

# 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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# **Project Delivery Report**

## **Status of Active Projects for FY 2010-11**

### **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



# DRAFT – Project Delivery Report - Status of Active Projects

FLAG A =	Description	PE Authorized - Field Review Form <b>NOT</b> submitted	<b>LEGEND:</b> ok On Schedule <input checked="" type="checkbox"/> Requires Action * Non-Compliant			
	Reference	LAPM – Chapter 7 - Field Review; Data Source – LP2000/Discoverer & FMIS				
	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 =	Description	Program Supplement Agreement (PSA) sent to Local Agency but <b>NOT</b> received back	Yellow =			
	Reference	LAPM – Chapter 4 - Agreements; Data Source – LP2000/Discoverer	Red =	PSA not received from Local Agency		
	Corrective Action	Condition – LP2000 Sent to LA Date (filed) – VS – Receive from LA Date (blank)				
	Non-Compliance Consequence	Initiate Action for Non-Compliance				
FLAG C =	Description	No Award Information for 6 months after Construction Authorization	Yellow =			
	Reference	LAPM – Chapter 15 - Advertise and Award Project; Data Source – LP2000/Discoverer & FMIS	Red =	No Award Information > 180 days after Constr Author		
	Corrective Action	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 =	Description	Report of Expenditures (ROE) > 6 months after project completion	Yellow =			
	Reference	LAPM – Chapter 17 - Project Completion; Data Source – LP2000/Discoverer	Red =	ROE > 180 days after project completion		
	Corrective Action	Action required to become compliant... Example - Document Submittal				
	Non-Compliance Consequence	Initiate Action for Non-Compliance				
FLAG E =	Description	Inactive Projects - <b>NO</b> Invoice for 12 months or more	Yellow =	Project within 6-months of being inactive		
	Reference	Federal Highway Administration (FHWA) Regulation 23 CFR Part 630.106; LAPM – Chapter 5 - Accounting/Invoices; <a href="http://www.dot.ca.gov/hq/LocalPrograms/inactiveprojects.htm">http://www.dot.ca.gov/hq/LocalPrograms/inactiveprojects.htm</a>	Red =	Project Currently Inactive		
	Corrective Action	Action required to become compliant... Example - Document Submittal				
	Non-Compliance Consequence	Initiate Action for Non-Compliance				
FLAG F =	Description	Preliminary Engineering Phase > 8-10 Years	Yellow =	Project PE Phase over 8 years		
	Reference	Federal Highway Administration (FHWA) Regulation 23 CFR Part 630.112; <a href="http://www.dot.ca.gov/hq/LocalPrograms/pe_over_10yrs.html">http://www.dot.ca.gov/hq/LocalPrograms/pe_over_10yrs.html</a>	Red =	Project PE Phase over 10 years		
	Corrective Action	Action required to become compliant... Example - Document Submittal				
	Non-Compliance Consequence	Initiate Action for Non-Compliance				
FLAG G =	Description	Cooperative Work Agreement (CWA) - extension to budget authority & budget lapse consideration	Yellow =			
	Reference	Government Code Section 16304.3; <a href="http://www.dot.ca.gov/hq/LocalPrograms/CWA/ProjLapsFund.htm">http://www.dot.ca.gov/hq/LocalPrograms/CWA/ProjLapsFund.htm</a>	Red =			
	Corrective Action	Action required to become compliant...				
	Non-Compliance Consequence	Initiate Action for Non-Compliance				
FLAG H =	Description	State Transportation Improvement Program Timely Use of Funds (STIP TUF)	Yellow =			
	Reference	LAPG – Chapter 23 - Local Agency State Transportation Improvement Program (STIP) Projects	Red =			
	Corrective Action	Action required to become compliant...				
	Non-Compliance Consequence	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
<b>PLANNING</b>	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	
<b>DATA/ACCOUNTING</b>	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
<b>MILESTONES</b>	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
<b>PHASE 2</b>	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
<b>PHASE 3</b>	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		