

# DIVISION OF RESEARCH, INNOVATION AND SYSTEMS INFORMATION RESEARCH CLOSING GUIDELINES

## INTRODUCTION

The Task Manager (TM) as the Contract Manager (CM) is responsible for closing tasks and task activities through specific task closing procedures. The Division of Research, Innovation and Systems Information (DRISI) Research Task Closing Guidelines and documents apply to the four DRISI research task types identified in DRISI Research Task Closing Document.

To close a DRISI task activity the TM needs to follow and complete the following 12 Research Closing steps:

1. Complete the first page of the DRISI Research Closing Document according to the instructions below;
2. Sign the **Research Closing Document** and route to management for signature
3. Create and sign an **Equipment Disposition Form**, (see Section B-2)
4. Send and receive an Equipment Disposition Form from contractor, (if applicable)
5. Receive and approve the **final invoice** from contractor, (see Section B-3)
6. Create a **Research Results** according to the outline instructions, (Appendix 5-1), (see Section B-4)
7. Receive and approve the final report from contractor, (see Section B-5)
8. Add a **Technical Report Document and Disclaimer Page to the approved final report**, (see Section B-6)
9. E-mail the approved final report to the research stakeholders according to the DRISI Final Report Distribution List, (Appendix 4), (see Section B-7)
10. Create a close-out package by individually scanning the **blue** documents
11. Sending the close-out package in an e-mail titled "Close-out Package, Task ID # (xxxx)" to the OMS Close-out Administrator at HQ OMS Services/HQ/Caltrans/CAGov
12. Log task close-out information into the Research Project Management Database, (RPMD) Task Closing Tab, (see Section B-8)

## DRISI RESEARCH CLOSING DOCUMENT:

The majority of the research closure process is done through the completion of the research closing document and support documents. Only the first page of the closing document needs to be completed by the TM, then follow the conclusion instructions at the end of these guidelines.

The following instructions are provided to complete the first page of the research closing document:

## SECTION A. General Information

Please provide:

- The task ID number, from the RPMD task screen
- The task name, from the RPMD task screen
- The contract number(s), from the RPMD task contract screen (as applicable)
- The TPF number, from the RPMD task pooled fund screen (as applicable)
- The project ID number from the RPMD funding required/E-FIS screen

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### SECTION B. Closing Information

#### I. Task Type:

Please identify the type of task you are closing based upon the following descriptions;

Contract: A legal document between Caltrans and other entitie(s) that contains the resources, terms and conditions of an agreement to do work.

-- Complete task details 1-8 below.

Research Support: A research program expenditure that provides needed support to research task(s) and is unrelated to any research task's objective or outcome. The attributes of research support are found in the task's Scope of Work (SOW), i.e.:

- a) SOW does not address a specific Caltrans research problem
- b) SOW and expenditure is not a part of a project roadmap
- c) SOW is approved and conducted outside of research policies and procedures.

-- Complete task details 1-4, 8, and 9 below.

In-house: Research work that is conducted and managed within the Department. The unique attributes of In-house tasks are:

- a) Research work is conducted "in-house" by a Caltrans employee.
- b) Funding is not encumbered and must be spent within the awarded Fiscal Year.
- c) There is no Contract or Disposition of Equipment.

-- Complete task details 3-8 below.

Transportation Pooled Fund (TPF): A joint, federally funded project where California and other agencies, (usually states), are involved.

-- Complete task details 7, 8, and 10 below.

#### II. Task Details:

Please complete the task details based upon the above type of task;

1. Caltrans contract close-out process has been completed per Caltrans Contract Manager's Handbook Sections 3.4 or 4.5, (Appendix 1):

- See Section 3.4 of the Caltrans Contract Manager's Handbook for Contract Termination.
- See Section 4.5 of the Caltrans Contract Manager's Handbook for Closing out Service Contracts.

2. A Disposition of Equipment Form has been completed according to the Research Closing Guidelines:

- A. All CMs, are to keep an inventory record of specific property information purchased through their task's activity according to the following policies.
  - For acquisitions using State funds this information is recorded on the Department form "ADM 395 - Request For Property Survey" according to State Administrative Manual (SAM) sections 8650 and 8652.
  - For acquisitions using State Planning and Research (SPR) Federal funds the same form can be used to record the property information according to SPR Guidelines section 12.3.2 Equipment.

Note: See Appendix 2-1 for FHWA and SAM Requirements for Property Control.

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- B. CMs complete the Disposition of Equipment Form by filling in the appropriate boxes:
- If equipment is to be transferred or returned according to numbers 1, 2, or 3 send the Disposition of Equipment Form to contractor to initial, sign and return to the contract manager with the appropriate attachments.
  - If no equipment was purchased through your task please check number 4 box on the Disposition of Equipment Form and sign as the Contract Manager.
3. A final purchase order or invoice has been approved and sent to Accounting:  
The Office of Management Support (OMS) will verify the task's final purchase order or invoice has been paid by Accounts Payable. (Include a copy of the final purchase order or receiving record and invoice with the Task Closing Package.)
4. A Research Results Document has been created by the research task manager according to the Research Closing Guidelines:  
The research task manager needs to create a Research Results Document per the outline and example of Appendices 5-1, and 5-2.
5. A final report has been approved by the research task manager:  
Final drafts of a task's final report are reviewed by the TM, Customer, and Federal agency, (if federally funded) for comment. Comments must be satisfactorily addressed prior to TM approval of a final report.
6. A Technical Report Document & Disclaimer Page must be created according to the Research Closing Guidelines and included in the final report:  
The Technical Report Documentation Page, (Appendix 3-1),  
**Required cells to be completed before submittal:** 1, 4, 5, 7-9, 11-13, 16-20
- Cell 1, (final report number), is created by identifying a series of numbers that relate to the task activity. The number will begin with "CA" and then the last two digits of the fiscal year the final report is created. Then the task's record ID number in the DRISI Research Project Management Database.
- State      Fiscal Year      Record ID #  
CA 10-0967      =      CA 10-0967
- Cell 16, (abstract), contains a brief description of the task activity and its results.
- The Technical Report Documentation Page and Disclaimer Page needs to be included to the approved final report in this order:
- Page 1 – Technical Report Documentation Page, Appendix 3-1
  - Page 2 – Disclaimer Page, Appendix 3-2
  - Page 3 – Cover Page
7. An approved final report and Research Results Document have been sent to the Project's Stakeholders according to the Research Closing Guidelines:

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The TM needs to create a Research Results Document according to the outline and example provided on the DRISI Research Closing Procedures and Documents.

An email of the approved final report, and Research Results Document is sent to the project's stakeholders per the DRISI Final Report Distribution List, Appendix 4A.

8. The RPMD task closing tab has been completed according to the Research Closing Guidelines:

- Please fill the task expired date, final report number, date and outcome
- The task outcome: in a paragraph identify the results of the research
- Please leave the Task Close Date and Report No. Request Date blank.

9. The Problem and Outcome Statement in the Research Project Management Database, RPMD has been completed:

- The Problem Statement Description is located on the task's problem statement tab in the RPMD task screen. In a paragraph identify the original problem that created the need for the research.
- The Outcome Statement is located on the task's closing tab in the RPMD task screen. In a paragraph identify results of the research.

10. Follow Transportation Pooled Fund, (TPF), lead and non-lead agency closure responsibilities in the Caltrans Research Manual:

TPF partner agency task managers follow the partner agency responsibilities identified in the Caltrans Research Manual, Section 6.5. To the Research Closing Package, (see Conclusion), attach the close-out memo and de-obligation spreadsheet from the TPF lead state identifying that the project has been closed.

TPF lead agency task managers follow the lead agency responsibilities identified in the Caltrans Research Manual, Section 6.5. To the Research Closing Package, (see Conclusion), attach the close-out memo and de-obligation spreadsheet you sent to the TPF partner states identifying that the project has been closed.

If you are not able to complete the steps for your task type please explain in the box provided.

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### SECTION C. Closing Signatures

*Task Managers* please confirm all information is complete, correct, and sign as Task Manager. Assemble the Task Closeout Package with the documents highlighted in **blue** in the introduction of these guidelines and send to your supervisor and DRISI Office Chief/Liaison for review and signature. After signatures are acquired please complete the conclusion of the Research Closing Guidelines.

*Task Supervisor and Office Chief/Liaison*, as the quality assurance coordinator for the tasks under your supervision, please review documents to confirm:

- completeness and accuracy of all task information in the package,
- that the reports meet Caltrans' publications standards, and
- that the task closing tab is completed in the RPMD.

Please sign at the bottom of Section C and send back to the task manager.

### SECTION D. Financial Closing Information

The Office of Management Support will complete the Task Closeout Document by:

- Distributing Section B-6 report documents per Appendix 4, DRISI Final Report Distribution List.
- Completing section D tasks and secure the Office Chief's signature on the Research Closeout Document.
- Scanning the signed document into a .pdf copy and put it into an archive file on the server.
- Sending the signed Task Closeout Document back to the task manager.
- Inserting the task closing date into the task closing tab of the Research Project Management Database.

### CONCLUSION

In addition to completing the Research Closing Document, task managers need to:

A) Scan the following five closing documents into a Task Close-out Package:

1. A **Research Closing Document** that's' first page is completed and signed.
2. An **Approved Final Report** that contains a Technical Report Document as the first page and a Disclaimer Page as the third page, (behind the report title page).
3. A **Research Results Document** created according to Section B-5.
4. A completed and signed the **Equipment Disposition Form**.
5. An approved **final invoice** or TPF lead state **close-out memo and de-obligation spreadsheet/transfer request form**.

B) Complete the following tasks:

1. E-mail the Approved Final Report to the research project stakeholders according to the DRISI Final Report Distribution List, (Appendix 4)
2. Log task close-out information onto the Task Closing Tab in the Research Project Management Database, (RPMD)
3. Please send the five **blue** closeout documents of the Task Close-out Package in an e-mail titled "Close-out Package, Task ID # (xxxx)" to the OMS Close-out Administrator at HQ OMS Services/HQ/Caltrans/CAGov.