Project Monitoring

# Planning

## Project

|  |  |
| --- | --- |
| Entity: |  |
| Project Description:Complete – Same as in the application, will be used in grant application. If changes are made to the project scope the description will need to be updated in the grant and possibly the environmental documents. A grant amendment maybe required. |
| Location: |  |
| Notes: |

**SDDOT Staff:** For construction related project: Remind providers to reference the SDDOT Transit Facility Construction Project Guidebook, FTA Construction Project Management Handbook and to have them share this information with A&E Consultants and Contractors. Also, they should be following their procurement policy.

## Grant

|  |  |  |
| --- | --- | --- |
| FAIN\Grant Number: |  |  |
| Approved Date: |  |  |
| Agreement period |  |  |
| Awarded Amount | Federal Amount | Total amount |
|  |  |  |

## Joint Development

|  |  |
| --- | --- |
| Other entity(s) |  |
| MOU |  |
| Budget showing the joint responsibility |  |
| Documented local contribution by parties |  |

## Local Match of Services

|  |  |
| --- | --- |
| If so, source and estimated value process and amount. |  |
| Sent proposal to FTA for approval |  |
| FTA Approval |  |

## Planning Milestones

Use the milestones from the application and adjust throughout the life of the project through the weekly email exchange with subrecipient. These updates will be used for the MPR reports.

|  |  |  |  |
| --- | --- | --- | --- |
| Milestone | Start | Complete | Notes |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

## Procurement

|  |  |  |
| --- | --- | --- |
| Prior to Solicitation | Date | Notes |
| ICE Approved by SDDOT |  |  |
| Procurement Approved by SDDOT |  |  |
| Prior to Award |  |  |
| Completed procurement checklist documenting process up to the award |  |  |
| Summary of bids\proposals |  |  |
| Signed certifications and clauses |  |  |
| Recommendation of awards |  |  |
| Documentation of responsive and responsible |  |  |
| Price reasonableness analysis |  |  |
| DBE forms |  |  |

## Selecting from SDDOT Retainer List

|  |
| --- |
| SDDOT Retainer List [Consultant Services - South Dakota Department of Transportation (sd.gov)](https://dot.sd.gov/doing-business/engineering/design-services/consultant-services) |
| Process to use – Refer to the ICE-Procurement Review Checklist |  |
| Agreement between vendor and agency |  |
| Federal Certification and Clauses signed and on file |  |

## A&E Firm

|  |  |
| --- | --- |
| Firm Name |  |
| Contact Information |  |
| If no A&E Firm who will conduct planning tasks |  |

## Disposing of Federal Funded Asset

|  |  |
| --- | --- |
| Asset |  |
| Appraisal Conducted |  |
| Gather information from provider on why disposing |  |
| SDDOT Staff put together information regarding the situation and submit to FTA for approval and direction. |  |
| Funds received from asset |  |

More tracking may need to be added above depending on the situation and the FTA response.

## Plans\Studies

|  |  |
| --- | --- |
| Equity Analysis Completed (Required for all new construction.) |  |
| Feasibility Study |  |
| Archeological Site Review Complete.Conducted By: SDDOT, Engineer, Other |  |
| Basic Drawing (min)  |  |
| Soil Survey |  |
| Construction Plan  |  |
| Final Floor Plan |  |
| Construction Details  |  |
| Building Permits |  |
| Local easements and ordinances checked |  |
| Compaction Test  |  |
| For a technology project or rolling stock this list would need to be updated according to the project. |  |

## Environmental

|  |  |
| --- | --- |
| Entity conducting environmental |  |
| Phase I Assessment Complete ( |  |
| Categorical Exclusion Worksheet Submitted to SDDOT |  |
| Phase II Assessment Required |  |
| Reason |  |
| Environmental packet submitted by subrecipient |  |
| Reviewed by SDDOT |  |
| SDDOT sent to FTA |  |
| Approved Environmental |  |
| Approval letter and final environmental sent to subrecipient |  |
| Approval letter and final environmental documents in project file |  |

## Land

|  |  |
| --- | --- |
| Land Identified |  |
| Title Search Completed |  |
| Land Secured |  |
| MOU w/current landowner |  |
| Offer to Purchase – SDDOT review before offer is submitted. |  |
| Provider submitted approval for of purchase if value is greater than fair market value |  |
| SDDOT Approved price |  |
| Acquisition Amount and date |  |

|  |  |
| --- | --- |
| Land Donated |  |
| Use as Match (Use Appraisal Fair Market value.) |  |
| Value determined |  |
| Amount used for match |  |
| Sent proposal to FTA for approval |  |
| FTA Approval |  |

|  |  |
| --- | --- |
| Relocation Required |  |
| If yes, refer to guidance to add the information to track to add to this table. |  |
|  |  |
|  |  |
|  |  |

|  |  |
| --- | --- |
| Appraisal Conducted Date (Environmental must be FTA approved before conducting.) |  |
| Appraisal Review |  |
| By |  |
| Date |  |
| Appraisal FTA Approved Date |  |

## Miscellaneous Land Information

|  |  |
| --- | --- |
| Lease |  |
| Lease Term |  |
| Zoning |  |
| City |  |
| County |  |
| Flood Insurance |  |
| Flood Plain: NA, 50-year, 100 year, or Both (Put in project file and update ThingTech and transit database.) |  |
| Legal Description |  |

# Payments

|  |  |  |  |
| --- | --- | --- | --- |
| **Payment**  | **Approved to pay by** | **Date** | **Amount** |
| 1. |  |  |  |
| 2. |  |  |  |
| 3. |  |  |  |
| 4. |  |  |  |
| 5. |  |  |  |
| Final Payment |  |  |  |

Also reference the weekly email correspondence. Put documentation of this communication in the project folder.

# Facility Construction

Project monitoring ensures the provider is following the scope of project, funding agreement, SDDOT Facility Construction Guide and Procurement Policy throughout the life of the project.

## Project

|  |  |
| --- | --- |
| Entity: |  |
| Project Description:Complete – Same as in the application, will be used in grant application. If changes are made to the project scope the description will need to be updated in the grant and possibly the environmental documents. A grant amendment maybe required. |
| Location: |  |
| Project Type(New Construction, Expansion, Acquisition, Remodel) |  |
| Notes: |

**SDDOT Staff:** For construction related project: Remind providers to reference the SDDOT Transit Facility Construction Project Guidebook, FTA Construction Project Management Handbook and to have them share this information with A&E Consultants and Contractors. Also, they should be following their procurement policy.

## Grant

|  |  |  |
| --- | --- | --- |
| FAIN\Grant: |  |  |
| Approved Date: |  |  |
| Agreement period |  |  |
| Awarded Amount | Federal Amount | Total amount |
|  |  |  |

## Joint Development

|  |  |
| --- | --- |
| Other entity(s) |  |
| MOU |  |
| Budget showing the joint responsibility |  |
| Documented local contribution by parties |  |

## Local Match of Services

|  |  |
| --- | --- |
| If so, source and estimated value process and amount. |  |
| Sent proposal to FTA for approval |  |
| FTA Approval |  |

## Construction Milestones

Use the milestones from the application and adjust throughout the life of the project through the weekly email exchange with subrecipient. These updates will be used for the MPR reports.

|  |  |  |  |
| --- | --- | --- | --- |
| Milestone | Start | Complete | Notes |
| Environmental started |  |  |  |
| Environmental submitted to FTA |  |  |  |
| Environmental FTA Approval  |  |  |  |
| Appraisal completed |  |  |  |
| Appraisal Approved |  |  |  |
| Construction Procurement Announced |  |  |  |
| Contract Award |  |  |  |
| Construction Start |  |  |  |
| Construction Complete |  |  |  |
| Final Draw |  |  |  |

## Procurement

|  |  |  |
| --- | --- | --- |
| Prior to Solicitation | Date | Notes |
| ICE Approved by SDDOT |  |  |
| Procurement Approved by SDDOT |  |  |
| Prior to Award |  |  |
| Completed procurement checklist documenting process up to the award |  |  |
| Summary of bids\proposals |  |  |
| Signed certifications and clauses |  |  |
| Recommendation of awards |  |  |
| Documentation of responsive and responsible |  |  |
| Price reasonableness analysis |  |  |
| DBE forms |  |  |

## Selecting from SDDOT Retainer List

|  |
| --- |
| SDDOT Retainer List [Consultant Services - South Dakota Department of Transportation (sd.gov)](https://dot.sd.gov/doing-business/engineering/design-services/consultant-services) |
| Process to use – Refer to ICE-Procurement Checklist |  |
| Agreement between vendor and agency |  |
| Federal Certification and Clauses signed and on file |  |

## A&E Firm

|  |  |
| --- | --- |
| Firm Name |  |
| Contact Information |  |
| If no A&E Firm who will conduct planning tasks |  |

## Disposing of Federal Funded Asset

|  |  |
| --- | --- |
| Asset |  |
| Appraisal Conducted |  |
| Gather information from provider on why disposing |  |
| SDDOT Staff put together information regarding the situation and submit to FTA for approval and direction. |  |
| Funds received from asset |  |

More tracking may need to be added above depending on the situation and the FTA response.

## Land

|  |  |
| --- | --- |
| Land Identified |  |
| Title Search Completed |  |
| Land Secured |  |
| MOU w/current landowner |  |
| Offer to Purchase –SDDOT to review before offer is submitted. |  |
| Provider submitted approval for of purchase if value is greater than fair market value |  |
| SDDOT Approved price |  |
| Acquisition Amount and date |  |

|  |  |
| --- | --- |
| Land Donated |  |
| Use as Match (Use Appraisal Fair Market value.) |  |
| Value determined |  |
| Amount used for match |  |
| Sent proposal to FTA for approval |  |
| FTA Approval |  |

|  |  |
| --- | --- |
| Relocation Required |  |
| If yes, refer to guidance to add the information to track to add to this table. |  |
|  |  |
|  |  |
|  |  |

|  |  |
| --- | --- |
| Appraisal Conducted Date (Environmental must be FTA approved before conducting.) |  |
| Appraisal Review |  |
| By |  |
| Date |  |
| Appraisal FTA Approved Date |  |

## Miscellaneous Land Information

|  |  |
| --- | --- |
| Lease |  |
| Lease Term |  |
| Zoning |  |
| City |  |
| County |  |
| Flood Insurance |  |
| Flood Plain: NA, 50-year, 100-year, or Both (Put in project file and update ThingTech and transit database.) |  |
| Legal Description |  |

## DBE Goal

|  |  |
| --- | --- |
| Goal Set (Per SDDOT Goal – only Race Neutral) |  |
| Goal Percent |  |
| DBE Participation |  |
| Review of DBE Documentation. See the SDDOT Construction Guide |  |
|  |  |

SDDOT staff add contractor information to the plan holder list in the DBE folder to be used to develop goal.

## ADA

|  |  |
| --- | --- |
| ADA Features as part of the scope of work |  |
| During construction |  |
| Meet ADA specification requirements  |  |

## Davis Bacon

Construction contracts over $2,000.

Documented below and documentation in project file.

|  |  |
| --- | --- |
| Wage Determination included in procurement. |  |
| Pre-Construction Meeting |  |
| Contact Information |  |

### Onsite Inspections

|  |  |  |
| --- | --- | --- |
| **Date Conducted** | **Staff Conducted** | **Issues** |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Date Range** | **Reviewed** | **Issues** | **Issues Sent** | **Approved** |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

## Inspections\Payments

Construction Progress Inspections to verify project meeting specifications, project scope and payment stages. (Refer to Inspection template.) Documented below and report in project file. Reimbursement Requests review and payment (documented below and documented in project file.

See below information regarding Advance Payments

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Payment Stage** | **Inspection Date** | **Approved to pay** | **Date** | **Amount** |
| 1. ?% |  |  |  |  |
| 1. ?%
 |  |  |  |  |
| 1. ?%
 |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
| Final Payment |  |  |  |  |

## Change Orders

Common process must be followed and documented. FTA considers each change order to be a sole source or non-competitive procurement. Work in the change order must be within the general scope of the primary construction contract. The cost of the order must be analyzed and found to be fair and reasonable.

|  |  |  |
| --- | --- | --- |
| **Date of Order** | **Order Description** | **Order Approved (By contractor\provider)** |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

## Project Tracking

Project Tracking Status Reports generated from the transit database should be sent out quarterly for construction, planning and rolling stock (provider did the procurement) projects for the life of the project.

Verify the provider is providing this information in the project tracking status updates. Any changes to scope, delays, issues that impact the completion of the project, etc. This information can be used in the grant when updating the milestone dates for the project. Update the project tracking record in the transit database with information that would have an impact on the milestones or milestone reporting data. (See the MPR reporting process in transit guide.) Keep the complete Project Status report in the project folder for documentation.

## Quarterly Reports

Send quarterly project status reports to providers along with the quarterly report template to be completed and submitted. File the quarterly report in the project folder.

### Quarterly Reports

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Quarter | Request sent to Subrecipient | Report Received from Subrecipient | Report Satisfactory | Updates logged into project record in database | Notes |
| 1 |  |  |  |  |  |
| 2 |  |  |  |  |  |
| 3 |  |  |  |  |  |
| 4 |  |  |  |  |  |
| 5 |  |  |  |  |  |
| 6 |  |  |  |  |  |
| 7 |  |  |  |  |  |
| 8 |  |  |  |  |  |

## Project Complete

The contract with the contractor should include the requirement the contractor must provide maintenance and operation manuals for the facility’s equipment and systems. These manuals will be a reference to the maintenance requirements to be included in the asset maintenance plan.

|  |  |
| --- | --- |
| Received | Asset Maintenance Plan |
|  | Updated Asset Management Plan |
|  | Verified plan compliant with SDDOT Asset Management Plan template |
|  | Filed in Project Folder |

SDDOT has the Facility project in ThingTech and Transit Database (In ThingTech it could be an added component to an existing facility and\or the facility information would need to be updated to include any changes to the facility description, dates, funding, etc. In transit database the project form would have to be updated. Update the facility record as applicable and the project would be entered as a sub form to the facility record. Or if new construction new records will need to be added to both systems.)

|  |  |
| --- | --- |
| Date Added | System\Task |
|  | Facility record in ThingTech  |
|  | Facility record in transit database |
|  | Add the facility to the asset inspection rotation if new facility. |
|  | Access the condition rating and entered in ThingTech |

Facility Project Folder includes the following. The facility project folder is filed in the facility file cabinet drawer and is kept for the life of the facility then required retention period.

|  |  |
| --- | --- |
|  | Funding agreements |
|  | Studies |
|  | Plans |
|  | Approved environmental and letter |
|  | Appraisal |
|  | Appraisal Review |
|  | Procurement Documentation |
|  | Retainer Documentation |
|  | Match Documentation |
|  | Land Documentation |
|  | DBE Documentation |
|  | Agreements between parties pertaining to facility\land |
|  | Davis Bacon Information |
|  | Change Orders  |
|  | Inspection Documentation |
|  | Asset Maintenance Plan |
|  | Facility pictures |
|  | Payments and supporting documentation  |
|  | Weekly emails documentation in the facility project folder  |
|  | Project is marked complete in transit database |

## Project Close Out

Review the Project file to ensure all the required documentation is on file. see Construction Administration in SDDOT Facility Construction Guide and this monitoring tool.

|  |  |  |
| --- | --- | --- |
| Received | Closeout Checklist Documents | Filed in Facility Project Folder |
|  | Compare documentation to construction or A&E contract |  |
|  | Obtain Contract Close Out Process Documented |  |
|  | Substantial Completion |  |
|  | Certification of Substantial Completion |  |
|  | Signed Certification of Final Completer from provider and in the facility project folder |  |
|  | Documentation of Release of Liens |  |
|  | Documentation of Release of Retainage |  |
|  | Final Davis Bacon worksheets received and reviewed |  |
|  | Final Inspection |  |
|  | Final Payment |  |
|  | Approved facility incidental uses such as renting conference room, shared space, etc. |  |

## References:

Construction planning is eligible under planning or 5339 funds. It is best to have the planning portion of the project completed before requesting construction funds.

Eligible Grant Activities. SPRP grants can be used to cover the cost of administering the statewide transportation planning, MPP, or both. SPRP grants are available for direct labor or for contracts to undertake the balanced and comprehensive planning, engineering, design, and evaluation of public transportation projects and for transportation planning studies involving modes other than transit when performed as part of the metropolitan transportation planning process. SPRP funds may be used for Metropolitan planning activities authorized under 49 U.S.C. 5303.

The section 5339 circular lists construct bus-related facilities as an eligible activity. It doesn’t get into specifics about the related costs associated to this type of project such as design.

Equity Analysis is required for all new construction and is required to be conducted on possible sites before selecting a site. The analysis is to be completed before the environmental or acquisition. Equity analysis is addressed in the SDDOT Construction Manual under Environmental. For examples: [**\\State.sd.local\work\TRPR1\ART\TRANSIT\Facilities\Equity Analysis**](file:///%5C%5CState.sd.local%5Cwork%5CTRPR1%5CART%5CTRANSIT%5CFacilities%5CEquity%20Analysis)

SDDOT Capital Planning Manual June 2021

SDDOT Facility Construction Project Guidebook June 2021

SDDOT Provider procurement template

FTA Circular 5010.E

* IV Section 5
* Other sections have some facility construction guidance as well

FTA Section 5339 Circular

FTA Section 5303 Circular

DBE, A&E, Construction – SDDOT Provider Procurement Template

200CFR – Search for key words based on the situation\topic

State Management Review Contractor Manual (Below statement and other related tasks)

According to the SMR Contractors Manual – Technical Capacity – Project Management

The recipient is required to ensure project schedules, budgets, and performance objectives are achieved; provide technical inspection and supervision of all projects in progress; ensure conformity and compliance with all applicable federal, state, and local regulations; and obtain all necessary approvals prior to incurring costs.

FTA Project and Construction Management Guidelines

[FTA Project and Construction Management Guidelines 2016 (dot.gov)](https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/FTA_Project_and_Construction_Mgmt_Guidelines_2016.pdf)

Construction Project Management Handbook

[FTA Construction Management Handbook 2016 (dot.gov)](https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/FTA_Construction_Project_Management_Handbook_2016.pdf)

* Design and Construction of Facilities

Environmental - Refer to SDDOT Construction Project Guidebook and NEPA https://www.epa.gov/nepa

* Complete the Region8 CE Worksheet Document in the u drive or can request from FTA.
* SDDOT is required to review the worksheet for completeness and accuracy before send to the FTA. FTA likes to receive along with the worksheet, maps, graphics, site plans, etc. to provide additional information to determine approval.

Land Acquisition, Relocation, Establishing Fair Market Value, in-kind match – Uniform Relocation Assistance and Real Property Acquisition Polices Act of 1970 (Uniform Act) <https://www.federalregister.gov/documents/2019/12/18/2019-25558/uniform-relocation-assistance-and-real-property-acquisition-for-federal-and-federally-assisted>

 Fair Market Value: Refer to 200 CFR and <https://www.irs.gov/publications/p561>

Appraisal Process – Uniform Act and 49 CFR 24.104, SD Contractors Manual, SMR Contractor Manual, 200CFR

Local Match Reference for donated land or services Refer 200 CFR and applicable FTA section of funds and 5010.1E circulars

Leasing Land and/or facility: FTA Circular 5010.1E. Refer 200 CFR and applicable FTA section of funds and 5010.1E circulars

Force Account –, Chapter IV, Section 5 Design and Construction of Facilities

Joint Development

Davis Bacon - 40 U.S.C. 3141-3144 and 3146-3148 and

DOL 29 CFR Part 5Labor Standards Provisions Applicable to Contracts covering Federally Financed and Assisted Construction

Advance Payments - FTA C. 4220.1F, Ch. IV, Sections 2. b.

A&E Firm

Must be a SD licensed Engineer

SDDOT Facility Construction Project Guide

SDDOT Provider Procurement Policy Template

Brooks Act

Appraisal Reports must be completed by licensed appraisal firms. Appraisal reviews will be conducted by SDDOT Right Away staff with appraisal knowledge and experience.

Incidental Use

SDDOT Transit Guide

Footnote: the planning monitoring of this document can also be used to monitor non-facility related planning projects per requirement State Management Review Contractor Guide under Technical Capacity **TC-PjM3.**

Also reference the weekly email correspondence. Put documentation of this communication in the project folder.