

Senate Bill 1 Accountability & Transparency Guideline Update Workshop



October 4, 2022



Welcome and Introductions

DAWN CHESER

Associate Deputy Director

GoTo Webinar Logistics



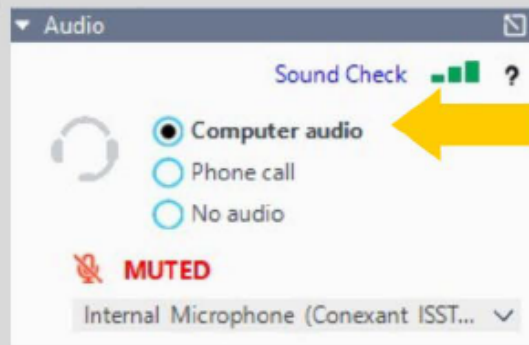
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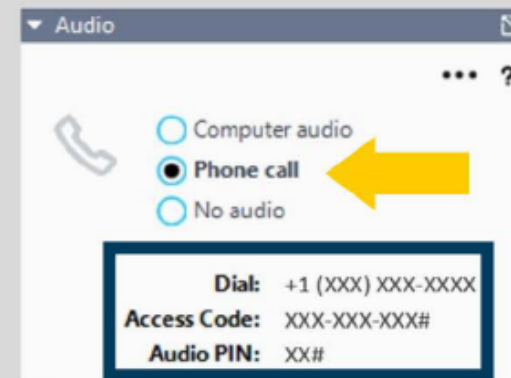
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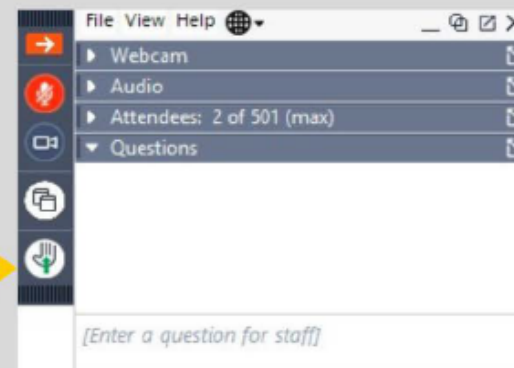


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HOW TO PARTICIPATE

Send comments through the "Questions" tab for Commission Staff to read on your behalf **OR** by selecting the "Hand" icon to alert the Staff to unmute you.

Please state your name and agency prior to voicing your remarks through the "Questions" tab or "Hand" icon.



Images shown above are for attendees using a web browser. The Webinar App layout will vary depending on the device.

Agenda Review



- Workshop Focus
 - Baseline Agreement – Follow-up from August 23rd Workshop
 - Project Reporting
 - Consequences for Noncompliance
 - Project Audits
 - Release “Discussion Draft” Guidelines
- Closing and Next Steps
 - Questions and Comments
 - Discussion Recap
 - Action Items and Next Steps

Baseline Agreement Follow-Up



Proposed new language/clarifications

- Projects requesting allocation (other than cited exceptions) **within the ~~six~~ four months after following** program adoption, baseline agreement must be approved no later than the ~~sixth~~ **fourth month following the program adoption date**

Baseline Agreement Follow-Up



Baseline Amendment – proposed additional scenarios

- Project segmented/split after programming
- Reduced scope along with a reduction in SB 1 Funding

Note - Both scenarios still being proposed but must be consistent with an approved scope change

Project Reporting



Clarifying Language & Reminders

LPP-F & Non-Baseline LPP-C Projects

- Not subject to in-progress reporting through CalSMART
- Must communicate possible issues of concern in a timely manner
- Must submit Completion/Final Reports through CalSMART

Project Reporting



Proposed Changes *(in strikethrough & bold)*

- The Department will send, at a minimum, reminders to Implementing Agencies 30 days before reports are due and again **5 days before reports are due** if ~~reports are 30 days past due.~~
- Implementing Agencies ~~with reports 60 days past due~~ **which fail to report within the reporting period** will be considered noncompliant.
- Applicable to In-Progress reporting

Project Reporting



Proposed New Requirements

Forecast Year Reporting after project completion

- Purpose – report on the delivery of Performance Metrics based on the forecast year
- Performance Metric Guidebook indicates a Forecast year of 20 or most available

Project Reporting



Proposed New Requirements

Semi-Annual Reports

- Include a list of agencies/projects that have not reported (in-progress and completion reports)
- Include status of construction contract award
- Include status of Caltrans review/approval of submitted Completion/Final reports

Project Reporting



Proposed New Requirements

Completion Reports

- Caltrans will notify Implementing Agencies within 30 days after a project is completed of the requirement to submit a Completion Report and again during the 30 days after the report is due (six months)
- Implementing Agencies which fail to report will be considered noncompliant.

Project Reporting



Proposed New Requirements

Final Reports

- Must be submitted and approved prior to the last invoice being paid.

Consequences for Noncompliance



- No proposed changes at this time

Project Audits



New Language

- Reference the Performance Metrics Guidebook - Required Back-up Information
- Reiterate Back-up information shall be preserved and made available for review.

“Discussion Draft” Guidelines



- Options for review
 - Third workshop mid-October
 - Distribute via email mid-October

Closing and Next Steps



- Questions and Comments
- Discussion Recap
- Action Items
- Next Steps
 - Schedule

Schedule



Workshop #2	October 4, 2022
Commissioner Briefing	Late Oct/Early Nov 2022
Workshop #3 <i>(if needed)</i>	Mid-November 2022
Draft Guidelines Presented	December 7-8, 2022
Final Guidelines Adoption	January 25-26, 2023

SB 1 Accountability & Transparency Contacts



Dawn Cheser, Associate Deputy Director - Dawn.Cheser@catc.ca.gov

Kayla Giese, Program Analyst – Kayla.Giese@catc.ca.gov

SB 1 Programming

Matthew Yosgott, Deputy Director - Matthew.Yosgott@catc.ca.gov |



Thank You!