ATP Reporting Q & A

As of 8/9/2024

Q: My project was adopted into the ATP Program by the Commission. What reports are due to stay compliant with reporting requirements?

A: Progress reports are due to Caltrans quarterly. A Completion Report is due to Caltrans within six months of construction contract acceptance or the project becoming operable (open to the public), whichever comes sooner. Lastly, a Final Delivery Report is due within 180 days of the conclusion of all remaining project activities beyond the acceptance of the construction contract. All reports are due to the CalSMART online reporting tool. Progress Reports can only be generated and submitted during open reporting periods — during the first half of each January, April, July, and October. Completion Reports and Final Delivery Reports are available at any time. Please reach out to ATPFinalReporting@dot.ca.gov if you are unable to access the appropriate reports when completing a project.

Q: What happens if I am non-compliant with the reporting requirements?

A: The Department will recommend, and the Commission will determine appropriate actions for non-compliant agencies. These actions may include (1) The Department will provide a written warning to the Implementing Agency identifying deficiencies, necessary remedies, and timeline for corrections, (2) Implementing Agency may be requested to appear before the Commission to explain how and when the non-compliant issues will be resolved or (3) the Implementing Agency will be placed on a Watch List. For the most egregious situations, the agency may be subject to further actions, including (1) deemed ineligible for future allocations or programming actions, at the discretion of the Commission, (2) reduced reimbursements on all invoices until the noncompliance issues are corrected. This penalty shall remain in effect until the ATP program cycle after the noncompliance has been resolved.

Q: My project has not begun and is not scheduled to begin for another year. Do I have to submit a progress report?

A: Yes, all projects must report on progress regardless of what fiscal year (FY) it is programmed in or when the project is scheduled to begin. In such cases, please report your planned milestone timeline as well as funding planned at completion through CalSMART.

Q: My project is a Local Streets and Roads (LSR), do I need to submit an ATP Project Progress report?

A: No, you can find the LSR reporting requirements on the California Transportation Commission (CTC) LSR webpage.

Q: Can a report be printed prior to submittal?

A: Yes, there is a print button located on the bottom right corner of the report. You may print the entire report if needed.

Milestones

Q: What is the Ready to List milestone?

A: The Ready to List Milestone represents the date that the project completed all pre-construction activities and submitted a Construction or Construction-Non-Infrastructure Allocation Request. This reported milestone must be before the actual Allocation date for the CON and/or CON-NI phase.

Q: What is the difference between the End Construction Date and End Project Date Milestones?

A: End Construction Date: When all infrastructure or non-infrastructure activities are complete. For Combination Projects, BOTH infrastructure and non-infrastructure must be complete.

End Project Date: When all invoicing and reimbursements are completed, and Post-Construction Counts are conducted.

Non-Infrastructure and Combination Projects

Q: How are Non-Infrastructure and Combination Projects reported in CalSMART?

A: All Non-Infrastructure and Infrastructure reporting is combined in the 'CON' section of the Funding and Expenditures tab and also within the Milestones tab.

Q: What does that mean for agencies reporting on Non-Infrastructure or Combination project expenditures and schedules?

A: CalSMART currently only provides a single set of fields for funding and milestones, which may be confusing for Non-Infrastructure or Combination projects. For Non-Infrastructure projects or components, the Begin Construction and End Construction milestones represent the first and last educational activities or events, respectively. Combination projects must report the Ready to List, and Begin Construction milestones for whichever of their components (Infrastructure or Non-Infrastructure) plans to hit or actually hits that milestone first. End Construction milestones must be reported as the planned or actual date that BOTH components have reached that milestone.

On the Funding tab, Non-Infrastructure Allocations and Expenditures are combined with any Infrastructure Allocations and Expenditures on the Construction Capital line. Non-Infrastructure Projects must report their entire funding on this line, while Combination projects must cumulatively show

Planned Expenditure at Completion for the "Construction" phase of both Infrastructure and Non-Infrastructure on this line.

Due to this combining of CalSMART fields for Combination Projects, agencies must provide their distinct milestones and funding for the two components written out in the Schedule and Cost sections of the Corrective Action Plan.

Funding & Expenditures

Q: If ATP only funds the Construction portion of work, is the local agency required to report on pre-Construction expenditures/funding?

A: Yes, local agencies are required to report on progress of the entire project. This means schedule and costs for all phases are required even if not funded via ATP dollars.

Q: Is expenditure reporting only for the Quarter being reported or is it cumulative?

A: Expenditure reporting is cumulative and should cover the entire project. Hence, Planned Expenditure at Completion for each phase is expected to be accurate to the best of the agency's knowledge at the time of every Progress Report.

Q: What is the Other Expenditures line on the Funding and Expenditure Tab?

A: The Other Expenditures line represents funding that in Caltrans accounting systems is not associated with a specific phase, which is why those funds instead populate on this "Other Expenditures" line. Such funds may include ATP Program Allocations where the expenditures did not get associated with a specific phase, or could refer to other fund sources like CMAQ. Please treat any funds that auto-populate on the Other Expenditures line as if they correctly show within the phase those funds were expended in – the Additional Local and Planned Expenditure at Completion fields on the Other Expenditures line should remain blank, and those funds should be shown in the Planned Expenditure at Completion fields of the appropriate phase.

Q: CalSMART throws validation errors on the Funding and Expenditures tab and prevents report submission. What should I do?

A: CalSMART includes a validation necessary for other programs that requires the Planned Expenditure at Completion to equal all known expenditures if the milestone for that phase indicates its completion. In cases in the ATP Program where the phase is complete, but not yet fully invoiced/reimbursed, the pre-populated expenditures will be less than the true Planned Expenditure at Completion for that phase. In this case, please enter the true Planned Expenditure at Completion for each phase, but due to the validation, increase the value reported in the Additional Local field so that Pre-Populated Expenditures + Additional Local = Planned Expenditure at Completion for that completed phase. Otherwise CalSMART will prevent the report from being submitted. In situations where you have to use this workaround while the accounting data catches up, please provide a statement in the Cost section of the Corrective Action Plan indicating the actual Additional Local funds that are planned to be expended for any such phase.

ATP User Counts

Q: My project was awarded in Cycle 1, are user counts required?

A: Yes, user counts were required in Cycle 1. The ATP Project Application Instructions in Cycle 1 instructed applicants to include before user counts in Narrative Question 1.B of the application and required by CTC ATP Guidelines. As no guidelines were included at the time for Before Count timelines, please provide the user counts from the application as the before count in CalSMART. The same methodology used for that before count must also be used for after counts.

Q: My project is a Plan or a Quick Build; do I have to include before and after user counts?

A: No, user counts are not required for Plan or Quick Build projects.

Q: Are we required to report on the ATP User Counts tab?

A: Before AND After Counts are required in the Final Delivery Report for all ATP projects other than Plans and Quick Builds. Please enter your Before Count in the Progress Report immediately after they are conducted, this helps the Reporting team ensure compliance with the Interim Count Guidance, which requires that all projects allocated for Construction on or after October 9th 2019 conduct a Before Count within 6 months prior to Construction. Once Counts (or any other data) is in CalSMART, you can copy the data from prior to current reports when generating subsequent Progress, Completion, or Final Delivery Reports, using the Copy Data from Prior Report action.

Q: Are Combination Projects required to conduct distinct counts for the Infrastructure and Non-Infrastructure components?

A: According to the Interim Count Guidance (ICG) which applies to any project allocated for construction after October 9, 2019, "for projects that include infrastructure and NI components, a combination of data collection strategies should be used." This is interpreted to mean a distinct data collection strategy for the Infrastructure and Non-Infrastructure components, as the ICG continues by acknowledging that this combination of count requirements could produce an unintended burden on the agency. In such a case, the ICG stipulates that the agency "must have their methodology for the total number of count locations/types approved by Caltrans ATP Office <u>prior to beginning their data collection.</u>"

Based on these sections of the ICG, Combination projects are required to use a combination of methodologies from the Infrastructure and Non-Infrastructure section of the guidance, or to request and coordinate an alternate methodology with the ATP program IN ADVANCE. As the timeline of the two components may differ for some projects – such projects are expected to conduct their distinct counts respective to the timeline of each component, unless otherwise approved. To comply with the ICG, before counts must be conducted within 6 months prior to the start of construction (which for non-infrastructure components refers to the first educational event or activity). Non-Infrastructure components must conduct their after count WITHIN 6 months after the last educational event or activity, while Infrastructure components must conduct their after count AT LEAST 6 months after the end of construction. All after counts must be conducted on the same days of the year as the before counts for that component, and must use the same methodologies as the respective before count.

We are working on creating a finalized ATP Count Guidance which will provide additional clarity on this point, offer additional methodologies for agency selection, as well as provide example surveys and methodologies for clarity.

Completion & Final Delivery Reports

Q: When are Completion Reports due for Pre-CON only funded projects?

A: Final Delivery Reports (FDR) are due when the pre-CON phases are complete with an anticipated schedule for construction (skipping a Completion Report). A planned End Construction Date is required regardless of funding source. In cases that the Construction phase is funded through a future ATP Cycle while the current pre-CON only has not submitted FDR, agencies shall follow the same flow of regular reporting submittals.

Q: If my project is completed prior to an open reporting period, when do we report?

A: You may submit a Completion Report at any time. Progress Reports can only be submitted during an open reporting period. Additionally, CalSMART will automatically prompt users to submit their report as a Completion Report if they provide an Actual End Construction milestone while saving their Progress Report.

Q: I keep receiving notices requiring reporting even when the Final Delivery Report isn't due yet?

A: Correct. Each quarter, the CalSMART reporting system will send out a reminder to let local agencies know that they still have a report pending submittal even though you may already have an approved Completion Report and still have plenty of time before the required Final Delivery Report. This is simply a reminder. After an approved Completion Report you are not required to submit a Final Delivery report until final invoice and final after counts are completed.

Q: For combination projects (Infrastructure and Non-Infrastructure), there is only one CalSMART report. When do we fill out a Completion Report?

A: You fill out a Completion report when both the Infrastructure and Non-Infrastructure components are complete. For instance, even if Infrastructure was completed first, you must continue to submit progress reports until the non- infrastructure portion of work has also completed.

Q: What is the difference between a 'Completion' and 'Final Delivery' report?

A: A Completion report is required when the physical project has been completed or at acceptance of contract – represented by the Actual End Construction milestone. A Final Delivery Report is due after the project's finances have been closed out – when the final invoice and after counts have been completed.

Q: CalSMART will not let me generate a Final Delivery Report. What's do I do?

A: There are currently validations within CalSMART that prevent a Final Delivery Report from being generated if a Completion Report has been submitted, but not yet approved. We at ATP work hard to process reports and agency questions as quickly as possible – even so, sometimes the approval process may take a several weeks or longer, even once all required corrections have been made to the report. Other times, we encounter difficulties with the reported information, issues with the project that must be resolved before Caltrans can consider the project completed. In such cases, we are working on a workflow to resolve the issue, and are unable to approve the Completion Report (and therefore allow a Final Delivery Report) until that process is complete.

Q: Are we required to submit any additional or supplemental documentation other than the required CalSMART reports?

A: Yes. We are working to expand the functionality of CalSMART so that required documentation is requested and submitted directly through the reporting tools. As of now, projects must submit the following additional documentation to ATPFinalReporting@dot.ca.gov in order for the Final Delivery Report to be considered complete:

ALL PROJECTS – Final Report of Expenditures (FROE) – This document confirms all final project costs and contractor payments, and is used as a verification to pay final invoices. No Final Delivery Reports can be processed without this document. (This report must be emailed to the appropriate DLAE, and the ATPFinalReporting@dot.ca.gov inbox must be included. This document will always be an external supplemental, and will not be added into the CalSMART reporting tool.)

ALL PROJECTS EXCEPT PLANS – Corps Usage Form (25-T) – This document confirms that the agency coordinated with a California Conservation Corps, LCCC or Tribal Corps, as well as whether one of the Corps actually participated in the project.

NON-INFRASTRUCTURE AND COMBINATION PROJECTS – NI and Combo Project Details Sheet – This document tracks the number of various NI program activities, communications, and partnerships. Such projects must also submit a copy of their 25-R at project completion to confirm all approved tasks.

PLANS ONLY – Plan Project Details Sheet – This document captures the type of Plan created by the project as well as links to the published Plans. For projects creating multiple Plans, a Plan Project Details Sheet must be submitted for each. Plan projects must also submit a copy of their 25-P at project completion to confirm the pages of the plan that contain required ATP Plan components.

When submitting project photos which show faces of the general public, especially minors, a Photographic Release and Consent Agreement by those individuals (or their guardians for minors) is required.

I Still Have Questions

Q: Who do I contact if I have any additional questions?

A: There are a variety of individuals in the Division of Local Assistance ATP, both at the Headquarters and District levels, who will be happy to assist you with your project needs or questions.

For questions regarding reporting in CalSMART, please reach out to ATPProgressReporting@dot.ca.gov for any help with Progress Reports, and to ATPFinalReporting@dot.ca.gov for help with Completion or Final Delivery Reports.
For project-specific and call-for-projects questions, please contact your:

- District Local Assistance Engineer (DLAE) or your District ATP Coordinator(PDF).

For general program questions you may contact:

- Desiree Fox (Districts 1, 2, 3, 4, 5)
- Cirilo Salilican (Districts 6, 9, 10, 11)
- Elijah Hall (Districts 7, 8, 12)
- Alexandra Doerr Westbrook (Non-Infrastructure and Plan Project)