SB1 Workshop

PART 3

PROGRAM REPORTING REQUIREMENTS

PRESENTED BY APRIL NITSOS
CHIEF, OFFICE OF STATE PROGRAMS

November 2018
Project Progress Reports

- All ATP projects
- All SCCP/TCEP
- All LPP competitive
- LPP-Formula Projects are not subject to the Progress Report requirement
- Quarterly through June 2019 then semi-annual
- First report presented by Caltrans at October 2018 CTC meeting

Project Progress Reports (see attachments)

- General Project Information

<table>
<thead>
<tr>
<th>STATE OF CALIFORNIA &amp; CALIFORNIA TRANSPORTATION COMMISSION</th>
<th>SB 1 Funded Projects</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Period of Reporting</th>
<th>Begin Date</th>
<th>End Date</th>
<th>SB 1 Code</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>General Project Information Table</td>
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</table>

- Project Title
- Implementing Agency: PMME, PSAC
- County: Contra Costa, Santa Clara, Alameda, Marin, San Mateo, Solano, Sonoma, Yolo, Mendocino, Napa, Tehama
- County Route: FM Rd, FM Afrd, FM Afrd, FM Rd, FM Afrd, County Route, FM Rd, FM Afrd
- Project Contact: Email, Phone
Project Progress Reports (cont.)

• Approved Project Description
• Approved Project Scope
• Approved Project Benefits

<table>
<thead>
<tr>
<th>APPROVED PROJECT DESCRIPTION</th>
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<table>
<thead>
<tr>
<th>APPROVED PROJECT SCOPE</th>
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<table>
<thead>
<tr>
<th>APPROVED PROJECT BENEFITS</th>
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<tr>
<td>(include outputs and outcomes on next page)</td>
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</table>

Project Progress Reports (cont.)

• Project Baseline Agreement/Environmental Document

<table>
<thead>
<tr>
<th>PROJECT BASELINE AGREEMENT / ENVIRONMENTAL DOCUMENT TALLY</th>
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<tbody>
<tr>
<td>Baseline Agreement</td>
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11/27/2018
Project Progress Reports (cont.)

• Project Milestones

<table>
<thead>
<tr>
<th>Phase</th>
<th>Approved Completion Schedule</th>
<th>Planned Completion Date</th>
<th>% Complete Earned</th>
<th>% Complete Recovered</th>
<th>Actual Completion Date</th>
<th>Contract Award Date</th>
<th>Contract Award Amount</th>
<th>Allocation of Funds</th>
<th>Expenditure Completion</th>
<th>Final Delivery Report Status Date</th>
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<tbody>
<tr>
<td>PWAD</td>
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Project Progress Reports (cont.)

• Project Funding

<table>
<thead>
<tr>
<th>Phase</th>
<th>Approved Project Funding</th>
<th>S &amp; T Program Funding</th>
<th>Other Funding (State)</th>
<th>Other Funding (Federal)</th>
<th>Other Funding (Local)</th>
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<td>PWAD</td>
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</table>
Project Progress Reports (cont.)

- Project Expenditures

<table>
<thead>
<tr>
<th>Phase</th>
<th>SD-1 Program Funding Expenditure</th>
<th>Other Expenditures (F&amp;A)</th>
<th>Other Expenditures (Fixed)</th>
<th>Other Expenditures (G&amp;A)</th>
<th>Total Expenditure</th>
<th>Planned Expenditure</th>
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</thead>
<tbody>
<tr>
<td></td>
<td>SHOP</td>
<td>LFP-Comp</td>
<td>LFP-Farm</td>
<td>SCOOP</td>
<td>TCED</td>
<td>AHP</td>
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<tr>
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Project Progress Reports (cont.)

- Project Outputs

<table>
<thead>
<tr>
<th>Output/Outcome</th>
<th>Unit</th>
<th>Output/Outcome</th>
<th>Unit</th>
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<tbody>
<tr>
<td>Bicycle lane rehabilitation</td>
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</table>
Project Progress Reports (cont.)

- Summary of Project Status

<table>
<thead>
<tr>
<th>SUMMARY OF PROJECT STATUS</th>
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<tbody>
<tr>
<td>(Please describe the activities and progress made toward implementation of the project. Expected accomplishments that were set for the period. Are there any changes to the project cost, schedule, scope, and/or expended benefits? If yes, provide a summary describing the reason for the change AND attach a new Project Programming Reconciliation Form (PFR) form with the changes highlighted and describe the corrective action plan, if necessary. In include any cost to the implementation of the project as programmed.)</td>
</tr>
</tbody>
</table>

- Corrective Action Plan
- Prepared by:
ATP Project Progress Report Review

Same information as LPP/SCCP/TCEP Project Process Report except:

1. State only funded, federally funded or a combination of the two
2. Scope change information
3. E-76 approval date (federally or partial federally funded projects)
4. Projects with non-infrastructure components include a CON-NI phase
5. Contract Award Deadline
6. A section for NI progress

Annual Reports

CTC will provide an annual report to the Legislature of its activities relative to the administration of SB1

- Discussion of any significant issues
- May recommend legislative proposals for program improvement
Completion Reports

✓ All projects
✓ Within six months of construction contract acceptance or the project becoming operable (open to the public), whichever comes sooner, the Department shall provide a Completion Report to the Commission
  • scope of the completed project
  • estimated final cost
  • estimated duration
  • project benefits as compared to those included in the executed project agreements
    ▪ methodologies and assumptions used to evaluate how the project benefits were evaluated as compared to the methodologies and assumptions used in the executed project agreements
✓ Delays in reporting are not acceptable due to plant establishment or ongoing environmental mitigation monitoring
Final Delivery Reports

- All projects
- Within 180 days of conclusion of all remaining project activities
  - Final project expenditures
  - Changes that occurred after submittal of the Completion Report
    - Plant establishment
    - Extended environmental mitigation
    - Final cost
  - Updated evaluation of the benefits/outcomes

Audits of Project Expenditures and Outcomes

CTC expects audits conducted on representative sample of projects to:

- Determine whether project costs incurred and reimbursed comply with the project agreements
- Determine whether project deliverables and outcomes are reasonable in comparison with project cost, schedule, and benefits described in the project agreements

Additional audits may be requested by CTC during the implementation phases of the project

Inspector General will ensure that funds are spent efficiently, effectively, economically and in compliance with applicable state and federal requirements
Consequences of Non-Compliance

Implementing Agencies that do not meet the accountability requirements may be placed on a watch list and:

- Caltrans will recommend appropriate actions to the CTC including:
  - Written warning to the Implementing Agency identifying deficiencies, necessary remedies, and deadlines for corrections
  - Implementing Agencies appearance before the Commission to explain how they will resolve non-compliant issues
  - For most egregious situations, while in non-compliance, an Implementing Agency may:
    - Be deemed ineligible for future allocations or programming actions
    - Not be fully reimbursed on invoices
    - Other as recommended by Caltrans

For more information, please contact your District Local Assistance Engineer.

District 1 – Suzi Theiss, (707) 445-6399
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HeidiBorders@dot.ca.gov
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District 8 – David Lee, (909) 806-4756
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District 9 – Forrest Bicket, (760) 872-0681
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District 10 – Parminder Singh, (209) 948-3689
Parminder.Singh@dot.ca.gov
District 11 – Bing Luu, (619) 220-5311
Bing.Luu@dot.ca.gov
District 12 – Tifini Tran, (707) 445-6399
Tifini.Tran@dot.ca.gov

Visit the Caltrans Local Assistance SB1 Website at
http://www.dot.ca.gov/hq/LocalPrograms/SB1/