

**Active Transportation Program: Non-Infrastructure Program
Expenditure and Cost Guidance
(Effective Date: May 16, 2018)**

The Active Transportation Program (ATP) is a combination of State and Federal funding sources, and covers a wide variety of project types, including non-infrastructure (NI) – education, encouragement, and enforcement activities that further the goals of the ATP. Non-infrastructure projects are not limited to those benefiting school students. Non-infrastructure projects may utilize existing best practices or be innovative in nature. These guidelines are provided to assist agencies in understanding eligible non-infrastructure expenditures under the ATP.

Section I: Guidance Overview focuses on procedures for overarching non-infrastructure costs.

Section II: Detailed Guidance on Items and Costs includes the parameters for eligible non-infrastructure expenses. This section correlates to the Exhibit 22-R, “ATP Non-Infrastructure Project Work Plan”, which agencies are required to complete for an NI project to document the tasks and expenditures of the project.

Section III: Ineligible Expenses describes items that cannot be purchased with ATP funds.

SECTION I: GUIDANCE OVERVIEW <i>Overarching procedures for non-infrastructure costs</i>
<p>Sustainability ATP Guidelines state that the CTC’s intention is to fund ATP non-infrastructure pilot and start-up projects that can demonstrate funding for ongoing efforts. The ATP cannot fund existing or ongoing program operations. All non-infrastructure projects must demonstrate how the program is sustainable and will be continued after ATP funding is exhausted.</p>
<p>Consultants To hire and pay consultants, a competitive process, such as RFQ/RFP/PIF, must be utilized. Consultants include, but are not limited to, experts for walk audits, evaluation experts, League-Certified Instructors, education and outreach consultants, etc.</p>
<p>Competitive Bidding Purchases must follow local competitive bid / small procurement procedures, which can include receiving multiple (often three) bids to ensure reasonable cost.</p>
<p>Donated or In-Kind Services/Items Donated items or in-kind items/services do not count towards the limitations herein, but must still be documented on the 22-R.</p>
<p>Pre-Approval Purchases of items not mentioned or requiring approval in Section II: Detailed Guidance on Items and Costs may be eligible, but must be pre-approved by Caltrans on a case-by-case basis. Requests must be submitted to the Caltrans District ATP Coordinator who will work with the HQ NI Program Manager to determine eligibility.</p>

SECTION II: DETAILED GUIDANCE on ITEMS and COSTS

The parameters for eligible non-infrastructure (NI) expenses

The Exhibit 22-R “Non-Infrastructure Work Plan” requires applicants/implementing agencies to organize the program work into primary Tasks. Each Task is then broken down further by Activities, Deliverables, and Costs. This guidance focuses on the eligibility of the identified costs.

The cost categories on the Exhibit 22-R are divided into Staff Costs, Indirect Costs, and Other Costs, each with respective sub-categories as shown here:

Staff Costs (includes staff training)

- Agency Staff Time
- Consultant Staff Time

Indirect Costs

- ICAP/ICRP

Other Costs

- Travel
- Equipment
- Supplies/Materials
- Incentives
- Other Direct Costs

STAFF COSTS

Staff Time

Reasonable part-time or full-time staff needs include:

- Salaries and benefits for **agency staff** needed to support an ATP NI project.
- Costs for **Law Enforcement** staff that will support ATP NI program activities/events.
- Costs to engage the services of a **consultant** (either non-profit or for-profit) to support an ATP NI project.

NOTE:

- Volunteers cannot be paid for their time, however necessary travel expenses needed for coordination and training efforts are allowable (see Travel).
- Crossing Guards salaries are not an eligible expense, however crossing guard training is allowable.

**STAFF TIME
EXAMPLES**

- *Agency staff time may include planners, public health professionals, engineers, school or school district staff*
- *SRTS Program Manager: a person that runs an entire city, county, or some other area-wide division that includes numerous schools.*

	<ul style="list-style-type: none"> • <i>School Coordinator: a person that runs an individual schools SRTS program.</i> • <i>Costs to engage the services of a consultant (either non-profit or for-profit) to manage an NI program.</i> • <i>Costs to pay for a substitute teacher if needed to cover for a faculty attending SRTS functions during school hours.</i> • <i>Costs for additional law enforcement around the school or school routes when students are traveling to and from school during normal school hours or at demonstration projects/open streets events.</i>
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Staff Training

Staff training, if necessary, should be limited to the specific area of training needed. Training should utilize available ATRC courses/materials as applicable (<http://caatpresources.org/>)

NOTE:

- General attendance at conferences is not an eligible expense.

STAFF TRAINING EXAMPLES	<ul style="list-style-type: none"> • <i>Training for crossing guards</i> • <i>Train the trainer</i> • <i>Regional training for school staff, community liaisons, and volunteers</i>
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INDIRECT COSTS

ICAP/ICRP

Agencies must have an approved Indirect Cost Allocation Plan/Indirect Cost Rate Proposal (ICAP/ICRP) agreement with Caltrans in order to be reimbursed for Indirect Costs. If the agency does not have a current ICAP/ICRP, it must submit an ICAP/ICRP request in accordance with the options and submission processes found on the Caltrans Division of Audits and Investigations (A&I) webpage: <http://www.dot.ca.gov/hq/audits/>.

DOCUMENTATION	<ul style="list-style-type: none"> • <i>Approved ICAP/ICRP letter</i> • <i>Provisional ICAP rate from A&I, until receiving an approved ICAP</i>
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OTHER COSTS

Travel

Travel costs are for necessary **staff/volunteer travel only**, not to be used as an incentive. Travel should conform to State rates or the responsible agency reimbursement guidelines.

NOTE:

- General attendance at conferences is not an eligible expense.
- Out of State travel is not an eligible expense.

<p style="text-align: center;">TRAVEL EXAMPLES</p>	<p>Reasonable travel costs include:</p> <ul style="list-style-type: none"> • <i>Mileage/airfare/transit passes/hotel/per-diem/parking/taxi fare to and from meetings, trainings, or events.</i> • <i>Auto insurance (e.g. to move bicycle fleets).</i>
<p>Equipment</p>	
<p>Equipment is for training/educational purposes only. These items cannot be given away or used for raffles, incentives, prizes, etc.</p> <p>Equipment, including bicycles and helmets, may be purchased for use during training and educational events, such as bike rodeos or other similar events. Helmets and bicycles should be bought in volume to minimize cost. Items are intended to be kept and used beyond the life of the project as part of a sustainable ATP program (<i>see Section 1, Sustainability</i>).</p> <p>NOTE:</p> <ul style="list-style-type: none"> • The unit cost for one item cannot exceed \$50, unless otherwise noted in the list below, or as pre-approved by Caltrans (<i>see Section 1, Pre-Approval</i>). • Cost limits are excluding tax. • All items must be “reasonable” costs justified by small procurement procedures. • Computers, laptops, etc., are <u>not</u> eligible equipment for this purpose. • Donated equipment is not subject to cost limitations. 	
<p style="text-align: center;">WALKING and BICYCLING EQUIPMENT EXAMPLES</p>	<p><u>Bicycles/Helmets:</u></p> <ul style="list-style-type: none"> • <i>Bicycles</i> <ul style="list-style-type: none"> ○ <i>Bicycle cost is limited to \$250 per bicycle</i> • <i>Bicycle helmets</i> <ul style="list-style-type: none"> ○ <i>Bicycle helmet cost is limited to \$20 per helmet</i> <p><u>Training/Educational Equipment:</u></p> <ul style="list-style-type: none"> • <i>Bicycle locks and cables</i> • <i>Bicycle repair stands (limited to \$150/stand)</i> • <i>Bicycle tires/tubes</i> • <i>Bicycle patch kits</i> • <i>Bicycle tire pumps</i> • <i>Bicycle lubricants</i> • <i>Bicycle repair tools</i> • <i>Bicycle lights</i> • <i>Bicycle saddle bags</i> • <i>Water bottles and/or bottle cages</i> • <i>Chalk and chalk marking sticks</i> • <i>Tables/chairs for registration areas</i> • <i>Barriers/Fences for safe bicycle/pedestrian traffic flow</i> • <i>Shade tents for sun protection</i> • <i>Easels</i>

	<ul style="list-style-type: none"> • <i>Scanner (limited to \$250/scanner) and related equipment (e.g. barcode tags and barcode readers for computer-based active transportation data collection efforts).</i> • <i>Bicycle Trailers (cost is subject to Pre-Approval, see Section 1)</i> <ul style="list-style-type: none"> ○ <i>Eligible for school districts only for the use of each school within the district.</i> ○ <i>Bicycles/trailer must be available for other surrounding agencies use, with district schools having priority.</i> ○ <i>Must show sustainable plan for continuous maintenance.</i>
<p>SAFETY GEAR EQUIPMENT EXAMPLES</p>	<p>These items are allowable for staff, trainers, and volunteers. Gear must be necessary for the staff/volunteers to complete the program work and responsibilities.</p> <ul style="list-style-type: none"> • <i>Bicycle helmets (see above)</i> • <i>Rain gear (including umbrellas)</i> • <i>Safety vests</i> • <i>Stop-sign paddles</i> • <i>Safety cones</i> • <i>Identification badges/pins/sashes</i>
<p>ACTIVE TRANSPORTATION EVENT EQUIPMENT EXAMPLES</p>	<p>Only that portion of the expense that is directly related to an awarded ATP project is eligible for reimbursement.</p> <p>Equipment includes but are not limited to:</p> <ul style="list-style-type: none"> • <i>Event insurance (exception to max cost)</i> • <i>Costs for additional law enforcement</i> • <i>Chalk/ Chalk marking sticks</i> • <i>Safety Cones</i> • <i>Barriers/Fences for safe bicycle/pedestrian traffic flow</i> • <i>Tables/Chairs for sign-in areas</i> • <i>Shade tents for sun protection</i> • <i>Easels</i> • <i>Rental items necessary for the event</i>
<p>Supplies/Materials</p>	
<p>Before expending funds on new education and encouragement materials, the use existing SRTS, bike, and/or pedestrian materials already developed by the ATRC, National Center for SRTS, the SRTS National Partnership, FHWA, and/or other states, is encouraged.</p> <ul style="list-style-type: none"> • Visit the ATRC for educational materials and links: http://caatpresources.org/ <p>Expenses to design/develop alternative SRTS, bike and/or pedestrian materials, when comparable materials are already available from the above listed sources, must be pre-approved by the Caltrans HQ NI Program Manager (<i>see Section 1: Pre-Approval</i>).</p>	

Reasonable supplies/materials costs include:

- Educational/encouragement materials that are specific to bicycling and walking.
 - Transit-related items are not an eligible component of ATP NI projects
- Office supplies

**SUPPLIES/MATERIALS
EXAMPLES**

Supplies/materials include but are not limited to:

- *Curricula*
- *Training materials, handouts, flyers, etc.*
- *Walking School Bus and/or Bicycle Train guides*
- *School walking and/or bicycling route maps*
- *Parent tip sheets*
- *Educational DVDs*
- *Walking and/or bicycling activity and safety books*
- *Bookmarks with walking/bicycling safety messages*
- *Graphic design costs associated with developing new education and encouragement materials.*
- *Printing costs associated with new education and encouragement materials.*
- *Office supplies (e.g. paper, pens, staples, ink cartridges, etc.)*

Incentives

Allowable incentives are limited to pedestrian and bicycle related educational safety materials.

Incentives are classified into two different categories: “Major” and “Minor” items, with different rules and allowances for each category. Incentives cannot be purchased for raffles, promotions, giveaways, or other similarly intended uses except as allowed herein.

Minor:

- Allowable minor incentives are limited to SRTS K-8 projects.
- Minor incentives should be used as rewards for program participation, not given to the entire student body/community whether or not they participate in an NI activity.
- All materials must include a safety message.
- Total value of incentives are not to exceed \$5/participant.
- Donated items are not subject to in the cost limits.

Major:

- Allowable major incentives are limited to SRTS K-8 projects.
- Major incentives should only be used as reward for outstanding participation or achievement in the program over the course of a year.
- Major incentives should be used as rewards for program participation, not given to the entire student body/community whether or not they participate in an NI activity.
- Donated items are not subject to the cost limits.

INCENTIVE EXAMPLES	<p><u>Minor:</u></p> <ul style="list-style-type: none"> • <i>Punch card holders</i> • <i>Scanning tags or punch cards</i> • <i>Awards certificates (certificates acknowledging achievement or participation, not gift certificates)</i> • <i>Healthy snacks</i> • <i>Reflective items (zipper pulls, wrist/ankle bands)</i> • <i>Bicycle bells</i> • <i>Coloring books on bike/ped safety</i> • <i>Golden Sneaker Trophy (for SRTS classroom contests)</i> <p><u>Major:</u></p> <ul style="list-style-type: none"> • <i>Major incentives are limited to bicycle helmets with the following criteria:</i> <ul style="list-style-type: none"> ○ <i>Helmet cost is limited to \$20/helmet (excluding tax)</i> ○ <i>Maximum of 2 helmets: per grade level/per school /per school year.</i> • <i>Helmets should be purchased in volume to minimize costs. Caltrans does not endorse any particular business or vendor. Many sources for bulk purchases exist, including:</i> <ul style="list-style-type: none"> ○ <i>Helmetsrus.net</i> ○ <i>Prorider.com</i> ○ <i>Americansafetyandsmoke.com</i>
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Other Direct Costs

Other Direct Costs should not include any indirect costs (see ICAP/ICRP section).

Reasonable direct costs include:

- Meeting/training rental fees
- Food for working meetings
 - Food should be “healthy” and of reasonable cost, an example of reasonable cost is conforming to State reimbursement guidelines including: \$8 breakfast, \$12 lunch, \$20 dinner
- Phone service (does not include equipment – see Section III: Ineligible Expenses).
- Postage/shipping
- Webinar services
- Website services

SECTION III: INELIGIBLE EXPENSES

Items that cannot be purchased with ATP funds

Certain items are not eligible for either Operating expenses or Program expenses. This list is not exhaustive. Please contact Caltrans for clarification on these items, if needed. Under certain circumstances, Caltrans may approve the use of ATP funds for the purchase of typically ineligible items. This would be done on a case-by-case basis if the applicant can justify that the item primarily benefits the non-motorized user. Such approvals must be obtained through the “Item Eligibility Exception Process” prior to submitting the application.

These items are not eligible Operating Expenses:

- Cash/Gifts/Gift cards
- Electronic Equipment
- Salaries for volunteers or crossing guards

These items are not eligible Program Expenses:

- Cash/Gifts/Gift cards
- Electronic Equipment
- Bikes for raffles, incentives, prizes, or giveaways
- Clothing
- Participant Meals

EXAMPLES OF INELIGIBLE EXPENSES

Ineligible expenses include but are not limited to:

- *Gift cards/Gift certificates*
- *Computers/laptops/software*
- *Printers*
- *iPads/tablets*
- *iPods/MP3 Players*
- *Cell phones*
- *Smart Boards*
- *Projectors*
- *Salaries for volunteers or crossing guards*
- *Heart Monitors*
- *Bikes for raffles, incentives, prizes, or giveaways*
- *Bike racks*
- *T-shirts*
- *Skateboards, scooters*
- *Incentives (Major or Minor) used for non-SRTS events*
- *Incentives used as rewards for simply attending, but not requiring participation in the event*
- *Event participant meals*

