



I-95 CORRIDOR COALITION

PROCEDURAL GUIDELINES

Prepared By:

Steering Committee

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Procedural Guidelines

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PREFACE

The I-95 Corridor Coalition does not have a formal set of By-laws. However, since its establishment, the Coalition has adopted a number of procedures, policies and guidelines that determine the manner in which we operate. These operating guidelines have been compiled and are contained in this manual. This manual will be of use to both new and existing Coalition members. Since procedures are always being revised, it is planned that this manual will be updated on a frequent basis. Any comments or suggestions should be addressed to the current co-chairs of the Steering Committee or to any of the Coalition staff.

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I-95 Corridor Coalition Steering Committee*

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I. ORGANIZATION AND MANAGEMENT

MEMBERSHIP GUIDELINES

There are four types of membership within the I-95 Corridor Coalition (Coalition): Full Membership, Affiliate Membership, Associate Membership and Friends of the Coalition.

Full Membership entitles the organization to a seat on the Executive Board, along with representation on the Steering Committee, Program Track Committees, and/or any special task forces. Full membership applies to any organization that owns or operates a major regional system within the Coalition's 16 states or that is an agency of the United States Department of Transportation (USDOT). Each full member is accorded one vote, when voting is required.

Affiliate Membership entitles the organization to representation on the Steering Committee, Program Track Committees, and/or any special task forces. This category includes any organization that is a transportation-related association, such as a Metropolitan Planning Organization (MPO) or other transportation planning agencies/organizations within the 16 State Coalition Region.

Associate Membership entitles the organization to representation on the Program Track Committees, and/or any special task forces. This category includes any organization that owns or operates a local transportation system; is otherwise eligible to be a Full or Affiliate member but is outside the geographic boundary of the Coalition; or is a partner agency, such as State Police, other law enforcement organizations, and motor vehicle agencies. Partner agencies typically contribute to the content and implementation of the Coalition's program, but are not part of a public transportation department or authority.

Friends of the I-95 Corridor Coalition entitles the organization to receive Coalition newsletters, publications, notices and project reports (if requested). Organizations or individuals not eligible for Full, Affiliate or Associate membership would fit this category.

Process for Adding New Members

Organizations interested in Full, Affiliate or Associate Membership must submit a written request. The leadership of the Steering Committee must approve any organization requesting Affiliate or Associate Membership. The Executive Board leadership must approve requests for Full membership. Any organization that is interested in becoming a Friend of the I-95 Corridor Coalition will be added to the database upon request.

New Member Packages

Any new Full, Affiliate or Associate Member will receive a welcome package that includes a welcome letter and current publications. Unless they make a specific request, Friends of the I-95 Corridor Coalition will be placed on the mailing list to receive future editions of publications.

Committee Membership

Program Track Committees - Membership on these committees will be open to all wanting to be involved. The Program Track Committee leadership is designated by the Steering Committee leadership. Participation may include representatives from Coalition members, affiliate organizations, interest groups and other interested parties.

Policy & Strategic Planning Committee – Membership on this committee consists of individuals with a broad perspective on Coalition and member agency needs, covering policy development, planning, finance, investment, operations, and technology. Individuals with multi-modal, regional and multi-state experience are critical. Executive Board and Steering Committee members

designate members of the Policy & Strategic Planning Committee.

Steering Committee - Membership consists of two representatives from each Full member organization and one from each Affiliate organization and all the chairs of the Program Track Committees.

Executive Board – Membership consists of the Chief Executive Officer of each Full member organization, usually a Commissioner, Executive Director, Secretary, or Administrator.

I. ORGANIZATION AND MANAGEMENT

CORE ORGANIZATIONAL STRUCTURE

The Coalition's core structure includes the Executive Board, the Steering Committee, the Policy & Strategic Planning Committee, and the Program Track Committees. This section provides descriptions of each Committee and guidelines for leadership succession planning. Exhibit I-1 summarizes the roles of the key organizational parts. Other groups supporting the work of the Coalition and their roles are also described within this section.

Executive Board

The Executive Board is made up of Chief Executive Officers or their designee from each of the Coalition's Full member agencies. The Executive Board is the policy making body for the Coalition. It meets twice a year or as needed to provide policy guidance to the Coalition and to approve the Coalition's annual program. The Executive Board looks at the implication of long-term trends and frames the Coalition's long-term goals accordingly. It must also approve all strategic planning actions and any organizational restructuring. A chair and one or more vice-chairs lead the Executive Board. The chair and the vice-chairs form an Executive Leadership group which meets as necessary to consider policy level issues. The Executive Leadership decides what issues must go to the full Board for consideration, and may choose to take an action as the leadership without a full Board meeting. If a ballot process is used between meetings to gather input or direction, the majority response by the due date will be used.

Decision Process - The Executive Board operates by consensus to the extent possible. When votes are needed to set priorities or to take specific action, each Full member agency shall have one vote. Decisions will be made by a simple majority of those present at a meeting. However, in advance of Executive Board meetings, a specific input and ballot on action items will be sought from those unable to attend and those votes shall count toward the final vote count.

Steering Committee

The Steering Committee is made up of senior policy or technical representatives from each member of the Coalition. It meets as needed and deals with all aspects of the Coalition's activities including technical, institutional, organizational, program, funding, policy and internal and external relations. The Steering Committee is led by a chair and vice chair or two co-chairs. The Steering Committee coordinates and manages Coalition programs, gives guidance on activities that cut-across Program Track Committees, and oversees policy development. The leadership of the Steering Committee also participates in guiding the day-to-day management of the Coalition. The leadership decides what issues must go to the full Committee for consideration.

Decision Process - The Steering Committee operates by consensus to the extent possible. When votes are needed to set priorities or to take specific action, each full member agency shall have one vote. Decisions will be made by simple majority of those present at a meeting. However, in advance of Steering Committee meetings, a specific input and ballot on action items will be sought from those unable to attend and those votes shall count toward the final vote count.

Policy & Strategic Planning Committee

The Policy & Strategic Planning (PSP) Committee serves a dual role in the Coalition structure. First, the PSP provides policy analysis and strategic planning support to the Executive Leadership. Second, the PSP provides management mechanisms that ensure consistency with the long-term objectives of the Coalition and supports the Steering Committee's responsibility for defining the Coalition's Work Plan and Budget. The PSP also identifies and manages/coordinates projects of corridor-wide significance or those that cut across several Program Track Committees.

Program Track Committees

Program Track Committees have been established as the core structure through which the Coalition's program will be implemented. Program Track Committees are established for focus areas as determined by Executive Leadership. The role of a Program Track Committee is to guide the Coalition activity within that area of program emphasis and expertise. These committees meet on a frequency determined by need within the Committee. Membership is from the Coalition agencies, but participation is open to anyone with an interest in the goals of the committee, including representatives of private or corporate entities. The committee may have co-chairs, but at least half the leadership must be from a member agency. The leadership of the Steering Committee approves the selection of Program Track Committee Chairs. The Program Track Committees, and their respective goals, are:

- Travel Information Services:
 - To support the development of a corridor-wide, multimodal traveler information system that provides users with accurate and timely information.
- Coordinated Incident Management:
 - To facilitate, support, and enhance the coordination and implementation of interagency efforts in response to major incidents and special events of regional significance within the I-95 Corridor.
- Intermodal
 - To promote reliable, efficient, and balanced intermodal transportation throughout the Coalition states by supporting policies, information technology, and operations that improve the intermodal movement of freight and passengers.
- Safety
 - To raise the visibility of safety and integrate it into Coalition activities to reduce fatalities, injuries and incidents on the transportation system and ensure the safe movement of people and goods throughout the Coalition region.

Committee Leadership Succession

The term for leadership of the Executive Board, Steering Committee, Policy & Strategic Planning Committee and Program Track Committees is two years, with a maximum of four years. As part of succession planning, all committees should conduct a leadership review every two years. Additional guidance is provided for Executive Board and Steering Committee leadership succession:

- Executive Board - The nominations/elections for Executive Board Leadership positions will take place at the Spring Board meeting or at the Board Meeting held in conjunction with the Coalition's Annual Meeting, with the term beginning January of the year immediately following.

The nominating committee will be selected by the current Chair and consist of members of the Board. The nominating committee will meet prior to the Board Meeting at which elections will be held and make their recommendation at the Board Meeting. Nominations may also be made from the floor at the Board Meeting. A majority of the Executive Board in attendance at the meeting shall decide on the new leadership.

Where circumstances do not permit normal succession guidelines to be implemented, the

Executive Board leadership may institute special procedures to fill vacant positions.

Mid-term Appointments – In the case of a mid-term Executive Board leadership vacancy, for Chair or Vice-Chair, the remaining Executive Leadership will appoint another member of the Executive Board to fill the vacant position until the next regularly scheduled election. If the vacancy to be filled is the Chair position, one of the remaining Vice-Chairs will assume the Chair position and a new appointment will fill the Vice-Chair position until the next regularly scheduled election. The Executive Leadership will enact any required changes at the first opportunity following the vacancy, or in advance when prior notice is given. The new and/or revised Executive Leadership will be officially announced to the entire Executive Board in writing at the earliest opportunity after the appointment, and introduced at the next regularly scheduled Executive Board meeting.

- Steering Committee - The combined time in service for any of the leadership positions should not exceed four years. One of the two members of the leadership team will continue their term after the other has left to provide continuity. Either two Co-chairs or a Chair and Vice-chair could serve as the leadership.

Succession will take place at two-year intervals (offset from the Executive Board succession) with the changeover occurring during the first meeting of the Steering Committee in the calendar year. Nominations and elections will occur during the last meeting of the appropriate calendar year.

Any member of the Steering Committee may make nominations for Steering Committee leadership by submitting in writing to the Steering Committee leadership or the Executive Director. In all cases, recommendations will be forwarded to the Steering Committee for ratification.

Mid-term Appointments - Where circumstances do not permit normal succession guidelines to be implemented, the Executive Board, in conjunction with the remaining Steering Committee leadership, may institute special procedures to fill vacant positions. One such case is when one or both of the current Steering Committee leadership resign or are no longer able to serve.

Exhibit I-1 ORGANIZATIONAL ROLES

Coalition	Program Track Committee	Policy & Strategic Planning Committee	Steering Committee	Executive Board
Long Range and Strategic Planning	<ul style="list-style-type: none"> • Provide input to track-related strategies and long-range activities 	<ul style="list-style-type: none"> • Develop long-range strategic vision for Coalition and Corridor • Act in an advisory role on policy issues 	<ul style="list-style-type: none"> • Prioritize track recommendations • Translate Executive Board direction and strategies into near-term policies and programs 	<ul style="list-style-type: none"> • Identify long term strategic positions • Position Coalition's long-range plans and strategies
Program and Operating Policies	<ul style="list-style-type: none"> • Identify policy issues, options for recommendation 	<ul style="list-style-type: none"> • Ensure that the Work Plan and Budget reflect the established strategic objectives and priorities. 	<ul style="list-style-type: none"> • Decide/give guidance on direction of Coalition • In coordination with PSP oversee business operations 	<ul style="list-style-type: none"> • Set overall direction of Coalition • Provide input and direction • Finalize and make decisions on policies
Programs & Projects	<ul style="list-style-type: none"> • Develop programs and recommend priorities within track areas • Oversee technical and program activity • Identify training, standards and other agency support needs in track areas • Identify & create links with related program tracks • Identify emerging issues within track areas 	<ul style="list-style-type: none"> • Identify and manage certain projects of corridor-wide significance or projects with significant policy considerations; • Identify and manage major projects that cut across many Program Tracks. 	<ul style="list-style-type: none"> • Coordinate and guide programs/resources; • Determine overall program and coordinate across program tracks; • Identify, prioritize, and agree on agency support needs and emerging issues 	<ul style="list-style-type: none"> • Provide input and direction • Finalize and make decisions on programs
Budgets	<ul style="list-style-type: none"> • Recommend and monitor budget expenditures within track area 	<ul style="list-style-type: none"> • Supports the Steering Committee's responsibility for defining the Coalition's Work Plan and Budget. 	<ul style="list-style-type: none"> • Oversee Tracks • Prioritize recommendations from Program Track Committees • Monitor across tracks; recommend to Executive Board 	<ul style="list-style-type: none"> • Approve
Members	<ul style="list-style-type: none"> • Leaders/Co-chairs appointed by Steering Committee leadership • Membership is from the Coalition Full, Affiliate, or Associate agencies; participation is open to anyone 	<ul style="list-style-type: none"> • Leaders/Co-chairs appointed by Steering Committee leadership • Membership consists of individuals with a broad perspective on Coalition and member agency needs, covering policy development, planning, finance, investment, operations and technology. 	<ul style="list-style-type: none"> • Full or Affiliate Member agencies of the Coalition, and chairs of track committees 	<ul style="list-style-type: none"> • Full Member agencies of the Coalition

NOTE: In addition, the Steering Committee has responsibilities similar to the other committees for activities that cut across the other program tracks or involve more than a single program track. This includes initiating and managing task forces to address crosscutting issues such as training, outreach and performance measures.

I. ORGANIZATION AND MANAGEMENT

OTHER COMMITTEES/ROLES

In addition to the core structure that guides and implements the Coalition program, other roles are important to the overall structure and functioning of the Coalition.

Task Forces

From time to time, the Executive Board, the Steering Committee, the Policy & Strategic Planning and Committee, or a Program Track Committee may create a task force to address a specific issue. A Task Force is normally established with a single mission and when complete is discharged or is absorbed into the existing organizational structure. The permanent staff and the program support consultant provide support to the task forces as needed.

Subcommittees

Program Track Committees may establish subcommittees as deemed appropriate to assist in managing program areas. For any subcommittee established, at least half the leadership must be from a member agency.

Procurement Agencies

Coalition member agencies act as procurement agencies on behalf of the Coalition. This process allows the agency to receive federal funds and in turn gives them the responsibility to procure the services, and to provide general project administration for the resulting contractor. Section IV.3 describes the role of the contracting agency in the procurement process.

Project Management Team

For a specific project, the Program Track leaders and Coalition staff overseeing the project select a project management team. See Section III.1 for detailed explanation.

Operating Committees

The Coalition has established several "ad hoc" teams to expedite routine decision-making. One such team is the "*Core Team*" and consists of the leadership of the Steering Committee, the leadership of the Policy & Strategic Planning Committee, the permanent Coalition staff and the key Support Consultant program management staff. This team conducts regular conference calls to coordinate the day-to-day Coalition activities and meets as needed to define procedures and working relationships among team members, and to prepare for Executive or Steering Committee meetings.

In addition, the Executive Director and other Coalition Staff hold meetings with the program track consultant support staff as needed to ensure members and program needs are being met. When a formal action is required, the issue is referred to the appropriate decision-making part of the structure.

Federal Highway Administration

Federal Highway Administration (FHWA) is a funding partner for the Coalition program and has the responsibility to ensure that the program is being carried out consistent with federal policies, programs and regulations. This federal role is accomplished through a number of means, including membership and participation on the Executive Board, the Steering Committee, the Policy & Strategic Planning Committee and all Program Track Committees as well as direct involvement at the project level.

The FHWA has the responsibility of executing "Partnership Agreements" with those state agencies acting as, or on behalf of, the procurement agencies. These partnership agreements detail the Coalition's funding and the basic responsibilities of the state.

The University of Maryland

The University of Maryland has been contracted by the I-95 Corridor Coalition to provide the following functions:

- Operate and Maintain the Coalition's web site
- Administer the Coalition's existing Consulting Services Contract
- Provide Coalition Administration Services: develop and coordinate Coalition files; develop and maintain a project database; disseminate, collect, and redistribute project quarterly report data; and collect, file, and track the Coalition's federal partnership agreements.
- Other duties as required.

Private Sector

A database of interested private sector companies is used to keep them informed of the Coalition's ongoing activities. Participation in Program Track Committees is welcome, and business partnerships are formed when appropriate.

I. ORGANIZATION AND MANAGEMENT

COALITION STAFF

The Coalition staff consists of an Executive Director and Program Coordinators. The Executive Director, with the concurrence of the leadership of the Steering Committee and Executive Leadership, establishes the staffing required to support the various program areas. The staff reports to the Executive Director. The staff serves the Executive Board, the Steering Committee, the Policy & Strategic Planning Committee, the Program Track Committees, and any project management teams and task forces. The staff directs the work of the Support Consultants.

Recruitment and Selection

Staff members are first recruited from member agencies on a loaned basis. If an experienced pool of candidates does not respond from the member agencies, recruitment may occur from private sector independent consultants. If recruitment results in candidates of equal capability from a member agency and from an outside source, the member agency candidates will receive preference.

For the Executive Director position, a selection committee is appointed by the Executive Leadership to evaluate and interview candidates. The selection committee conducts initial interviews and recommends one or more candidates to the Executive Leadership for final selection.

The Executive Director selects all other staff positions, based upon a competitive solicitation and interview process.

If the person selected for any of the staff positions is from a public agency, a Memorandum of Understanding (MOU) is developed among the staff member, the staff member's parent organization and the Coalition. The MOU spells out the terms of engagement. The initial length of assignment is two years. The assignment may be renewed on an annual basis with the concurrence of each party. If the selection is from outside a member agency, a scope of work and contractual language is developed for execution with a member agency.

The Policy & Strategic Planning Committee leadership, the Steering Committee leadership and the Executive Leadership must approve the creation of any new positions before recruitment can begin.

The primary functions of each of the staff are described below.

Executive Director

The Coalition's Executive Director is responsible for managing the day-to-day implementation of the Coalition Annual Work Plans. The Executive Director reports to the Executive Board, consults regularly with the Steering Committee leadership, and directs the work of the support consultant for overall program support activities. The position functions as both the internal and external focus for communicating the policies, processes, and structure of the Coalition and for directing the implementation of the Coalition's program. Responsibilities of the Executive Director include overall direction for financial management/planning, organizational structure analysis, program development, outreach and communication strategies, program monitoring and evaluation, and business development. The permanent staff reports to the Executive Director. The Executive Director is responsible for bringing issues and proposed strategies to the attention of the core team, the Steering Committee, or the Executive Board as appropriate, and for preparing alternative approaches for their consideration. The Executive Director may act on behalf of the Coalition on all matters, within any limits outlined by the procedural manual and the decision-making structure of the Coalition.

Program Coordinators

The Coalition has program coordinators who provide overall staff support to all activities of the Coalition. The Coordinators work for the Executive Director and provide support to assigned Program Track Committees, as the representatives of the Coalition management processes. The Coordinators assist Program Track Committee Chairs to develop agendas for meetings, bring appropriate consultant resources to support meetings/activities as needed, and monitor Program Track activities for conformance with goals and objectives adopted by the Steering Committee. This role involves attending meetings, monitoring consultants, sub-consultants, and agencies participating in the projects. The Coordinators participate on project management teams, and support to Coalition Task Forces as assigned. Any budget changes, reallocation requests for Program Track activities or MOU's developed to support the activities of a Program Track must have the approval of the Program Coordinator. The Program Coordinators participate in all major activities of the Coalition, and represent the Coalition internally and externally about policies and programs of the Coalition. For current position/staff information, see <http://www.i95coalition.org/contacts.html>.

I. ORGANIZATION AND MANAGEMENT

SUPPORT CONSULTANT STAFF

Program Manager

The Support Consultant's Program Manager has overall management responsibilities for the conduct of the work contracted to the Support Consultant firm, and supervises the work of the staff engaged in the basic Consultant Services Contract. The Program Manager reports to the Executive Director and works closely with the University of Maryland point of contact, Coalition staff, the Steering Committee and the Executive Board leadership and others as directed. The Support Consultant Program Manager also provides lead consultants from the contract team to each Program Track. These assigned consultants work through the Coalition staff to support the track leadership and the track projects and activities.

Program Management Team

A program management team from the support consultant includes the consultant program manager and those consultant staff whose areas of responsibility include the day-to-day operations of the Coalition support work. This includes budgeting, tracking performance and expenditures, payment processing and all other administrative support as assigned by the Coalition.

Project Management Team

An appropriate consultant from the support consultant team is assigned as lead consultant to each project management team when the Coalition initiates the project.

II. PROGRAM DEVELOPMENT AND IMPLEMENTATION

ANNUAL WORK PLAN AND PROJECT DEVELOPMENT PROCESS

The cycle for developing the annual work plan and initiating new projects is a “top-down and bottom-up” process. Input for projects can come up from member agencies, from staff and even from other sources outside the Coalition. Those ideas are put into a process that is guided from the top Executive level of the Coalition, where broad policy, important focus and timely guidance is provided to shape the goals and objectives of the individual Program Track Committees. Projects, activities, and initiatives that work toward accomplishing the objectives are then prioritized and compiled into an annual plan according to available resources.

A chart depicting the basic steps and calendar of the cycle, effective with the Coalition’s Year 16 Work Plan, is shown as Exhibit II –2.

Exhibit II-2 PROGRAM PLANNING CYCLE

<i>Calendar Cycle</i>	<i>Current Year Program Planning</i>
April/May ↓ May ↓ October	<ul style="list-style-type: none"> Executive Board/Steering Committee issue guidance, setting broad program priorities Program Track Committees review goals and objectives, adding or changing as appropriate; develop new project ideas with brief scopes, and prioritize them within objectives; assess readiness of new projects, identify project managers and secure match commitments for agency deployment projects Program Track Committees submit a comprehensive work plan request
October ↓ November ↓ December	<ul style="list-style-type: none"> Program Track Committee requests are compiled and submitted to the Steering Committee for review. Steering Committee reviews all submissions and develops a recommended work plan for the Executive Board Executive Board adopts a work plan for that year and develops direction for the next work plan cycle. Final work plan letter is submitted to FHWA
January ↓ January – April ↓ April/May	<ul style="list-style-type: none"> FHWA formally approves the work plan Coalition itemizes the budget by project sponsor and amounts, working with FHWA FHWA begins the partnership agreement issuance, or interagency agreements if required for a specific project Next year’s program planning cycle begins

II. PROGRAM DEVELOPMENT AND IMPLEMENTATION

MATCH CREDITS

FHWA requires a funding match for the Coalition's federal funds. The match is based on a percentage of the Coalition's total program cost, which is the sum of the federal funds earmarked for Coalition use and the match amount.

The following matching funds policy is in effect for Coalition efforts for Year 14 Projects (i.e., Federal Fiscal Year 2007) and beyond:

- Coalition Deployment and/or Integration Projects: Agencies and participants are required to satisfy the match requirements for any Coalition funding provided. This 20% "project specific" funding match can come from public and/or private sector sources and must meet the following guidelines:
 - 20% of the total project cost must be from non-federally derived funding sources and can consist of cash, substantial equipment contribution utilized for the project, or personnel services.
- General Support Activities: This category includes such efforts as administrative activities, training, studies, etc. Agencies and participants may use "pooled" match credits to satisfy matching requirements. "Pooled" match is the use of other related member ITS projects and other non-federal resources to satisfy a match requirement for a Coalition activity. This pooled "program-wide" approach recognizes that Federal ITS funds within a corridor should support an overall program of ITS initiatives rather than being strictly applied based on specific State-level expenditures.
- Eligible Use of "Pooled" Match Credit: Member projects can be used as "pooled" match credits if they support, are consistent with, and/or are coordinated by the Coalition's projects and activities. They must also be implemented over the same comparable time period as Coalition projects. Non-federal resources, such as cash and staff time expended by Coalition members for ITS activity in the I-95 Corridor, can also be used as match credits. If member projects and non-federal resources are used as Coalition "pooled" match credit, members cannot use those same projects or resources to match other federal funds for their agency.

Annually, a comprehensive calendar-year summary of all match credit status is prepared and submitted with the annual work plan request.

III. PROJECT MANAGEMENT

Coalition Projects approved in the annual work plan are assigned to one of two categories:

- Consultant Contract Projects – the work is completed by the Coalition through its competitively procured consultant contract.
- Agency Contract Projects – the work is completed by a Member Agency using their existing contract mechanisms and Coalition funds transferred pursuant to a Partnership Agreement.

PROJECT MANAGEMENT TEAMS

A project management team is established for every approved project in the Coalition's work plan.

Consultant Contract Projects

There are four key personnel components of project management:

1. Program Track Project Lead – a member agency volunteer chosen by staff and PTC leaders based on project content. This person has overall responsibility to work on behalf of the PTC with Coalition Staff Contact to provide general oversight and guidance related to the project scope of work, work activity, review and acceptance of deliverables. The Program Track Project Lead may also serve as a chair of a project-level task force. The Program Track Project Lead, in conjunction with and with the support of the Coalition Staff Contact, provides reports to the Program Track Leadership regarding the status and activities of the project.
2. Coalition Staff Contact – designated by the Executive Director. The Coalition staff has responsibility for day-to-day project management activities with respect to coordinating the work of the Consultant team and providing support and coordination for the project to the PTC and the Program Track Project Leader.
3. Program Track Committee Chairs – Chair(s) of the Program Track Committee sponsoring the project.
4. Project Consultant Team – The project consultant team is responsible for conducting the project work according to the approved scope of work.

The Program Track Chairs and the Coalition Staff Contact work together to identify the Program Track Project Lead for each of the Consultant Contract projects. The Program Track Project Lead is either a member of the Program Track or a representative of a member agency.

The Program Track Chairs, the Program Track Project Lead and the Coalition Staff work together to identify the best resource available from the Support Consultant team to perform the work. The Coalition's Support Consultant's Program Manager assists with the process of determining the appropriate consultant firm and individuals, and in finalizing the scope of services.

Agency Contracts Projects

There are four key personnel components of project management:

1. Agency Project Manager – This person must be employed by the agency receiving the funds and is responsible for overall management of the project, insuring delivery of the milestones and tasks as cited in the agency project proposal submission as approved by the Coalition Executive Board. This person is designated by the agency receiving Coalition funds and works in coordination with the assigned Coalition Staff member to establish the Scope of Work for the project, and with the appropriate Federal agency representative to transfer funds and comply with the requirements of the Federal Partnership Agreement. The Agency Project Manager

works with the Coalition Staff Contact to determine the appropriate level of detail required and is responsible for providing completed and timely Quarterly reports and project updates and reports to the Program Track, and attends Program Track Meetings, as appropriate. In addition, the Agency Project Manager is responsible for requesting and receiving written, approvals for scope of work changes (see Project Management Responsibilities, Item 5).

2. Coalition Staff Contact – designated by the Executive Director. The Coalition staff member has responsibility for overall project oversight activities and coordination with the Agency Project Manager on the status of the Coalition-funded task and deliverables of the project.
3. Program Track Committee Chairs – Chair(s) of the Program Track Committee sponsoring the project.
4. Consultant Team – For Agency Contract Projects, consulting teams will be selected and managed by the Agency receiving Coalition funds in accordance with agency and Coalition procedures. The Agency Project Manager must advise the selected consulting team of their responsibilities relative to Coalition procedures, including that changes in the Coalition's work scope and funding must be approved in writing by the Coalition according to the procedures set forth in Section III below.

Project Management Responsibilities

For either Consultant Contract or Agency Contract Projects the designated team has overall responsibilities for management of the assigned project. This includes:

1. Completing a detailed project scope – In general, the level of detail will depend on the size and complexity of the project, and will include the following information:
 - Clear statement of objectives
 - Description of work to be performed (in the form of task statements for the larger, more complex projects)
 - Identification of the project team including where applicable the consultant project manager and key staff
 - Identification of work products
 - A project schedule showing key milestones
 - A budget breakdown (showing labor level of effort and cost, and other direct expenses, broken down by task for the larger projects).
 - A distribution plan for deliverables
 - A final report, including Executive Summary
 - Performance Measures
2. Developing a Marketing Plan for the project and its deliverables
3. Reporting quarterly progress using Coalition format and process
4. Completing match credit reports as requested
5. Reviewing the use of Disadvantaged Business Enterprise (DBE) firms from the Support

Consultant team, if applicable

5. Assuring that any scope changes are documented and approved as part of the ongoing record of the project. Such changes must be requested in writing to the designated Coalition staff person and approval received, in writing prior to any change of work commencing or costs being incurred. In the case of Agency-direct projects, these changes must be received in writing from both the Coalition designated staff person and the appropriate Federal agency with oversight for the Partnership Agreement before actions are taken or expenses incurred
6. Monitoring and review of progress, expenditures and quality of the project
7. Assuring that incurred costs are appropriately charged.
8. Preparing materials related to the project to support Coalition Outreach activities.
9. Preparing and submitting a project close out form upon completion of the project.

III. PROJECT MANAGEMENT

GUIDELINES FOR PROJECT CHANGES

The Coalition has guidelines (Exhibit III-1) for four different types of project changes:

- Minor scope change – no funding increase
- Minor scope change – funding increase less than 15% of project or \$75,000, whichever is less.
- Major scope change – no or minor funding increase
- Major scope change – major funding increase (greater than \$75,000)

Exhibit III-1 GUIDELINES FOR PROJECT CHANGES

Project Changes	PTC & Staff	Procurement Agency (for Agency Direct)	Executive Director	Steering Committee Leadership	Executive Leadership
MINOR – No Funding Increase	Approves & recommends	Approve			
MINOR – Minor Funding Increase	Approves & recommends	Approve	Approve	Advise	
MAJOR – No or Minor Funding Increase	Approves & recommends	Approve	Approve	Approve	
MAJOR - Major Funding Increase	Approves & recommends	Approve	Approve	Approve	Approve

NOTE: The Coalition will coordinate any changes required with FHWA and gain FHWA approval for any amendments required in partnership agreements.

IV. CONTRACT MANAGEMENT

MULTI-YEAR SUPPORT CONSULTANT TEAM

The Coalition will periodically seek to procure a multi-year support consultant contract to support the Program Tracks in implementing Coalition projects and programs. The procurement process is a joint effort between the Coalition and a procurement host agency that has agreed to contract on behalf of the Coalition. This partnership assures that the procurement laws, regulations, and procedures of the host organization are followed, a competitive and open process is used, and the Coalition's programmatic and administrative needs are met.

To the extent allowed by the host agency's laws, regulations, and procedures, the Coalition staff will participate and assist the procurement host agency with the development of the Request for Proposals (RFP) and evaluation criteria; interviewing and selection; and contract negotiation.

Advertising

Once an RFP is ready to be issued by the host agency, it is the Coalition's intent to advertise widely in order to obtain the highest response rate. In addition to the legal advertising requirements of the host agency, a variety of actions may be taken:

- Notify the Coalition mailing list of interested parties about the availability of the formal request for proposals (RFP's).
- Advertise availability of RFP's in the Commerce Business Daily and ITS America bulletin board.
- Advertise in accordance with specific requirements of the procuring agency.
- Post on I-95 Corridor Coalition home page and any ITS and transportation web sites that post contracting opportunities.
- Post in the "What's New?" section of the Coalition website
- Submit to the AASHTO Newsletter and similar publications

IV. CONTRACT MANAGEMENT

CONTRACTING AGENCIES' ROLE

Since the Coalition cannot execute a contract on its own, it utilizes the services of one of its member agencies on its behalf. The Coalition will work with the procuring agency to ensure that any agency rules and regulations that may be in conflict with Coalition policies and procedures are resolved. The Coalition will work closely with the procuring agency to ensure that the proposal and selection process, contract negotiations, execution and project activities are in compliance with both Coalition and agency requirements. To the extent possible, Coalition staff and members will assist in the procurement and selection process. If a conflict occurs, the State's or agency's rules take precedence.

The procuring agency may either lead or participate in the following basic functions or tasks:

- Contract negotiations
- Obtain agency approvals necessary to execute the contract
- Execute the contract on behalf of the Coalition
- Participate in project activity to the extent desired
- Receive progress reports and contract deliverables.
- Review and approve in conjunction with Coalition staff
- Maintain a file of all contract-related materials including the contract and modifications, progress reports, invoices, deliverables, etc.
- Receive and process invoices after review for conformance to contract requirements.
- Make timely payments of approved invoices
- Process and execute contract modifications at request of the Coalition
- Conduct post-project audits consistent with agency policy and Coalition requests
- Coordinate with the Coalition on any contractual or financial matter.

The Coalition will strive to minimize the workload of the procuring agency and can provide support to the procuring agency upon their request.

IV. CONTRACT MANAGEMENT

MINORITY PARTICIPATION

The Coalition complies with the DBE goal set by the University of Maryland for minority participation on its support consultant contract. DBE goals on other Coalition sponsored contracts will vary depending upon the goals of the host agency.

IV. CONTRACT MANAGEMENT

CONSULTANT RESTRICTIONS

The I-95 Corridor Coalition has adopted restrictions that apply to Consultants who are under contract to provide services to the Coalition. These restrictions prohibit consultants from proposing on certain Coalition projects. It should be noted that a Consultant's first priority must be to satisfy the terms of existing contracts with the Coalition.

Conditions that would exclude a consultant from eligibility to propose include:

- The Consultant assisted the Coalition in preparing the RFP for the project, developing evaluation criteria for the selection process, preparing project contract documents or reviewing bids upon their receipt;
- The Consultant prepared plans, specifications and estimates (PS&E) or final design documents for the project being bid;
- Work on that project will give the Consultant a clear competitive edge. The Consultant will be notified in writing in advance if they are to be considered precluded. A determination will be made in advance of any work being done.

The Executive Director makes the determination of ineligibility on a case-by-case basis (as needed), based on these guidelines.

IV. CONTRACT MANAGEMENT

NON-COMPETITIVE PROCUREMENT

In accordance with Federal and State regulations, the Coalition will seek to develop scopes of services, scopes of work, and other project requirements such that full and open competitive procurement processes may be used, and which will not result in substantial duplication of cost or unacceptable project delays. The Coalition recognizes, however, that there will be occasions when full and open competition is infeasible, and it is both prudent and in the public's best interest for a project procurement to use other than full and open competition. Therefore the following criteria will be used as guidelines to determine when such a non-competitive procurement process may be pursued:

1. *Only One Responsible Source Exists:* Is there a reasonable basis to conclude that the Coalition's minimum needs can only be satisfied by unique products or services available from only one source or only one supplier with unique capabilities? Are these unique capabilities derived from existing relationships, current relevant experience, unique products/services or skills needed for effective completion of the minimum project requirements? Would the use of full and open competition result in either duplication of costs to the Coalition, or unacceptable project delays resulting from the need for other sources to obtain these unique qualities thereby exceeding any savings derived from the competition?
2. *Timeliness:* Is there an urgency in the public's interest to initiate the project through a sole source procurement because of the relationship of its time frame for completion to other projects or circumstances? Is there a necessary flow of this project from another project that is required for consistency, continuity, and timeliness of the Coalition's overall effort to provide value-added services to the public? Will the procuring agency be able to process a sole source more quickly than a traditional competitive procurement?
3. *Relationship to Ongoing Work:* are the services or products to be procured a follow-on and so closely related to an ongoing effort (study, operational test, etc.) that a full and open competitive award would result in substantial duplication of costs to the Coalition, and/or unacceptable delays in fulfilling the requirement?
4. *Procuring Agency Authorizes Sole Source:* does the Coalition member serving as the procuring/awarding agency authorize the use of noncompetitive/sole source procurement?
5. *Inadequate Competition:* Has a full and open competitive process resulted in an inadequate number of responsible sources for either the current or similar procurement action? Would re-advertising cause substantial delays and added costs that would not provide any benefit to the public or the Coalition?

V. OTHER OPERATING POLICIES

GUIDELINES FOR SPEAKING ABOUT OR ACTING ON BEHALF OF THE COALITION

These guidelines concern presentations, written papers or formal discussions related to the projects that Consultants, Coalition members, and Coalition staff are conducting on behalf of the I-95 Corridor Coalition.

Presentations about the Coalition and its program should be made by member agency representatives whenever possible. When that is not feasible, a Coalition staff member (as appropriate to the subject) is preferred. When neither of these approaches is feasible, a consultant knowledgeable in the subject area may make the presentation if assigned by Coalition staff.

Incoming requests for Coalition-related presentations, inquiries about the status of a project, or interview requests should be brought to the attention of the appropriate staff person first for review. Any formal presentation, written paper or interview (especially with the press) based upon the work developed by a project is limited to scheduled Coalition meetings without the recommendation of the appropriate staff person and written approval of the Coalition's Executive Director. This policy has been endorsed to ensure consistent messages to target audiences and to prevent possible release of information before the full Coalition has had the opportunity to learn about it or to make decisions about direction for a project or program.

In any marketing or advertising materials prepared by the Consultant concerning work performed on behalf of the Coalition, statements should be limited to the facts that the work was conducted for the Coalition and not that the Coalition endorsed or approved the product or services that were performed. In no cases will the Coalition logo be used in any marketing material without written permission.

V. OTHER OPERATING POLICIES

ELIGIBLE COSTS RELATED TO MEETINGS

When ITS funds go on to State and local agencies, costs standards/principles in OMB Circular A-87 apply. Cost-type contract means a contract or subcontract under a grant which the contractor or subcontractor is paid on the basis of the costs it incurs, with or without a fee. **When ITS funds go on to for-profit organizations, cost standards/principles in the FARs apply.**

Eligible Costs

Under **OMB Circular A-87** cost item 30.c, *Memberships, subscriptions, and professional activities*, costs of meetings and conferences where the primary purpose is the dissemination of technical information are allowable. This includes meals, transportation, rental of meeting facilities, and other incidental costs. Please note, under cost item 18 of A-87, *Entertainment*, costs of entertainment, including amusement, diversion, and social activities and any cost directly associated with such costs (such as meals, lodging, transportation and gratuities) are unallowable.

Under **FARs** section 31-205-43(c), the following types of costs are allowable: "When the principal purpose of a meeting, conference, symposium, or seminar is the dissemination of trade, business, technical or professional information or the stimulation of production or improved productivity:

- (1) Costs of organizing, setting up, and sponsoring the meetings, symposia, etc., including rental of meeting facilities, transportation, subsistence, and incidental costs;
- (2) Costs of attendance by contractor employees, including travel costs; and
- (3) Costs of attendance by individuals who are not employees of the contractor, provided:
 - (i) Such costs are not also reimbursed to the individual by the employing company or organization, and
 - (ii) The individual's attendance is essential to achieve the purpose of the conference, meeting, symposium, etc.

Guidelines for Meetings

Because of the large number of meetings sponsored by the I-95 Corridor Coalition, reimbursement for meals, transportation, rental of meeting facilities, and other incidental costs at every meeting would not be in the Coalition's best interest. The following cases are provided for additional clarification:

- Conferences, forums, workshops: The primary purpose of the meeting is to disseminate technical information in support of or to promote I-95 Corridor Coalition activities. These are one-time events where attendance of I-95 Corridor Coalition non-members is essential to achieve the purpose of the meeting. Reasonable costs for meals, transportation, rental of meeting facilities, and other incidental costs are allowable when an essential and appropriate part of the meeting.
- Regular meetings of committees, work groups, project teams: Costs for renting conference facilities, bringing in guest speakers or technical experts, both federal and non-federal, and preparing and disseminating literature would be considered allowable. Costs for travel, transportation, or subsistence expenses are not allowable.

A precise definition covering all cases would be difficult. The determination should be made on a case-by-case basis by the Executive Director and coordinated with the appropriate FHWA Office.

V. OTHER OPERATING POLICIES

PROJECT REPORTS AND DELIVERABLE DISSEMINATION

It is the Coalition's intent to disseminate products from Coalition projects in a manner that most efficiently provides the widest availability for their use by member agencies, other government agencies or interested private sector companies and the public. During development of each project's scope of work, a marketing plan will be written to detail the target audience and dissemination methods for information and reports throughout the life and at completion of the project. Post-completion follow-up will also be conducted to determine the project's effectiveness and the need for additional delivery of materials and information. Suggested methods of dissemination include:

The Coalition Connection

The Coalition's website, the Coalition Connection (www.i95coalition.org) is the primary library for all products or deliverables from Coalition projects. Coalition staff and the Coalition Connection administrator will determine the appropriateness, the format and location of all final material that becomes available for placement and reference on the Coalition Connection.

Distribution of Hard Copies

Member agencies may request hard copies of Coalition deliverables and project reports. For all projects, the Project Team will establish a distribution list and plan for any recommended hard copies of deliverables and reports. Private organizations or individuals may request and be provided with copies of specific Coalition deliverables if available.

E-mail Notification

Member agencies will be notified of the completion and availability of Coalition project and other reports. Notifications will be sent to the agency designee for the sponsoring program track along with the agency's Steering Committee representative.

V. OTHER OPERATING POLICIES

CRITERIA FOR JOINING OTHER ORGANIZATIONS

Requests for the Coalition to join another organization will be reviewed on a case-by-case basis. The staff will consider any request for its benefit, purpose and relevance. Staff will make a recommendation about joining to the Executive Director who will coordinate with leadership of the Steering Committee and/or Executive Board, as appropriate.

V. OTHER OPERATING POLICIES

CRITERIA FOR CO-SPONSORING EVENTS

The Coalition has been asked on several occasions to co-sponsor an event. Since each event is unique, any review is on a case-by-case basis. The staff first considers any request for its purpose, benefit, and relevance. If an expenditure of funds is required, the staff makes a recommendation to the Executive Director about how to fund the activity. If no expenditure is required, the Executive Director makes the decision or, as appropriate, recommends acceptance or rejection of the co-sponsorship to the appropriate Program Track Committee, FHWA, Core Team or Steering Committee as needed.

V. OTHER OPERATING POLICIES

SALE OF INFORMATION POLICY GUIDELINES

These policy guidelines represent the framework for the Coalition for the Sale of Information.

- Non-Exclusivity – The Coalition will not agree to any exclusive business relationships.
- Sale of Value Added Products – For value added products, the Coalition can sell the product through one or more third party distributors. Any revenue or the barter of services will be negotiated through the Coalition's support consultant as approved by the Executive Director and contracting agency in consultation with the Steering Committee.