

Project Delivery Report

Status of Active Projects for FY 2010-11

Project Purpose & Need:

The Division of Local Assistance (DLA), Project Delivery Report, will provide important communication and coordination channels between Caltrans Headquarters, District staff, as well as local agencies and their regional planning agencies, by providing continuous project updates for project delivery milestone status.

Definition of Active Projects:

Source: Local Programs Accounting (E-FIS system)

All allocated and/or obligated projects through payment of final invoice

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December 2010

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Objectives & Benefits:

- Provide monthly/quarterly status reports posted on DLA website (external-internet)
- Combines reporting tools & accessibility for data from Accounting, Federal (FMIS) and LP2000
- Allows regional agencies to monitor the timely progress of projects within their jurisdiction; regions can use report data to ensure agencies meet deadlines and provide required deliverables
- Provide project delivery status and support to local agencies to ensure delivery of approximately 1,200 projects, obligating over \$1 billion in federal funds that are started each year
- Assures timely and cost-effective expenditure of federal and State transportation funds authorized for use by local government entities through funding programs administered by DLA

December 2010

DRAFT – Project Delivery Report - Status of Active Projects

FLAG	Description	PE Authorized - Field Review Form NOT submitted	LEGEND:	
FLAG A =	Reference	LAPM – Chapter 7 - Field Review; Data Source – LP2000/Discoverer & FMIS	<div style="text-align: center;"> ok On Schedule ☑ Requires Action ✘ Non-Compliant </div>	
	Corrective Action	Condition – LP2000 Field Review Date – VS – FMIS PE Authorization Date; Flag = date blank by allotted time period		
	Non-Compliance Consequence	Initiate Action for Non-Compliance		
FLAG B =	Reference	Program Supplement Agreement (PSA) sent to Local Agency but NOT received back	<div style="text-align: center;"> Yellow = Red = PSA not received from Local Agency </div>	
	Corrective Action	LAPM – Chapter 4 - Agreements; Data Source – LP2000/Discoverer Condition – LP2000 Sent to LA Date (filed) – VS – Receive from LA Date (blank)		
	Non-Compliance Consequence	Initiate Action for Non-Compliance		
FLAG C =	Reference	No Award Information for 6 months after Construction Authorization	<div style="text-align: center;"> Yellow = Red = No Award Information > 180 days after Constr Author </div>	
	Corrective Action	LAPM – Chapter 15 - Advertise and Award Project; Data Source – LP2000/Discoverer & FMIS Condition – LP2000 Award Date – VS – FMIS Construction Authorization Date; Flag = date blank by allotted time period		
	Non-Compliance Consequence	Initiate Action for Non-Compliance		
FLAG D =	Reference	Report of Expenditures (ROE) > 6 months after project completion	<div style="text-align: center;"> Yellow = Red = ROE > 180 days after project completion </div>	
	Corrective Action	LAPM – Chapter 17 - Project Completion; Data Source – LP2000/Discoverer Action required to become compliant... Example - Document Submittal		
	Non-Compliance Consequence	Initiate Action for Non-Compliance		
FLAG E =	Reference	Inactive Projects - NO Invoice for 12 months or more	<div style="text-align: center;"> Yellow = Project within 6-months of being inactive Red = Project Currently Inactive </div>	
	Corrective Action	Federal Highway Administration (FHWA) Regulation 23 CFR Part 630.106; LAPM – Chapter 5 - Accounting/Invoices; http://www.dot.ca.gov/hq/LocalPrograms/InactiveProjects.htm		
	Non-Compliance Consequence	Action required to become compliant... Example - Document Submittal Initiate Action for Non-Compliance		
FLAG F =	Reference	Preliminary Engineering Phase > 8-10 Years	<div style="text-align: center;"> Yellow = Project PE Phase over 8 years Red = Project PE Phase over 10 years </div>	
	Corrective Action	Federal Highway Administration (FHWA) Regulation 23 CFR Part 630.112; http://www.dot.ca.gov/hq/LocalPrograms/pe_over_10yrs.html		
	Non-Compliance Consequence	Action required to become compliant... Example - Document Submittal Initiate Action for Non-Compliance		
FLAG G =	Reference	Cooperative Work Agreement (CWA) - extension to budget authority & budget lapse consideration	<div style="text-align: center;"> Yellow = Red = </div>	
	Corrective Action	Government Code Section 16304.3; http://www.dot.ca.gov/hq/LocalPrograms/CWA/ProjLapsFund.htm		
	Non-Compliance Consequence	Action required to become compliant... Initiate Action for Non-Compliance		
FLAG H =	Reference	State Transportation Improvement Program Timely Use of Funds (STIP TUF)	<div style="text-align: center;"> Yellow = Red = </div>	
	Corrective Action	LAPG – Chapter 23 - Local Agency State Transportation Improvement Program (STIP) Projects		
	Non-Compliance Consequence	Action required to become compliant... Initiate Action for Non-Compliance		

Division of Local Assistance
FY2010-11 Project Delivery Report - Workplan

--- DRAFT ---

NOTE: target dates are tentative & subject to change

	#	Task	Responsibility	Target Date	Completion
PLANNING	1	Develop - DRAFT - Report Template	Keri -- develop report template for management review and approval	9/8/2010	Yes
	2	Presentation to DLA Office Chiefs - purpose of Project Delivery Report & future benefits	Keri/Barry -- brief presentation to DLA management - initial review and approval	10/5/2010	Yes
	3	Review Preliminary Task List - Evaluate Development & Migration Strategies	Keri/Barry -- review & discuss preliminary task list (below) & evaluate development & migration strategies	10/6/2010	Yes
	4	Initial DLA Management Approval - New Report layout & development strategies	DLA Management -- review and approval	10/12/2010	Yes
	5	DLA Communication & Coordination to Implement New Project Delivery Report	Keri/Barry -- communication & coordination for Project Report implementation	12/7/2010 & 12/9/2010	LA Council & CCSFCC
	6	DLA Internet (external) website posting - Report communication with Local Agencies	Keri -- discuss options for posting Project Delivery Report to DLA Internet (external) website - for management review and approval	TBD	
DATA/ACCOUNTING	7	Review & Discuss LPAMS/E-FIS Data Conversion; Local Assistance Payment System converted into NEW E-FIS Financial Infrastructure (ex - location of appropriate financial data fields)	Keri/Javier/Chris/LPA & IT Staff -- review, discuss & develop financial data set for management review and approval	10/28/2010	In Progress
	8	Develop Data Set of Active Projects - LP2000/E-FIS - Status Codes 4A and 6A (LPA) 4,801 as of 05/31/2010; DEFINITIONS - 4A = projects that do not have first invoice & 6A = projects that have progress invoices	Keri/Javier/LPA staff -- review & develop data set of active projects from LP2000/E-FIS for management review and approval	11/4-22/2010	In Progress
MILESTONES	9	Phase 1 - Develop Field Review Data (Flag); DEFINITION - LP2000 Field Review Date -- VS -- FMIS PE Authorization Date; Flag = date blank by allotted time period	Keri/Javier -- review & develop data set from LP2000 for management review and approval	12/xx/2010; revised 11/23/2010	FLAG A - In Progress
	10	Phase 1 - Develop PSA Data (Flag); DEFINITION - Program Supplement Agreement - LP2000 Sent to LA Date (filled) -- VS -- Receive from LA Date (blank)	Keri/Ray/Richard -- review & develop data set from LP2000 for management review and approval	11/30/2010; revised 11/23/2010	FLAG B
	11	Phase 1 - Develop Award Data (Flag); DEFINITION - LP2000 Award Date -- VS -- FMIS Construction Authorization Date; Flag = date blank by allotted time period	Keri/Javier -- review & develop data set from LP2000 for management review and approval	12/xx/2010; revised 11/23/2010	FLAG C - In Progress
	12	Phase 1 - Develop ROE Data (Flag); DEFINITION - Report of Expenditures > 180 days leading to final vouchering	Keri/Javier/LPA staff -- review & develop data set from LP2000/E-FIS for management review and approval	01/xx/2011	FLAG D
PHASE 2	13	Phase 2 - Develop Inactive/No Invoice Data (Flag); DEFINITIONS - Projects should be final vouchered 18 months from the date of final payment - or - 6 months from the resolution of a typical condition (obligations)	Keri/Chris -- review & develop data set from FMIS, LP2000/E-FIS for management review and approval	11/22/2010	FLAG E
	14	Phase 2 - Develop PE>8-10 YR Data (Flag); DEFINITION - Preliminary Engineering Phase over 8 years	Keri/Chris -- review & develop data set for management review and approval	11/23/2010	FLAG F
PHASE 3	15	Phase 3 - Develop CWA Data (Flag); DEFINITION - Cooperative Work Agreement - extension to budget authority & budget lapse consideration (possible additional variables)	Keri/Peggy/LPA staff -- review & develop data set from LP2000/E-FIS for management review and approval	12/xx/2010	FLAG G - In Progress
	16	Phase 3 - Develop STIP TUF Data (Flag); DEFINITION - State Transportation Improvement Program - Timely Use of Funds (possible additional variables)	Keri/Brian/LPA staff -- review & develop data set from LP2000/E-FIS for management review and approval	02/xx/2011	FLAG H
		Meet & Discuss various requests from Audits - Louisa Ruvalcaba - additional flags?	Barry/Keri -- meet & discuss various requests from Audits		