

## Reporting Q & A

**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 and can only be submitted during an open reporting period.

**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 reporting 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.

**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.

**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 in which is reported or cumulatively?**

A: Expenditure reporting is cumulative.

**Q: Where is Non-Infrastructure funding on the 'Funding and Expenditures' tab?**

A: All Non-Infrastructure and Infrastructure are combined into the 'CON' section of the 'Funding and Expenditures' and also the 'Milestones' tabs.

**Q: My project was awarded in Cycle 1, were before user counts required?**

A: Yes, before 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. The same methodology used for before counts must also be used for after counts.

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

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

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

A: Completion Reports are due when the pre-CON phases are complete with an anticipated schedule for construction. Final Delivery Reports are due when the Construction has been completed, final invoice, and final after counts are complete – even if Construction is done via local or other funds, a Final Delivery Report is still required.

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

A: End Construction Date: When all infrastructure of non-infrastructure activities is complete.  
End Project Date: When all invoicing and reimbursements are completed, and counts are complete.

**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.

**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 the latest milestone is complete. For instance, even if Infrastructure was completed first, you 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 acceptance of contract. A Final Delivery Report is due when final invoice and after counts have been completed.

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

A: You are only required to report user counts in the Final Delivery Report. But you are encouraged to record your before counts as soon as you conduct them, so you don't lose track of them. Once they're in CalSMART, you only need to copy the data over from prior reports.