart C, the _____ (the recipient) certifies that a resident inspector, _____ (name of inspector not an agent or employee of the manufacturer), was at _____ (the manufacturer's) manufacturing site during the period of manufacture of the buses, _____ (number and description of buses). The inspector monitored manufacturing and completed a report on the manufacture of the buses providing accurate records of all bus construction activities. The report addresses how the construction and operation of the business fulfill the contract specifications. After reviewing the report, visually inspecting the buses, and road testing the buses, the _____ (the recipient) certifies that the buses meet the contract specifications.

POST-DELIVERY FMVSS COMPLIANCE CERTIFICATION

As required by 49 CFR Part 663-Subpart D, the _____ (the recipient) certifies that it received, at the post-delivery stage, a copy of _____ (the manufacturer's) self-certification information stating that the buses, _____ (number and description of buses), comply with the relevant Federal Motor Vehicle Safety Standards issued by the National Highway Traffic Safety Administration in 49 CFR Part 571.

Date: _____

Signature: _____

Title: _____



Department of Transportation (Caltrans)
Division of Mass Transportation (DMT)
Office of Federal Transit Grants Program

**Request for Reimbursement Procedures and
Invoice Supporting Documents**

General Instructions

1. All Requests for Reimbursement (RFR) must have the original invoice and three (3) copies on agency letterhead and signed by the same signatory as on the Standard Agreement. If this is not possible, the signatory of the Standard Agreement must delegate the authority by submitting a letter to Caltrans DMT designating the new signatory by name and title.
2. RFR must include the date, invoice number, Standard Agreement number, total project costs to date, and federal reimbursement amount requested not to exceed the grant amount.
3. All project costs must be documented and comply with the executed Standard Agreement. Federal reimbursement costs must comply with OMB A-87 and CFR 225.

Required Supporting Documents per Project Type:

Operating Assistance

- Completed and signed Operating Assistance Request for Reimbursement (RFR) Form and Calculation Sheet. (See <http://www.dot.ca.gov/hq/MassTrans/5311.html>)
- If applicable, include a copy of the Caltrans DMT approved Third Party Service Agreement Contract (first invoice only).
- For third party contracts, submit the invoice for the same period as the reimbursement request. Original invoice from the vendor must show invoice number, date, and vehicle/maintenance costs description (unit price, discount (if any), sales tax, freight/shipping charges, and total for each product or service).
- All third party costs must be clearly defined for the services provided (i.e., dates of service, service miles, service hours, hourly rates, and title/classification). All work performed must be consistent with the Caltrans DMT approved Third Party Service Agreement Contract.
- For internal agency staff projects, please provide a Spreadsheet showing the time worked, hourly rate for labor, title/classification, and all work performed for the period. Summary must include all expenses and revenues for the period claimed.
- Disadvantaged Business Enterprise (DBE) Actual Payment form (third party contracts only) available at <http://www.dot.ca.gov/hq/MassTrans/DBE.html>
- Proof of payment made to vendor or copy of the method of payment. Cancelled check or Bank statement showing check number and "paid in full" or agency's accounting record showing the transactions.

Vehicles

- Completed and signed Vehicle Request for Reimbursement (RFR) Form and Calculation Sheet. (See <http://www.dot.ca.gov/hq/MassTrans/5311.html>)
- Post-Delivery Audit Certification for Buy America requirements (Local procurement).
- Post-Delivery Inspection Certification from qualified vehicle inspector (Local procurement).
- Certification of Acceptance by your agency.
- Copy of invoice from the vendor/contractor with name, address, and telephone number clearly identified.
- Copy of the Caltrans DMT approved Purchase Order(s) showing Caltrans as Lien Holder
- Vehicle Identification Number(s).

- Spreadsheet showing the time worked/hourly rate for labor, title/classification, task performed, etc. (Local procurement).
- Proof of payment to vendor - Cancelled check or Bank statement showing check number and "paid in full" or agency's accounting record showing the transactions.
- .
- Picture of vehicle(s) – can be electronic format on CD or portable drive.

Equipment

- Completed and signed Equipment Request for Reimbursement (RFR) Form and Calculation Sheet. (See <http://www.dot.ca.gov/hq/MassTrans/5311.html>)
- Copy of the Caltrans DMT approved Purchase Order including item description, quantity, unit price, discount (if any), sales tax, freight/shipping charges, and totals.
- Original invoice from the vendor showing invoice number, date, and description (manufacturer, model and serial number), unit price, discount (if any), sales tax, freight/shipping charges, and total for each product or service item.
- Statement that equipment has been accepted and in working order (can be included in the cover letter for invoice)
- Manufacturer Warranties/Copy of Extended Warranties.
- Disadvantaged Business Enterprise (DBE) Actual Payment form, available at <http://www.dot.ca.gov/hq/MassTrans/DBE.html>
- Proof of payment made to vendor or copy of the method of payment. Cancelled check or Bank statement showing check number and "paid in full" or agency's accounting record showing the transactions.
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- Picture(s) of equipment – can be electronic format on CD or portable drive.

Transit Facility

- Completed and signed Transit Facility Request for Reimbursement (RFR) Form and Calculation Sheet. (See <http://www.dot.ca.gov/hq/MassTrans/5311.html>)
- If applicable, include a copy of the Caltrans DMT approved Third Party Service Agreement Contract (first invoice only).
- Copy for approved Force Account Plan for "in-house" labor (first invoice only, if applicable)
- Copy of Purchase Orders including all items description, quantity, unit price, discount (if any), sales tax, freight/shipping charges, and totals.
- Original invoice from the vendor showing invoice number, date, and description (manufacturer, model and serial number), unit price, discount (if any), sales tax, freight/shipping charges, and total for each product or service item.
- Statement that facility is constructed, or phase of construction. Also state that equipment has been received and accepted.
- Spreadsheet showing all expenses including those charged against the federal grant broken out by description, rate, hours, i.e., installation.
- Manufacturer Warranties/Copy of extended warranties, if applicable.
- Disadvantaged Business Enterprise (DBE) Actual Payment form, available at <http://www.dot.ca.gov/hq/MassTrans/DBE.html>
- Proof of payment made to vendor or copy of the method of payment. Cancelled check or Bank statement showing check number and paid in full or agency's accounting record showing the transactions.
- Picture(s) of facility/equipment – can be electronic format on CD or portable drive.

Preventive Maintenance

- Completed and signed Preventive Maintenance Request for Reimbursement (RFR) Form and Calculation Sheet. (See <http://www.dot.ca.gov/hq/MassTrans/5311.html>)
- If applicable, include a copy of the Caltrans DMT approved Third Party Service Agreement Contract (first invoice only).
- Third party vendor/contractor service providers invoice for the same period as the reimbursement request (if applicable).
- For agency staff, provide Spreadsheet showing the time worked, hourly rate for labor, title/classification, and all work performed for the period. Summary must include all expenses for the period claimed.
- Original invoice from the vendor showing invoice number, date, and description (manufacturer, model and serial number), unit price, discount (if any), sales tax, freight/shipping charges, and total for each product or service item.
- Manufacturer Warranties/Copy of extended warranties, if applicable.
- Disadvantaged Business Enterprise (DBE) Actual Payment form, available at <http://www.dot.ca.gov/hq/MassTrans/DBE.html>
- Proof of payment made to vendor or copy of the method of payment. Cancelled check or Bank statement showing check number and paid in full or agency's accounting record showing the transactions.
- Picture(s) of equipment – can be electronic format on CD or portable drive.

Safety and Security Equipment

- Completed and signed Safety and Security Equipment Request for Reimbursement (RFR) Form and Calculation Sheet. (See <http://www.dot.ca.gov/hq/MassTrans/5311.html>)
- Receipt of Equipment Certification, must include equipment description, purchase date, installation date, and verification equipment is in working order
- Manufacturer/Brand Name
- Model Number of equipment (if applicable)
- Serial Number of equipment (if applicable)
- Spreadsheet showing the unit price, discount (if any), sales tax, freight/shipping charges, and total
- Original Vendor Invoice(s)/Acceptance Form
- Detailed Spreadsheet showing the time worked/hourly rate/task for labor, admin, consulting, etc
- Spreadsheet showing the travel expenses (if applicable)/ Receipts for travel expenses (if applicable)
- Manufacturer Warranties/Copy of extended warranties
- Disadvantaged Business Enterprise (DBE) Actual Payment form, available at <http://www.dot.ca.gov/hq/MassTrans/DBE.html>
- Picture(s) of equipment – can be electronic format on CD or portable drive
- Proof of payment made to vendor or copy of the method of payment. Cancelled check or Bank statement showing check number and paid in full or agency's accounting record showing the transactions.

Mobility Management

- Completed and signed Mobility Management Request for Reimbursement (RFR) Form and Calculation Sheet. (See <http://www.dot.ca.gov/hq/MassTrans/5311.html>)
- Original invoice billing the State on agency letterhead including the date, invoice number, Standard Agreement number, reimbursement period and amount requesting not to exceed the grant amount

- Copy of Purchase Order including item description, quantity, unit price, discount (if any), sales tax, freight/shipping charges, and total
- Original invoice from the vendor. Invoice should include Invoice #, date, and description (manufacturer, model and serial number) of each product or service item.
- Statement that equipment has been accepted and in working order (can be included in the cover letter or invoice)
- Spreadsheet showing all expenses charged against the grant broken out by description, rate, and hours. All purchases must be supported with vendor invoices, proof of payment and statement of acceptance. All other expenses (travel, training, conferences, etc.) must be supported with receipts
- Disadvantaged Business Enterprise (DBE) Actual Payment form, available at <http://www.dot.ca.gov/hq/MassTrans/DBE.html>
- Proof of payment made to vendor or copy of the method of payment (showing paid in full) or agency's accounting record showing the transactions.