



# SB1 Workshop

PART 3

PROGRAM REPORTING REQUIREMENTS

PRESENTED BY APRIL NITSOS  
CHIEF, OFFICE OF STATE PROGRAMS

November 2018



CALTRANS DIVISION OF  
LOCAL ASSISTANCE



# PROGRAM REPORTING




CALTRANS DIVISION OF  
LOCAL ASSISTANCE




WORK IN PROGRESS

## 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



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## Project Progress Reports (see attachments)

- General Project Information

STATE OF CALIFORNIA CALIFORNIA TRANSPORTATION COMMISSION				<b>SB 1 Funded Projects</b>			
PROJECT PROGRESS REPORT – SB1 ACCOUNTABILITY AND TRANSPARENCY				Please send completed Progress Report excel file to the SB1 Progress Reports mailbox at: sb1.progress.reports@dot.ca.gov			
(Rev. date 8/14/2018)							
California Transportation Commission (Commission) SB1 Accountability and Transparency Guidelines Resolution GSIB-G-0708-01. As required by the Guidelines and the project baseline agreement, the implementing agency must submit regular and timely reports on the activities and progress made toward implementation of the project, including but not limited to, the current cost, schedule, scope, and expected benefits as compared to the cost, schedule, scope, and expected benefits approved under the baseline agreement.							
GENERAL PROJECT INFORMATION							
Period of Reporting:		Begin Date: (mm/dd/yyyy)		End Date: (mm/dd/yyyy)			
Applicant / Nominating Agency:				LoCode: 0000			
Applicant / Nominating Agency:				LoCode: 0000			
Applicant / Nominating Agency:				LoCode: 0000			
Project Contact:		Email:		Phone:			
Project Title:							
Implementing Agency:		PA&E					
		PS&E					
		R/W					
		CON					
District:		EA:		PPNO:		EFIS:	
County:		Route:		County:		Route:	
PM Bk:		PM Ahd:		PM Bk:		PM Ahd:	



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## Project Progress Reports (cont.)

- Approved Project Description
- Approved Project Scope
- Approved Project Benefits

<b>APPROVED PROJECT DESCRIPTION</b>
<b>APPROVED PROJECT SCOPE</b>
<b>APPROVED PROJECT BENEFITS (include Outputs and Outcomes on next page)</b>

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## Project Progress Reports (cont.)

- Project Baseline Agreement/Environmental Document

PROJECT BASELINE AGREEMENT / ENVIRONMENTAL DOCUMENT (mm/dd/yyyy)						
<b>Baseline Agreement</b>	Environmental Document: (select from dropdown)			Planned Completion Date	% Complete	Actual Completion Date
<input type="checkbox"/> Not Required	CEQA:	NEPA:	NEPA:			
Approval Date:		NEPA:	NEPA:			

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## Project Progress Reports (cont.)

- Project Milestones

PROJECT MILESTONES (mm/dd/yyyy)											
Phase	Approved Completion Schedule	Planned Completion Date	% Complete (Last Period)	% Complete (This Period)	Actual Completion Date	Contract Award Date	Approved Extensions (in months)			Completion Report Submittal Date	Final Delivery Report Submittal Date
							Contract Award	Allocation of Funds	Expenditure Completion		
PA&ED											
PS&E											
R/W											
CON											

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## Project Progress Reports (cont.)

- Project Funding

PROJECT FUNDING (\$1,000s)											
Phase	Approved Project Funding	SB-1 Program Funding						Other Funding (State)	Other Funding (Federal)	Other Funding (Local)	
		SHOPP	LPP-Comp	LPP-Form	SCCP	TCEP	ATP				
PA&ED											
PS&E											
R/W											
CON											
TOTAL	0	0	0	0	0	0	0	0	0	0	0

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## Project Progress Reports (cont.)

- Project Expenditures

PROJECT EXPENDITURES (\$1,000s)											
Phase	SB-1 Program Funding Expenditure						Other Expenditure (State)	Other Expenditure (Federal)	Other Expenditure (Local)	Total Expenditure (all funds)	Planned Expenditure @ Completion
	SHOPP	LPP-Comp	LPP-Form	SCCP	TCEP	ATP					
PA&ED										0	
PS&E										0	
R/W										0	
CON										0	
<b>TOTAL</b>	0	0	0	0	0	0	0	0	0	0	0

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## Project Progress Reports (cont.)

- Project Outputs

PROJECT OUTPUTS / OUTCOMES			
Outputs/Outcomes	Unit	Outputs/Outcomes	Unit
Bicycle lane/ sidewalk feet			

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## Project Progress Reports (cont.)

- Summary of Project Status

SUMMARY OF PROJECT STATUS	
Briefly describe the activities and progress made toward implementation of the project:	
Expected accomplishments/ milestone next period:	
Is there a change in the project cost, schedule, scope, and/or expected benefits? If so, provide a summary describing the reason for the change AND attach a new Project Programming Request (PPR) form with the changes highlighted and describe below the corrective action plan, if necessary, to manage any risk to the implementation of the project as programmed.	

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## Project Progress Reports (cont.)

- Corrective Action Plan
- Prepared by:

CORRECTIVE ACTION PLAN	
<i>*If no change from the last Progress Report, indicate "No Change".</i>	
*Cost:	
*Schedule:	
*Scope:	
*Expected Benefits:	
Does the Corrective Action Plan require a time extension? If so, when do you anticipate submitting the request? <input type="text"/> <input type="text"/> (mm/SS/yyyy)	
Does the Corrective Action Plan require a Project Amendment? If so, when do you anticipate submitting the request? <input type="text"/> <input type="text"/> (mm/SS/yyyy)	
I certify that the information contained in the report is correct and consistent with the CTC SB-1 Accountability Guidelines and the project application or approved Baseline Agreement for the project.	
PREPARED BY:	DATE:
PHONE:	
Please send completed Progress Report excel file to the SB1 Progress Reports mailbox at: sb1.progress.reports@dot.ca.gov	

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## ATP Project Progress Report Review

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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

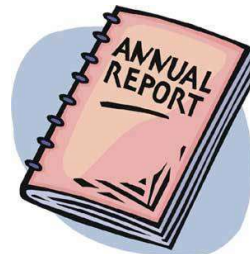
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## Annual Reports

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



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# FOLLOW-UP ACCOUNTABILITY

## Completion Reports

*☑ DONE!*

- ✓ 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

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## 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



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## Audits of Project Expenditures and Outcomes

CTC expects audits conducted on representative sample of projects to:

- Determine whether projects 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

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## 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



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

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

