

PTMISEA Semi-Annual Progress Report Instructions

The following is to serve as a guide in completing the California Department of Transportation Public Transportation Modernization Improvement and Service Enhancement Account (PTMISEA) Semi-Annual Progress Report. The Semi-Annual Progress Reports are due twice a year – February 15th for activity from July 1st through December 31st, and August 15th for activity January 1st through June 30th.

Please note there are two forms to be submitted: The “Semi-Annual Report” and the “Semi-Annual Itemized Expenditure Table.” Both forms can be found on the DMT Website: <http://www.dot.ca.gov/hq/MassTrans/Proposition-1B.html>

1. PTMISEA Semi-Annual Progress Report

Information Table

The five boxes at the top of the page should be filled in with the appropriate project information. The project description should match the information that was provided in Table 4 of the Allocation Request. Any changes to the approved project scope should be clarified in Section 7, in the first row of the amendment table.

Section 1 – Briefly Summarize the Status of the Project

Sub-section A – A detailed update on the progress of the project should be provided in this section. Information provided on previously submitted reports should continue to be included with most recent activity from the last six months added to the bottom. This will provide a detailed log of the project’s progression that can be tracked over time. If the report does not show any changes or new activities from the previous report, please indicate why in Section 2. PTMISEA staff may request additional information on projects that do not appear to be progressing. If this is the second report showing no progress, the agency will be placed on the high-risk list.

Sub-section B – Specific information on vehicle(s) or equipment that have been ordered or received should be listed here. For vehicles, the number and type of vehicles ordered, status of the order, number of vehicles received, and number of vehicles in service should be included. For equipment and other items, the status of all purchases should be included.

Section 2 – State What Still Needs to be Completed Before Project Closeout

Provide an update on any items that need to be completed before the project is 100% complete and ready to submit a Final Report to close out the project. Any issues, problems, or delays the project is experiencing should be listed in this section. If the project is experiencing delays that will postpone the completion of the project, the schedule should be revised in the amendment table in Section 7. All delays to the completion of the project need a justification clearly explaining why the delay is beyond the control of the agency.

Section 3 – Identify Any Contracts Initiated That Will Expend PTMISEA Funds

For every contract that encumbers PTMISEA funds, include the following information: contract number, vendor name, start and end date of contract, and dollar amount to be expended. If there are several contracts for a project, the agency may generate and insert a table citing each individual contract and its respective information in this section to make reporting easier.

Sub-section 1a – If there have not been any contracts initiated for the project, please provide detailed information on the contract status including a narrative if necessary and any estimated dates that are available.

Section 4 – Interest Earned to Date on PTMISEA Funds

Amount Awarded – Enter the total amount of PTMISEA funds allocated to the project to date, including funds transferred from another PTMISEA project. (Do not include PTMISEA interest here.)

Interest Rate – Enter the interest rate associated with the bank account that holds PTMISEA funds for the project.

Interest Earned – Enter the cumulative amount of interest earned on the PTMISEA funds received for this individual project to date; report the total interest earned ignoring whether or not it is to be expended on this project. If this project has received PTMISEA interest from another PTMISEA project, that amount is added to the total interest. If PTMISEA interest has been transferred from this project to another PTMISEA project, it should be subtracted from the total interest.

Section 5 – Completion Status of the Milestones for the Project

Enter the percentage complete for each phase that pertains to the project.

Section 6 – Completion Status

Overall Project Percent Complete – Enter the overall percentage complete for the project.

Date (Anticipated Completion Date) – Enter the anticipated date the project will be 100% complete and ready to submit a Final Report. If there are no changes to the project schedule, this date should match the End Closeout Phase date that is listed in the Allocation Request. If changes have been made to the project schedule, this date should match the End Closeout Phase date listed in the revised column of the Amendment Table.

Section 7 – Amendment Table

This table functions exactly as the table found on the Corrective Action Plan form. As most project amendments are reported during the Semi-Annual Reporting period, this table is included to allow agencies to amend the project scope, schedule, or cost as needed. If there are no changes to the approved project, this table does not need to be completed.

When citing a change to the scope, schedule, or cost of the project, the Original Column should display/match the information as shown in the approved Allocation Request. All changes are then recorded in the corresponding section under the Revised Column. Any information that is not being changed is excluded from this table. For example, if the funding amounts remain the same and only the schedule is being changed, the agency need only complete the schedule area with the new information.

Please note, if any changes are made to the project funding, an updated “Total Project Cost and Funding Plan” sheet needs to be submitted as well. This provides an overall update to the funding information to be utilized for reporting purposes. The Total Project Cost and Funding Plan sheet can be found on the second tab of the Allocation Request document.

Once a project has been amended, any subsequent changes that need to be made should use the information from the Revised Column of the most recent Amendment Table to update the Original Column of the new Amendment Table. Any new changes to the project will then be listed in the Revised Column. With each new Semi-Annual Report that amends the project, the Original Column of the next Amendment Table should match the information from the Revised Column of the previous Amendment Table.

Any interest earned by the project not to be expended on this project, are not listed on this table.

All changes to a project need to have a clear reason listed in the “Justification for Change” box.

2. PTMISEA Itemized Expenditure Table

The Itemized Expenditure Table should list all expenditures (from all fund sources) associated with the project.

Project Funding Amounts – Boxes D2 through H2

The total amount of each fund type (PTMISEA, PTMISEA Interest (if being used for the project), Federal, State, and Local) allocated to the project should be listed on the top of the sheet in the Project Allocation row (row 2). Box D2 for PTMISEA Funds should list the total amount of PTMISEA funds that have been received for the project to date, including any funds transferred from another PTMISEA project. This should match the amount shown in section 4 above.

If PTMISEA Interest is being used to complete the project, it should be listed separately in the PTMISEA Interest column (box E2). In addition, all interest transferred to this project from another PTMISEA project, it should be included in this box. The PTMISEA Interest funds are always listed separately from regular PTMISEA funds. If PTMISEA Interest funds are not to be utilized in completing the project, they are not listed in the Itemized Expenditure Table.

All amounts in boxes D2 through H2 (PTMISEA through Local) should be consistent with the numbers on the “Total Project Cost and Funding Plan” that was included with the original allocation request. If necessary, you may submit a revised “Total Project Cost and Funding Plan.”

Project Expenditures – Rows 5 - 23

Every expenditure should be listed and should include the date, phase (Design, Right of Way, Construction, or Vehicle/Equipment Purchase), category (further detail based on phase), and the appropriate amount of funds spent from each fund source. (Be sure to list any PTMISEA Interest expenditures in the PTMISEA Interest column E.)

The grayed out cells contain a formula for calculations and are not to be altered or changed. As expenditure amounts for each fund is entered, the total expenditures for each fund source, the total expenditures overall, and the balance will be automatically calculated.

PTMISEA funds should be expended on the phase(s) consistent with the breakdown on the “Total Project Cost and Funding Plan” on file. If funds have been redistributed between phases, please submit an updated funding plan to show revised distribution of funds.

If you have any questions on how to complete either of these forms, please do not hesitate to contact your respective PTMISEA Liaison.