CALIFORNIA DEPARTMENT OF TRANSPORTATION

Fiscal Year 2014-15

Project Delivery Report

to the Governor and

California State Legislature

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Executive Summary

Purpose of Report

This report provides project delivery information on transportation projects for which the California Department of Transportation (Caltrans) was fully responsible for the development and construction management. The report is intended to cover reporting requirements required by California statutes and California Transportation Commission resolutions. This report fulfills Caltrans' project delivery reporting requirements.

Performance Measures

Our Commitment to Delivery

Delivery of transportation capital programs is one of the most essential functions that Caltrans does to preserve, protect, and enhance system performance of the state highway system. Operational improvement projects help the existing highway system function more efficiently. System preservation projects (such as bridge rehabilitation and pavement rehabilitation) help the highway system last longer and decrease maintenance costs. Safety projects reduce traffic accident fatalities and serious injuries. System expansion projects add capacity by adding lanes or constructing highways to reduce congestion.

Measuring and reporting performance on project milestones shows how well we are meeting our commitments to deliver projects as promised in our primary work programs: the State Transportation Improvement Program, the State Highway Operations and Protection Program, and for local projects where we are providing project services.

Project Delivery Performance for Fiscal Year 2014-15

Measure	Annual Commitment			Goal	Status
	Delivered	Plan	Percent	Percent	
Delivery					
Projects Ready for Construction	337	343	98	100	☒
Contract Value Ready for Allocation (millions)	$2,465	$2,633	94	100	☒
Project Approval, Environmental Documents					
Projects Approved	225	258	87	90	☒
Draft Environmental Documents Completed	59	74	80	75	✓
Right of Way					
Projects Certified	324	335	97	100	☒
Allocated Funds Committed	$163	$163	100	100	✓
Construction					
Contracts Accepted	154	174	89	90	☒
Closeout Costs					
State Transportation Improvement Program Costs	NA	NA	94	< 100	✓
State Highway Operations and Protection Program Costs	NA	NA	91	< 100	✓

Legend

✓ Caltrans met the delivery goal. ☒ Caltrans did not meet the delivery goal.

Project Watch List

Caltrans identifies projects deemed "at risk" for budget or schedule on a project watch list. Projects are continuously monitored to ensure issues affecting the budget, scope, or schedule are brought to the attention of managers and transportation stakeholders to resolve or minimize issues.

The project watch list will change from one quarter to another (projects dropped or added) as supplemental funds are approved, budget risks are mitigated, and schedule risks are resolved. Since the report is prepared quarterly, in order to keep projects on track to award, there may be supplemental funds request or costs requiring additional funds prior to award presented to the Commission for approval on new projects between reports. While this report is intended to reflect information at the end of the reporting period, information for narratives provided for the project watch list is updated up to the time the report is published to provide the most accurate information as possible.

Budget Risks (Supplemental Funds)

In managing construction capital budgets, Caltrans balances risk in project budgeting with the need to ensure that an appropriate mix of projects are brought forward in sufficient quantities to use our annual federal obligation authority. Complete and reasonable estimates are necessary to avoid undesired consequences, including loss of federal or local funds. Before presenting budget change requests to the Commission, Caltrans robustly examines each request to validate costs and evaluate options. In the past five years, 97 percent of construction projects were completed within the Commission's capital allocation and Caltrans delegated funding authority.

Caltrans currently has 663 projects valued at $10.7 billion under construction. We have identified risks below on 22, or 3.3 percent of the projects in construction. Caltrans is categorizing risks and the potential for supplemental funds for projects in construction as follows:

Status	Projects	Construction Capital	Construction Support	Risk	Approved Budget	Notes
Construction Projects Completed or Nearly Complete	8	7		$15-20 million	Construction Capital $ 161 million	If supplemental funds are needed, this will occur in the next six months.
			1	$3-5 million	Construction Support $ 30 million	If supplemental funds are needed, this will occur in 6 months to 2 years (or more).
Construction Projects in Progress	14		3			
		13		$115-125 million	Construction Capital $ 879 million	If supplemental funds are needed, this will occur in 6 months to 2 years (or more).
TOTALS	22	20	4			

Note: Projects dropped excluded from Project counts.

Risks of needing supplemental funds are categorized as:

VH Very High H High M Moderate L Low

Category trends are defined as: ↑ Higher, = Same, or ↓ Lower than last report
A Project added D Project to be dropped

Notes: ✶ STIP - State Transportation Improvement Program, SHOPP State Highway Operations and Protection Program, CMAQ - Congestion Management and Air Quality Program
◊ Costs are in millions. Capital costs include right of way and construction.

Construction Projects Completed or Nearly Complete

Cty	Rte	Description	Program✶	Capital $◊	Support $◊	Risk		Component
But	99	Chico Auxiliary Lanes	STIP, Bond	$28.0	$9.9	VH	↑	Construction Capital
Additional funds will likely be needed to close-out the construction contract due to notices of potential claims that Caltrans is currently evaluating. The contract is complete.								
LA	10	Metal Beam Guardrail	SHOPP	$2.7	$3.3	VH	↑	Construction Capital
Additional funds will likely be needed to close-out the construction contract. Issue includes quantities to meet field conditions. During construction, additional vegetation control work was performed. Work is safety related, not recommended to eliminate safety elements. Pursuing Office of Traffic Safety Funds in addition to supplemental funds.								
Sol	80	Relocate Cordelia Truck Scales	Bond, SHOPP	$31.8	$29.1	H	=	Construction Capital
Supplemental funds may be needed to settle a remaining claim to address cracked jointed concrete pavement that may go to arbitration.								
Tuo	108	Sonora Bypass	Bond, STIP	$27.0	$14.4	H	↑	Construction Capital
Storm water fine exceeds remaining budget. Responsibility for payment of fine has been passed on to the contractor. The contractor has included the fine as a potential claim. Potential for additional funds is dependent on whether state or contractor is determined to be responsible for payment. Project is scheduled for mediation in September, 2015.								
Ora	39	Curb Ramps	SHOPP	$2.4	$1.9	H	=	Construction Capital
Additional funds may be needed to close-out the construction contract due to notices of potential claims for delays due to additional construction surveys needed and to fund change orders. The contract is complete.								
SBd	62	Colorado Bridge Replacement	SHOPP	$29.9	$10.5	M	=	Construction Capital
Additional funds may be needed to close-out construction contract. Currently, project has a forecasted positive balance. Contractor has requested additional compensation beyond the State's forecast. Caltrans is evaluating claims and is negotiating with contractor to minimize potential supplemental amount. All roadwork has been completed and project is in plant establishment period.								
Sut	99	Riego Road Interchange	SR99 Bond	$20.0	$7.0	L	A	Construction Support
Project is complete. There is a small balance of support funds. It is anticipated that the balance will be adequate to complete final project closeout, including right of way monumentation and claims work. There is a low risk that additional support may be needed if claims is more than anticipated.								
LA	405	Widen Highway	SHOPP	$22.3	$13.5	L	↓	Construction Capital
Additional funds may be needed to close-out construction contract and pay interest on claims with merit. Project is completed. Caltrans is evaluating claims and is negotiating with contractor to minimize potential supplemental amount. There is a balance of contingency funds that may be sufficient to cover claims.								
SM	1	Pond Repair	STIP	$1.3	$1.3		D	Construction Capital
~~Additional funds may be needed to resolve environmental requirements. There is an environmental obligation for mitigation requirements. The district is evaluating options to meet project obligation within available funding options.~~ Funding secured within existing funding sources.								

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk	Component
Ala	880	Replace High Street Bridge	SHOPP	$84.8	$32.4	D	Construction Capital

~~Potential claims include claims for rebar escalation, item adjustment, contaminated soil disposal. Caltrans is evaluating claims and is negotiating with contractor to minimize potential supplemental amount.~~ Funds approved at August meeting.

Mer	99	Bridge Enhancement	STIP TEA	$0.9	$0.6	D	Construction Support

~~At the August meeting will be a request for supplemental funds to close out the construction contract. The support cost overrun was caused by major increase in working days from an original planned 45 days to 123 actual days. The increased working days were due to weather constraints, specification for anti-graffiti coating, and under estimation of roadway excavation.~~ Funds approved at August meeting.

Ora	39	Sidewalk, Culvert	Minor	$1.1	Minor	D	Construction Capital

~~Additional funds needed to close-out the construction contract due to notices of potential claims for unsuitable material or additional import borrow. The contract was completed and accepted. Three claims were determined to have no merit, and change orders for three others were presented to the contractor which he has not agreed to.~~ Funds approved at August meeting.

Construction Projects In Progress

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk	Component
Sac	80	Sac I-80 Across The Top	STIP, SHOPP, Bond	$105.8	$27.2	VH ↑	Construction Capital

Potential for additional funds rising from need to replace cracked pavement in newly constructed lanes. Issues claimed include mix design changes, cost escalation, time related overhead, interest, material and labor costs. Caltrans is evaluating claims and is negotiating with contractor to minimize potential supplemental amount.

LA	1	Repair failed slope	SHOPP	$7.3	$3.5	VH ↑	Construction Capital

As a result of inverse law suit from adjacent property owner, additional funds is required to redesign and construct a taller wall. Caltrans Legal is meeting with bankruptcy judge in August, 2015. Since project has been under suspension for an extended period of time, contractor would likely be requesting a contract price adjustment, requiring additional funding at that time based on the contractor's requested adjustment.

LA	47	Schuyler Heim Bridge	SHOPP	$247.3	$32.6	VH ↑	Construction Capital

Potential for additional funds due to differing site conditions in foundations, right of way delay issues with Port of Long Beach, and to settle potential claims. To minimize potential claims, Caltrans is: (a) Going through contract dispute resolution process for each potential claim. (b) Evaluating value engineering cost proposals and other cost and time saving opportunities. (c) Reaching out to federal highways for expertise in foundation and geotechnical design. In addition to the construction support cost for Caltrans staff, Caltrans has an agreement with Alameda Corridor Transportation Authority to fund support cost for their staff and consultants. Based on the risk management and exposure report dated July, 2015, to cover claims and contract change orders, there's a significant funding shortfall in construction capital funds. The current budget was supplemented within existing budget authority (G-12 authority) in August 2015. Subsequently, a request for additional funds will be prepared for approval at a future commission meeting.

SJ	12	Bouldin Island Rehabilitation	SHOPP	$35.9	$9.7	VH ↑	Construction Capital

Request for additional funds is proposed for the October meeting. The placement of the embankment/surcharge on the new alignment started in March, 2014. In October, 2014, inspectors noticed excessive settlement of the embankment near the Mokelumne River Bridge. It was decided to move the embankment east to avoid the failure. Subsequently, the failure has continued. The recommended alternative to repair the embankment failure will require supplemental funds.

SJ	5	North I-5 Rehab	SHOPP	$44.5	$7.9	VH A	Construction Capital

Request for additional funds is proposed for the October meeting. There are two contracts (widening, pavement rehabilitation) going on at the same time on I-5 within the city of Stockton. Due to staging conflicts with the widening contract, the pavement rehabilitation contract section between Smith Canal Bridge and County Club Undercrossing has not been built. As a result, a new construction strategy has been developed which will involve 130 working days to be performed in four different stages. There is additional costs of this newly identified staging of work. In addition, there are contract change orders that will require additional funds.

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk	Component
Men	101	Willits Bypass	STIP	$209.1	$99.7	M	Construction Capital
						VH A	Construction Support

Additional funds for construction capital were approved in Dec. 2014, based on a 50 percent confidence level of risks. Significant risks remain to complete the construction project. A Risk Management Plan has been implemented. The Project Delivery Team continues to monitor all identified risks and update the risk management plan on a regular basis to complete the project within the funds approved. Risks are being mitigated by accelerating work at the Southern interchange and floodway viaduct, and by redesigning the Northern interchange to avoid impacts to wetlands and to avoid the potential of a one year delay. Construction support (grandfathered STIP-IIP funding) expenditures significantly exceed the programmed budget. The construction support budget was not supplemented when construction capital was in 2014, and the programmed support component pre-dates SB45 STIP changes and is based on old estimates.

Son	12	Laguna De Santa Rosa Bridge	SHOPP	$11.2	$6.8	H	Construction Capital

Additional funds may be needed due to delay in the gas and electric utility relocation which caused an additional construction season. Contractor had planned to start work in the creek in August 2014, but was unable to do so.

Tul Fre	99	Goshen to Kingsburg 6 Lane	Bond	$78.8	$22.6	H	Construction Capital
						H	Construction Support

Potential for additional funds to settle claims. Caltrans is evaluating claims and is negotiating with contractor to minimize potential supplemental amount. Support costs have increased because the project has been extended from three years to four years.

Tul	99	Tulare to Goshen North 6-Lane	Bond, STIP	$38.7	$10.8	H	Construction Capital
						H	Construction Support

Potential for additional funds to settle claims. Capital and support costs have been increased due to discovering unexpected utility conflicts.

SBd	15	Point of Entry, Truck Enforcement	SHOPP	$41.6	$24.1	H	Construction Capital

Potential for additional funds due to time-related overhead delays by fire marshal site reviews, well drilling, and painting issues. Cost reductions have been implemented by eliminating non-essential landscape features, reducing Highway Patrol requested changes, office funding, and by modifying pavement mix designs. Cost have been managed by denying request for building upgrades, reduced delay claims by accelerating external agency permit approvals, establishing early coordination with contractor on potential cost increases, and negotiated re-painting to reduce costs. The remaining balance of Caltrans funding authority (G-12) was approved to settle claims made to date. However, there is now a higher risk on recent claims by the contractor that may require the need for supplemental funds.

SBd	138	Widening (Phase 1A)	STIP	$52.0	$30.3	H	Construction Support

Construction support has increased due to resolving numerous project conflicts with design, right of way, and environmental clearance, and cost escalation.

Sha	5	Bridge Replacement	SHOPP	$125.0	$43.0	M	Construction Capital

Additional funds may be needed to settle 27 outstanding claims due to differing site conditions on foundations. Dispute resolution hearings for all but three of the claims have been held. Working though results and disputes with legal. Caltrans believes claims have no merit.

LA	10	Flyover Connector	SHOPP	$67.5	$12.7	M	Construction Capital

Project contingency budget was used to pay for the relocation of transmission towers and lines. Two transmission towers were in direct conflict with the flyover connector (carrying high power electric lines crossing the freeway) and they were replaced by eight power poles. The strategy to purchase the poles and build their foundations by utilizing design-build contractor (through contract change orders) helped expedite the project and eliminate a major risk. Caltrans may need additional funds to pay for contractor's claims in order to close-out the project.

LA	710	Long-life pavement	SHOPP	$119.3	$31.2	L ↓	Construction Capital

Potential need for additional funds to settle outstanding claims. Working to identify potential conflicts in upcoming stages and phases of the work.

SCl	9	Realignment	SHOPP	$5.7	$4.9	D	Construction Capital

~~Additional funds may be needed as a result of differing site condition at location 3. The cost impact of this change is to be determined.~~ Risks have been mitigated.

SCr	9	Pollution Control	SHOPP	$1.9	$3.0	D	Construction Capital

~~Potential for additional funds due to differing site conditions.~~ Issues have been resolved within budget.

Construction Partnership Projects In Progress
Local Agencies Implementing Agencies

Risk	Approved Budget	Notes
As mega-projects (capital > $500 million), the project funding is a mix of multiple funding sources, including State funds allocated by the commission.	$2.0 Billion	If supplemental funds are needed, this will occur in the next 6 months to 2 years (or more).
Mega projects carry their own unique risks, which are not quantified as part of this report.		

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk	Component
SF	*101*	*Doyle Drive*	*STIP*	*$852.0*		H =	*Construction Capital*

Commissioners on the project delivery council were briefed on the project on March 18, and again on June 17, 2015. The project team continues to work through substantial completion (anticipated Sep. 2015).

LA	*710*	*Gerald Desmond Bridge*	*Local, Bond, SHOPP*	*$1,156.0*	*Design Build*	H =	*Construction Capital*

Project is being implemented by the Port of Long Beach as a design-build project. The project contingency budget has been reduced to a small balance after settlement of all the time related claims. It is anticipated that additional funds will be necessary to complete project for a number of known future expenditures, as well as potential risks identified in the risk management plan. On July 13th, 2015 the Port of Long Beach approved an increase in the project budget. Funding for the increase has not been identified at this time. A "Buy America" violation (effects eligibility for federal funds) was made due to incorporation of foreign steel on oil field relocation work. For the work that has been completed, the Port has segregated the costs of iron and steel components that cannot be documented as "Buy America" compliant, and will not seek Federal participation in costs of that work (approximately $13 million). This issue is on-going and we are working with the Federal Highway Administration to achieve their approval.

Sta	*99*	*Pelandale Ave Interchange*	*BOND*	*$4.3*	*$54.6*	H =	*Construction Support*

Forecasted costs for construction support exceed the approved budget (bond funded). Local agency has identified potential capital savings and is working on a revised funding plan.

Right of Way Adjustments to be made after Completion of Construction

Caltrans reports the final estimated costs at completion for State Transportation Improvement Program (STIP) funded right of way after construction contract acceptance. If the right of way final estimate at completion exceeds 120 percent of the programmed amount, a debit will be made against county or Interregional Improvement Program shares in the subsequent STIP programming cycle. Caltrans estimates the potential for right of way adjustments as follows:

Right of Way	Risk	Approved Budget (STIP portion)	Notes
Right of Way costs for projects in construction that exceed 120 percent of programmed budget.	$ 60 - 65 million	Right of Way $ 107 million	Adjustments (debits) to right of way costs, if needed will occur after construction is complete.

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk	Component
Men	*101*	*Willits Bypass*	*STIP*	*$209.1*	*$99.7*	VH ↑	*Right of Way*

Current right of way costs committed for the subsequent mitigation projects are forecasted to exceed 120 percent of the programmed right of way budget. There will likely be a county share debit adjustment of right of way at completion of construction.

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk	Component
Mad	99	Avenue 12 Interchange	Bond, STIP	$69.4	$14.8	VH =	Right of Way Capital

Right of way costs have exceeded 120 percent of the programmed amount due to pending final judgments for eminent domain actions. There will be a county share debit adjustment of right of way at completion of construction.

LA	5	Carmenita Interchange	STIP, Local	$340.2	$54.9	VH =	Right of Way

Current STIP right of way expenditures exceed the STIP programmed budget by more than 120 percent. Expenditures incurred to acquire parcels have exceeded estimated costs. The project financial plan is being updated to move local funds around to balance the plan as much as possible, and to cover increased right of way costs. At completion of construction, the final estimated right of way costs will be updated, and there will likely be a subsequent debit made (dependent on local money added) against county shares in the subsequent STIP programming cycle.

SBd	138	Widening (Phase 1A)	STIP	$52.0	$30.3	H =	Right of Way

Right of way costs are forecasted to exceed 120 percent of the programmed amount due to litigation and pending final judgments for eminent domain actions. Depending on final judgments, there may be a county share debit adjustment of right of way at completion of construction.

Sta	219	Widen to four lanes	STIP, Bond	$32.8	$9.9	H =	Right of Way

Right of way costs are forecasted to exceed 120 percent of the programmed amount due to litigation and pending final judgments for eminent domain actions. Depending on final judgments, there may be a county share debit adjustment of right of way at completion of construction.

Preconstruction Projects

Caltrans estimates construction capital risks for preconstruction projects as follows:

Preconstruction Projects	Risk	Approved Budget	Notes
Projects with bid results higher than budget - 7 projects	$ 20-25 million	Construction Capital $ 56 million	Results dependent on bid results, likely within next six months.
Project estimates for allocation that exceed 120 percent of construction capital budget - 3 projects	$ 3-5 million	Construction Capital $ 19 million	If additional funds are needed, it will most likely occur within the next six months.

Note: Projects dropped excluded from Project counts.

Projects With Bid Results Higher than Budget

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk	Component
Hum	101	Rehabilitate Bridge Deck	SHOPP	$4.8	$2.4	VH A	Construction Capital

Proposed for the October meeting is a request for additional funds to award. Bid results exceed the available budget. Previously, the budget was reduced lower than the original programmed budget. A review of bid results show that bids were higher than estimated based on environmental restrictions placed on the work that was not adequately considered by the estimator.

Men	101	Willits Mitigation Riparian Wetland	STIP	$43.0	$3.0	VH ↑	Construction Capital

Initial bids were rejected. Original contract has been split into smaller biddable and buildable contracts so they can be re-advertised and awarded. Caltrans continues negotiations with the Army Corps to determine extent of mitigation requirements to be implemented with the remaining contracts. Current estimates for remaining contracts indicate a potential need for additional funds to satisfy mitigation requirements.

Sis	5	Improve Truck Inspection Facility	SHOPP	$4.7	$2.7	VH A	Construction Capital

Proposed for the October meeting is a request for additional funds to re-advertise. Initial bids were high (restrictive work windows and keeping facility open during construction) and subsequently rejected. Contract being repackaged and re-advertised. Changes to plans are being evaluated in an effort to reduce bid costs.

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk		Component
Mon	101	Median Barrier	SHOPP	$4.8	$2.4	VH	A	Construction Capital
Bids were just opened on this safety project and exceed the available budget. Initial evaluation of bid results determined that the bid results were substantiated. The project will likely be proposed for the October meeting.								
SJ	99	Rehabilitate Pavement	SHOPP	$5.0	$0.4	VH	A	Construction Capital
Proposed for the October meeting is a request for additional funds to award. Bid results exceed the available budget. Previously, the budget was reduced lower than the original programmed budget. A review of bid results show that bids were higher than estimated based on not enough consideration being given to short work windows to minimize traffic impacts and number of locations.								
Ala	260	Guardrail Replacement and Building Restoration	SHOPP	$7.6	$3.1	L	↓	Construction Capital
Initial bids were high and subsequently rejected. Additional funds to re-advertise were secured through an Office of Traffic Safety Grant. Moderate risk remains pending bid opening and award. Second bid results opened close to budget, low risk remains pending award and determining lowest responsible bidder.								
Ora	57	Slab replacement	SHOPP	$4.50	$1.35	L	A	Construction Capital
Initial bids were substantially higher than engineer's estimate; subsequently, bids were rejected. The proposal is to re-advertise the project. District will modify the scope and repackage the project to stay within the approved voted amount by opening the closure windows; limiting the grooving areas; and modifying pavement grinding. There remains a low risk of additional funds to award.								
ED	89	Storm water Improvements	SHOPP	$9.4	$6.6		D	Construction Capital
~~Initial bids were high and subsequently rejected. Contract being repackaged and re-advertised. Changes to construction staging and contract specifications were made in an effort to reduce bid costs. Contract advertisement date is May 11, 2015 with a bid opening of June 30, 2015. Potential remains for supplemental funds being needed when bids are opened for the second time.~~ Funds approved at August meeting.								

Project Estimates for Allocation That Exceed 120 Percent of Construction Capital Budget

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk		Component
Tuo	120	Bridge Rehabilitation	SHOPP	$13.7	$5.8	VH	=	Construction Capital
Proposed for the October meeting is a request for additional funds to advertise project. Additional funds are needed due to unique construction, environmental and tourists constraints which increased the estimate.								
SB	Var	Retrofit Exit Signs	SHOPP	$3.0	$1.7	VH	A	Construction Capital
Proposed for the October meeting is a request for additional funds to advertise project. Potential increase in estimate due to clarification of funding contributions.								
Men	101	Willits Bypass Fish Passage	STIP	$2.3	$1.2	H	A	Construction Capital
Potential delivery risk due to construction scenarios. Latest capital cost estimate is over programmed budget and includes fish passage restoration at both the north and south forks (north fork was not scoped or budgeted for, but is now required mitigation by California Department of Fish and Wildlife). Project is also shown as a delivery risk on subsequent pages.								
Ala	880	Median Barrier	SHOPP	$35.7	$12.5		D	Construction Capital
~~Additional funds may be needed to advertise project. Potential increase in estimate due to constructability issues. Caltrans is still evaluating the estimate and alternatives.~~ Funds approved at August meeting.								
Pla	193	Curve Improvement and Widening	SHOPP	$12.5	$4.9		D	Construction Capital
~~Current estimate for allocation at the May meeting is within 120% of the programmed budget. Low risk remains pending bid opening and award.~~ Bid results opened within budget.								
DN	199	Construct Buttress	SHOPP	$1.3	$0.9		D	Construction Capital
~~Increase in cost estimate due to geotechnical engineering recommendation of using a higher cost soldier pile wall instead of the lower cost bio-engineered buttress assumed when the project was originally programmed.~~ Funds approved at August meeting.								
SLO	46	Convert to 4 Lane Expressway	STIP	$58.0	$16.5		D	Construction Support
~~Additional funds may be needed for Construction Support due to: (a) 13 percent increase in contract working days based on constructability review (b) Increased support due to updated cost rates.~~ Forecasted costs have been reduced.								

Schedule Risks (Allocation Extension)

In managing delivery, Caltrans is taking intelligent and reasonable risks to deliver projects. In the past ten years, Caltrans has delivered 2,726 out of 2,751 projects committed, or 99.1 percent.

Contract For Delivery (CFD) Projects with Significant Risk to Miss Delivery in Fiscal Year

Risks of needing an allocation extension request are categorized as:

VH Very High H High M Moderate L Low

Category trends are defined as: ↑ Higher, = Same, or ↓ Lower than last report
A Project added **D** Project to be dropped

Notes: ✶ STIP - State Transportation Improvement Program, SHOPP State Highway Operations and Protection Program, CMAQ - Congestion Management and Air Quality Program
◊ Costs are in millions. Capital costs include right of way and construction.

Project issues listed typically identify current pending issues to meet delivery in the current year. Previous issues in different program areas may have contributed to the overall delivery risk for the projects listed below.

FY 14-15 CFD Projects Not Delivered

Caltrans committed to deliver 343 projects valued at $2.6 billion in the FY 14-15 Contract for Delivery. Through the end of the year, we delivered 337 projects (98 percent) valued at $2,465 million (94 percent) of committed projects on time. Caltrans did not deliver 6 projects (2 percent) valued at $168 million (6 percent) as planned.

Cty	Rte	Description	Program✶	Capital $◊	Support $◊	Risk	Component
Plu	*147*	*Replace Bridge*	*SHOPP*	*$8.3*	*$4.8*		*Not Delivered*
Project was delayed because Caltrans took a risk with a less complex environmental document, however a permitting agency insisted on a more complex document in order to issue a permit. The district is developing the new environmental document. Based upon the experience with this project, the district has decided to prepare more complex environmental documents for three similar projects.							
Ala	*680*	*Freeway Performance Initiative*	*Local*	*$17.7*	*$9.5*		*Not Delivered*
Ala	*880*	*Freeway Performance Initiative*	*Local*	*$11.0*	*$5.5*		*Not Delivered*
Mrn	*101*	*Freeway Performance Initiative*	*Local*	*$8.6*	*$7.2*		*Not Delivered*
These three projects were funded with local funds. Projects were put on hold in September when cost changes were identified. In April 2015, a funding plan was agreed upon to fully fund these projects to be delivered in FY 2016-17.							
LA	*710*	*Long Life Pavement*	*SHOPP*	*$124.2*	*$26.5*		*Not Delivered*
Project was delayed by a Construction and Maintenance agreement with a railroad. It was a complex location, and was identified as a known risk prior to signing the Contract for Delivery.							
SBd	*138*	*Realign Roadway*	*SHOPP*	*$32.4*	*$8.4*		*Not Delivered*
The project was delayed because of a late need to change the mitigation site. The previously identified site was no longer appropriate. Mitigation was required in order to obtain a permit. Caltrans worked very hard to obtain the new site, and it has been secured. Project is proposed for an allocation at the October meeting.							

FY 15-16 CFD Project Risks

Caltrans has 244 projects valued at $2.0 billion in the FY 15-16 Contract for Delivery.

High to Very High Risk Delivery

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk		Component
LA	*138*	*Widen From 2 to 4 Lanes*	*STIP*	*$7.8*	*$7.0*	H	A	*Fiscal Year Delivery*
Right of way certification is a major risk to delivery. Several parcels are going to the condemnation process. At least two parcel owners have requested to appear before the Commission to oppose the resolution of necessity. A work around certification may be necessary.								

Moderate to Low Risk Delivery

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk		Component
Hum	*254*	*Replace Bridge Rails, Widen Shoulder*	*SHOPP*	*$3.6*	*$3.8*	M	A	*Fiscal Year Delivery*
Potential risk for litigation due to proximity to redwood trees.								
LA	*405*	*Reconfigure Getty Center Ramps*	*SHOPP*	*$14.8*	*$5.5*	M	A	*Fiscal Year Delivery*
Working with the utility companies. Relocation of gas Line and electrical poles. Right of way capital and construction capital costs have increased.								
Ala	*580*	*Freeway Performance Initiative & Pavement Rehabilitation*	*Local, SHOPP*	*$63.0*	*$15.9*	M	A	*Fiscal Year Delivery*
Project risks related to execution of cooperative agreement with Metropolitan Transportation Commission for local funding contributions.								
SCl	*152*	*Planting and environmental mitigation*	*SHOPP*	*$2.5*	*$1.4*	M	A	*Fiscal Year Delivery*
Acquiring property rights from Santa Clara County Open Space Authority (SCCOSA); potential issue is appraisal value. If right of way negotiations with SCCOSA fail, environmental team will need to find a new mitigation site.								
SBd	*62*	*Construct Raised Median Curb*	*SHOPP*	*$5.2*	*$2.6*	L	A	*Fiscal Year Delivery*
Project has been advanced and is being risk designed with delivery scheduled one month after project approval (PA&ED milestone). Design is proceeding with the assumption of a categorical exempt environmental determination. Project is located within a wildlife corridor, and there is a slight risk of unforeseen environmental issues that may cause a delay.								

Delivery

Summary

Our Contract to Deliver

Each year since fiscal year 2005–06, the Caltrans Director has signed a Contract for Delivery with each of our 12 District Directors committing to deliver projects on schedule for construction. The Contract for Delivery includes a list of major state highway projects for which Caltrans will complete project plans, specifications and estimates and secure rights-of-way and permits in that fiscal year. This allows us to advertise and award construction contracts and begin construction.

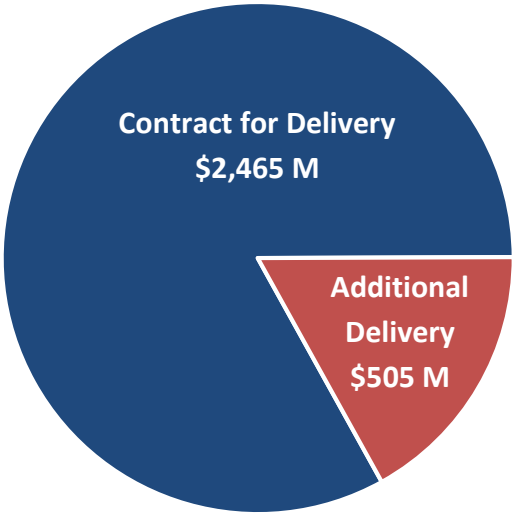
In fiscal year 2014–15, Caltrans committed in the Contract for Delivery to deliver 343 projects, valued at $2,633 million. Through the end of the year, we delivered 337, or 98 percent of the annual commitment, with an estimated value of $2,465 million.

Program Delivery

Program delivery includes the contract for delivery and additional projects not in the contract for delivery. Additional projects include: Program amendments, projects advanced from a future program year, Minor, Major Maintenance, and Emergency projects.

Through the end of fiscal year 2014-15:

- *Caltrans delivered an additional 293 projects valued at $505 million.*
- *The sum of all projects delivered from all program funding sources is 630 projects, valued at $2,970 million.*



Measure: Projects Delivered – 4th Quarter Fiscal Year 2014-15

Fiscal Year 2014 -15 Contract for Delivery

	Year-to-Date thru 4th Quarter			Annual Commitment		Goal
	Delivered	Plan	Percent	Plan	Percent	Percent
Projects Delivered	**337**	**343**	**98**	**343**	**98**	**100**

Projects Delivered - Five-Year Trend

	Year-to-Date thru 4th Quarter					Annual Commitment thru 4th Quarter				
	10-11	11-12	12-13	13-14	14-15	10-11	11-12	12-13	13-14	14-15
Projects Delivered	99%	99%	98%	98%	98%	99%	99%	98%	98%	98%

Five-Year Trend Analysis: The five-year trends for projects delivered is comparable to recent years.

Measure: Contract Value Delivered – 4th Quarter Fiscal Year 2014-15

Fiscal Year 2014 - 15 Contract for Delivery

	Year-to-Date thru 4th Quarter			Annual Commitment		Goal
	Delivered	Plan	Percent	Plan	Percent	Percent
Contract Value Delivered (millions)	**$2,465**	**$2,633**	**94**	**$2,465**	**94**	**100**

Capital Value Delivered – Five Year Trend

	Year-to-Date thru 4th Quarter					Annual Commitment thru 4th Quarter				
	10-11	11-12	12-13	13-14	14-15	10-11	11-12	12-13	13-14	14-15
Contract Value Delivered	97%	95%	99%	84%	94%	97%	95%	99%	84%	94%

Five-Year Trend Analysis: The five-year trends for projects delivered is comparable to recent years.

Program Delivery

The table below identifies capital funding programs used to fund projects being reported as delivered.

Costs are in millions.	Contract Value Committed	Contract Value Delivered	Contract Value Delivered	Projects Committed	Projects Delivered	Projects Delivered
State Transportation Improvement Program* (STIP)	$ 83.6	$ 83.6		10	10	
Amended STIP	$ 0.5	$ 0.5		1	1	
Advanced STIP		$ 0.0			0	
Subtotal – **STIP Delivery Commitments**	$ 84.1	$ 84.1	100 %	11	11	100 %
State Highway Operations and Protection Program* (SHOPP)	$ 2,123.9	$ 1,963.9		317	313	
Amended SHOPP	$ 78.3	$ 78.3		24	24	
Advanced SHOPP		$ 42.8			5	
Subtotal – **SHOPP Delivery Commitments**	$ 2,202.2	$ 2,085.0	97 %	341	342	100 %
Minor Program Funds in Contract for Delivery (SHOPP)	$ 0.2	$ 0.2		0	0	
Minor Program (SHOPP)		$ 44.8			50	
Emergency Response – Major Damage Restoration (SHOPP)		$ 67.2			63	
Subtotal - **SHOPP – All Funds**		$ 2,197.2			455	
Partnership (Local and regional funding contributions) *	$ 408.9	$ 386.1		18	16	
Amended Partnership Program	$ 10.9	$ 10.9		1	1	
Proposition 1B Bond *	$ 16.5	$ 16.5		1	1	
Major Maintenance Program		$ 275.5			146	
Total Delivery **All Program Funds**		$ 2,970.5			630	

** Programs that are included in the Director's Contract for Delivery.*

Contract for Delivery support costs (337 projects delivered): Budget $ 484.7 million, Expended $ 425.5 million.

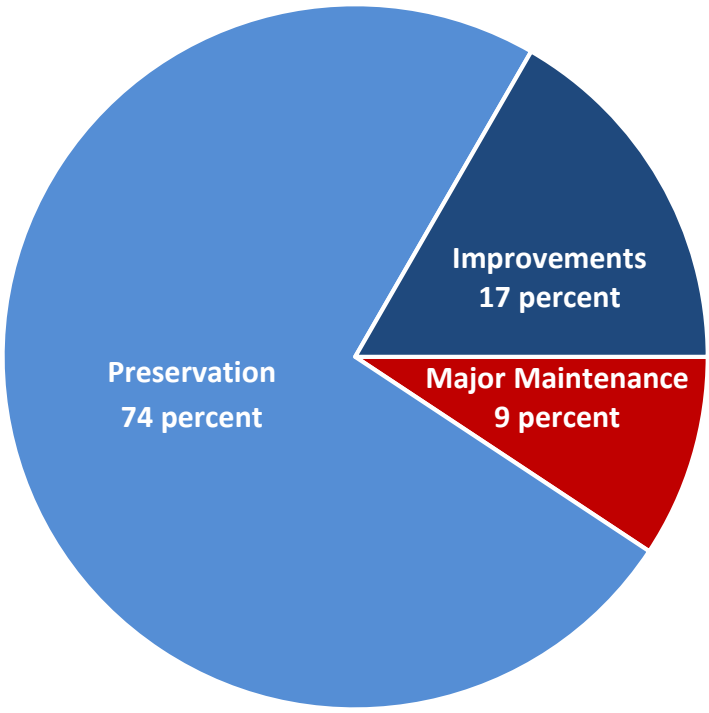
Costs are in millions.	Contract Value Committed	Contract Value Delivered	Projects Committed	Projects Delivered
Caltrans Rail: STIP Rail Capital Improvements	$ 13.0	$ 13.0	5	5

Project Delivery Outcomes

The table and chart below provides a distribution of transportation program dollars on projects that have been delivered to construction in fiscal year 2014-15. The projects include planned projects as well as additional projects for emergency response, program amendments, major maintenance program, and minor program contracts.

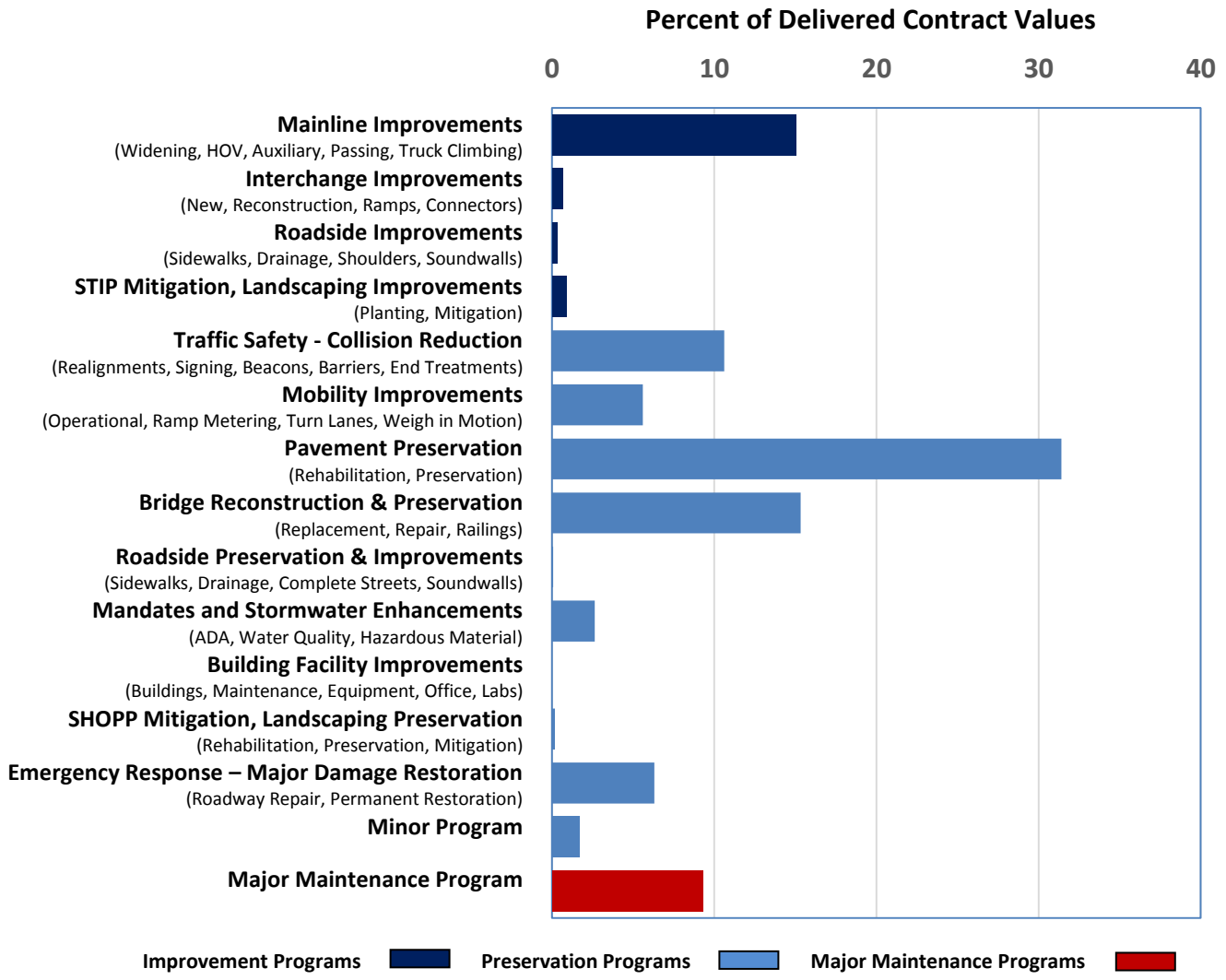
Project Delivery by Program Funding (millions)

Transportation Programs	Projects	Program Dollars	Percent Major Programs (Contract Value)	Percent All Programs (Contract Value)
Preservation Programs				
State Highway Operations & Protection Program (SHOPP)	342	$ 2,085	95	70
Emergency Response - Major Damage Restoration (SHOPP)	63	$ 67	3	2
Minor Program (SHOPP)	50	$ 45	2	2
Subtotal - Preservation Programs (SHOPP)	455	$ 2,197	100	74
Improvement Programs				
Regional Improvement Program (STIP-RIP)		$ 69	14	2
Interregional Improvement Program (STIP-IIP)		$ 13	3	1
Partnership Programs (Local & local federal funds)		$ 398	80	13
Proposition 1B Bond Programs		$ 17	3	1
Subtotal - Improvement Programs	29	$ 497	100	17
Major Maintenance Program	146	$ 276	100	9
Transportation Investments – All Programs				
Total	630	$ 2,970		100



Project Delivery Outcomes (Percent) by Contract Value

The bar chart below shows the distribution by percentage of construction contract values for categories of project improvements (outcomes) on projects delivered to construction in fiscal year 2014-15.



Projects: 630

Capital Value: $2,970 Million

Project Approval, Environmental Documents

Summary

Caltrans achieves several major project milestones throughout the year. This is important because most major projects take several years to complete. If a project misses an interim milestone, the project most likely will not be completed on schedule.

Project Approval
Project approval is also commonly referred to as "PA&ED," which is an abbreviation for the Project Approval and Environmental Document project milestone. Project approval is achieved when the project report has been signed. The project report includes the selection of the preferred project alternative and includes the project's environmental document.

In fiscal year 2014-15, we committed to deliver 258 project approvals and environmental documents. Through the end of fiscal year 2014-15, Caltrans approved a total of 225, or 87 percent of the annual commitment.

Draft Environmental Documents Completed
The project team conducts environmental studies to analyze the effect of various project alternatives. The result of the studies is an environmental document. The type of environmental document depends on the significance of the impacts.

In fiscal year 2014-15, we committed to deliver 74 draft environmental documents. Through the end of fiscal year 2014-15, Caltrans completed a total of 59, or 80 percent of the annual commitment.

Measure: Projects Approved, Environmental Documents – 4th Quarter Fiscal Year 2014-15

Fiscal Year 2014-15 Projects Approved

	Year-to-Date thru 4th Quarter			Annual Commitment		Goal
	Approved	Plan	Percent	Plan	Percent	Percent
Number of Projects Approved	**225**	**258**	**87**	**258**	**87**	**90**

Projects Approved – Five Year Trend

	Year-to-Date thru 4th Quarter					Annual Commitment thru 4th Quarter				
	10-11	11-12	12-13	13-14	14-15	10-11	11-12	12-13	13-14	14-15
Projects Approved	94%	93%	87%	88%	87%	94%	93%	87%	88%	87%

Five-Year Trend Analysis: The number of project approvals and environmental documents completed is slightly lower than recent years.

Measure: Draft Environmental Documents Completed – 4th Quarter Fiscal Year 2014-15

Fiscal Year 2014-15 Draft Environmental Documents

	Year-to-Date thru 4th Quarter			Annual Commitment		Goal
	Completed	Plan	Percent	Plan	Percent	Percent
Number of Draft Environmental Documents Completed	**59**	**74**	**80**	**74**	**80**	**75**

Environmental Documents Completed – Five Year Trend

	Year-to-Date thru 4th Quarter					Annual Commitment thru 4th Quarter				
	10-11	11-12	12-13	13-14	14-15	10-11	11-12	12-13	13-14	14-15
Draft Environmental Documents Completed	84%	70%	74%	79%	80%	84%	70%	74%	79%	80%

Five-Year Trend Analysis: The number of draft environmental documents completed is slightly higher than past years.

Right of Way

Summary

Project Certifications
Right of way certification is achieved when all needed properties have been obtained, either by easement or acquisition, and all railroad and utility constraints are cleared.

In fiscal year 2014-15, we committed to certify right of way for 335 projects. Through the end of the year, fiscal year 2014-15, Caltrans certified a total of 324, or 97 percent of the annual commitment.

Allocated Funds Committed
The Division of Right of Way prepares an annual right of way capital plan and receives an annual allocation approved by the California Transportation Commission. Caltrans reports quarterly how funds have been committed against the plan and prepares a report for the Commission after the year has closed.

For fiscal year 2014-15, the Right of Way Capital Plan outlines funding needed to keep programmed projects on track for delivery as planned. Caltrans requested and received an allocation of $163.0 million. Through the end of the year, fiscal year 2014-15, Caltrans committed $163.0 million, or 100 percent of the annual right of way allocation approved by the Commission.

Measure: Projects Certified – 4th Quarter Fiscal Year 2014-15

Fiscal Year 2014-15 Project Certifications

	Year-to-Date thru 4th Quarter			Annual Commitment		Goal
	Certified	Plan	Percent	Plan	Percent	Percent
Number of Projects Certified	**324**	**335**	**97**	**335**	**97**	**100**

Projects Certified – Five Year Trend

	Year-to-Date thru 4th Quarter					Annual Commitment thru 4th Quarter				
	10-11	11-12	12-13	13-14	14-15	10-11	11-12	12-13	13-14	14-15
Projects Certified	99%	98%	94%	96%	97%	99%	98%	94%	96%	97%

Five-Year Trend Analysis: The number of projects certified to date is comparable to recent years.

Measure: Allocated Funds Committed – 4th Quarter Fiscal Year 2014-15

Fiscal Year 2014-15 Right of Way Allocation

	Annual Commitment			Goal
	Committed	Plan	Percent	Percent
Allocated Funds Committed (millions)	**$ 163**	**$ 163**	**100**	**100**

Allocated Funds Committed - Five-Year Trend

	Annual Commitment thru 4th Quarter				
	10-11	11-12	12-13	13-14	14-15
Allocated Funds Committed	100%	100%	100%	100%	100%

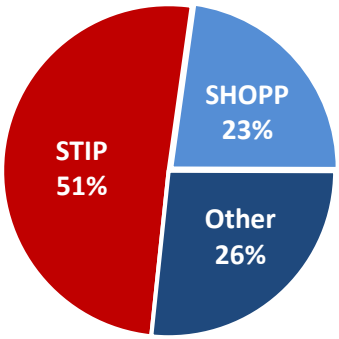
Five-Year Trend Analysis: Funds committed to date are comparable to recent years. Caltrans anticipates that we will stay within the annual allocation.

Right of Way Capital Plan

The table below shows different categories of planned right of way capital expenditures. The table shows the allocation and the actual funds committed by category.

Right of Way Capital Funding (millions)

Category	Allocated (millions)	Committed (millions)	Committed Percent Per Category	Committed Percent Of Capital Plan
Capital Projects				
State Transportation Improvement Program (STIP)	$ 94.6	$ 82.4	87	51
State Highway Operations and Protection Program (SHOPP)	$ 34.8	$ 37.2	107	23
Subtotal - Capital Projects	$ 129.4	$ 119.6	92	74
Other Categories				
Post-certification	$ 25.1	$ 31.5	125	19
Permit Fees	$ 1.0	$ 1.4	140	1
Damage to Property (Inverse)	$ 7.5	$ 10.5	140	6
Subtotal - Other Categories	$ 33.6	$ 43.4	129	26
Right of Way Funds – All Categories				
TOTAL	$ 163.0	$ 163.0	100	100



Construction

Summary

Contracts Accepted
Construction entails building improvements as shown on the contract plans. Caltrans oversees the contractors work and administers the contract by authorizing payments to the contractor for completed work. The contract is complete when the contract has been accepted by the state resident engineer.

- *In fiscal year 2014-15, we committed to accept 174 planned construction contracts. In fiscal year 2014-15, Caltrans accepted 154, or 89 percent of the annual commitment.*
- *At the end of the year, fiscal year 2014-15, Caltrans had 663 projects valued at $10.7 billion under construction.*

Measure: Planned Contracts Accepted – 4th Quarter Fiscal Year 2014-15

Fiscal Year 2014-15 Contracts Accepted

	Year-to-Date thru 4th Quarter			Annual Commitment		Goal
	Accepted	Plan	Percent	Plan	Percent	Percent
Number of Planned Contracts Accepted	**154**	**174**	**89**	**174**	**89**	**90**

Contracts Accepted – Five Year Trend

	Year-to-Date thru 4th Quarter					Annual Commitment thru 4th Quarter				
	10-11	11-12	12-13	13-14	14-15	10-11	11-12	12-13	13-14	14-15
Planned Contracts Accepted	87%	89%	83%	95%	89%	87%	89%	83%	95%	89%

Five-Year Trend Analysis: The number of contracts accepted to date is comparable to recent years. The year-end results have been below the 95 percent goal in four of the past five years. Given that the delivery percentage this past year is higher than past years, the performance goal is likely an ambitious goal. Caltrans does not control the schedule for contract acceptance, which may change due to weather, suspensions, and contractor's schedule for completing planned work.

Construction Program Quarterly Status Notes (all contracts)

Contractor Payments: $2.7 billion has been paid to contractors in fiscal year 2014-15.
Under Construction: 663 construction contracts valued at $10.7 billion are under construction.
Claims: Caltrans has 44 construction contracts in post-contract acceptance with notice of potential claims in the amount of $68 million.
Arbitration: Caltrans has 22 contracts in arbitration with claims valued at $50 million.

Post-Contract Acceptance - Claims / Arbitration – Five Quarter Trend

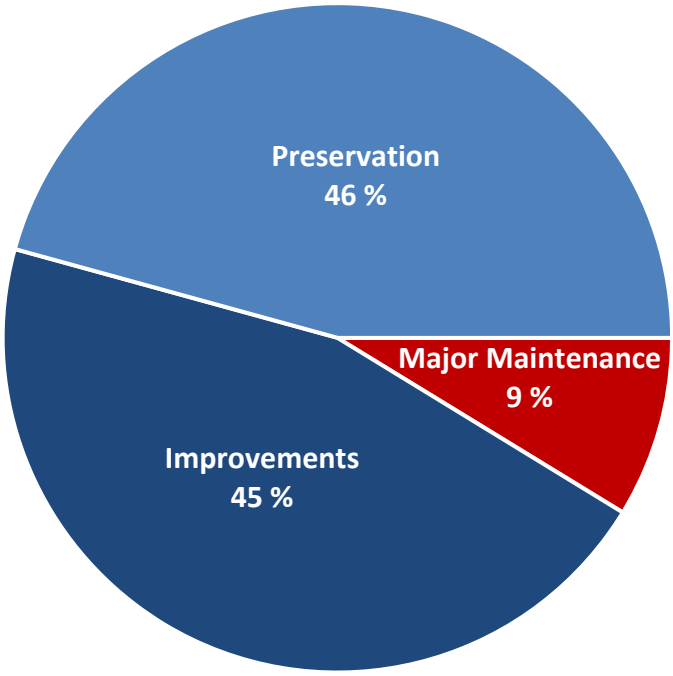
	Contracts with Notice of Potential Claims					Contracts in Arbitration				
	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr
Number of Contracts	39	45	57	61	44	18	17	17	17	22

Construction Outcomes

The table and chart below provides a distribution of transportation program dollars on projects that construction contracts have been accepted in fiscal year 2014-15. The contracts include planned projects as well as additional projects for emergency response, program amendments, major maintenance program, and minor program contracts.

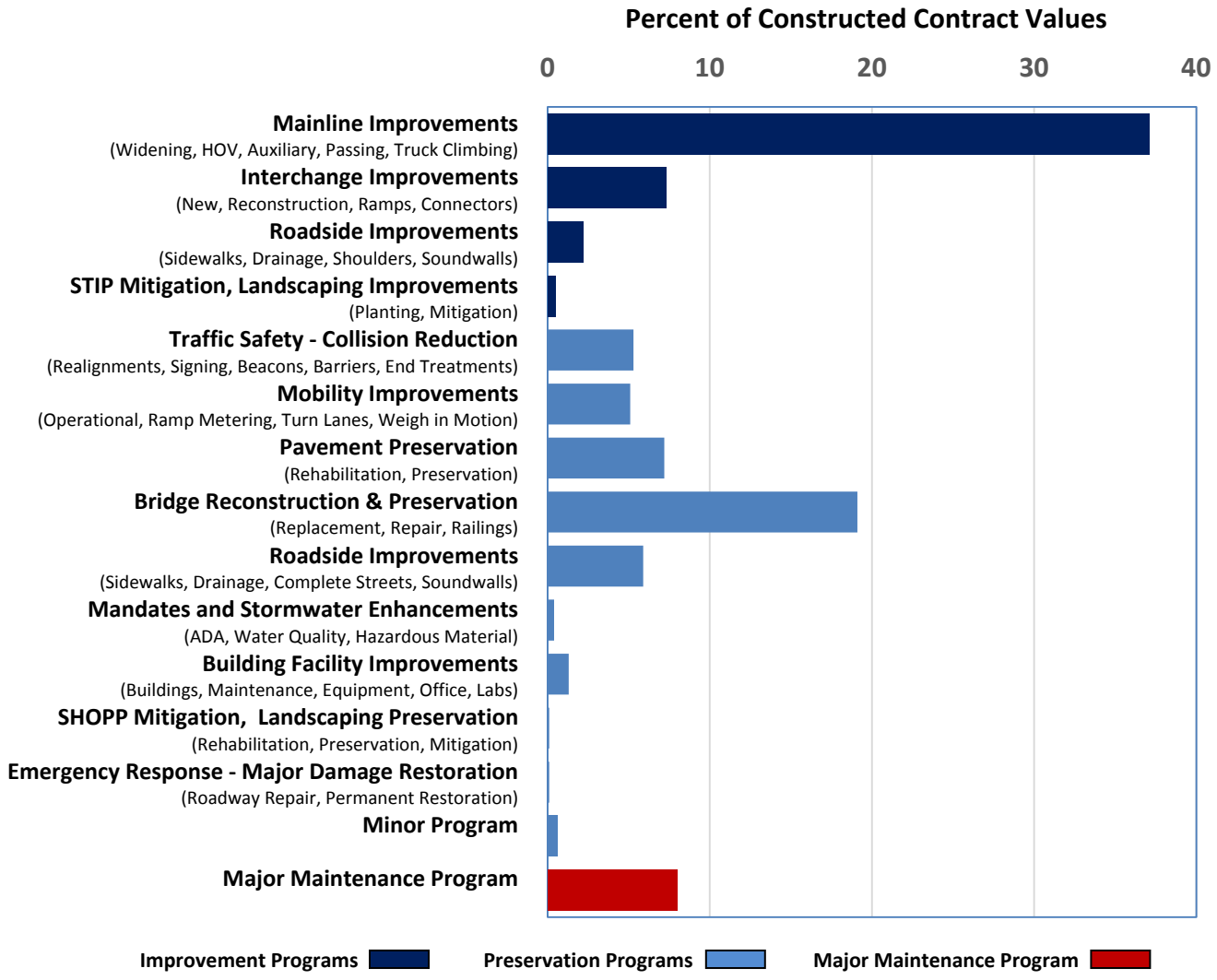
Construction Contract Value by Program Funding (millions)

Transportation Programs	Projects	Program Dollars	Percent Major Programs (Contract Value)	Percent All Programs (Contract Value)
Preservation Programs				
State Highway Operations & Protection Program (SHOPP)	171	$ 1,111	87	40
Emergency Response – Major Damage Restoration (SHOPP)	82	$ 146	11	5
Minor Program (SHOPP)	46	$ 25	2	<1
Subtotal - Preservation Programs (SHOPP)	299	$ 1,282	100	46
Improvement Programs				
Regional Improvement Program		$ 130	10	4
Interregional Improvement Program		$ 78	6	3
Partnership Programs (Local & local federal funds)		$ 421	33	15
Proposition 1B Bond Programs		$ 648	51	23
Subtotal - Improvement Programs	49	$ 1,277	100	45
Major Maintenance Program	129	$ 245	100	9
Transportation Investments – All Programs				
Total	477	$ 2,804		100



Constructed Outcomes (Percent) by Contract Value

The bar chart below shows the distribution by percentage of construction contract values for categories of project improvements (outcomes) on contracts accepted in fiscal year 2014-15.



Projects: 477

Capital Value: $2,804 Million

Closeout Costs

Summary

Program Costs
Pursuant to State Transportation Improvement Program guidelines and statutory requirements, Caltrans is reporting project closeout for state-funded programmed projects in adopted programs after project completion by comparing actual costs to final approved budgets. In consultation with Commission staff, project closeout reporting reflects projects where the construction contract was accepted two quarters ago, to capture costs after the preliminary final estimate payment to the contractor has been prepared by the state resident engineer.

Approved budget (referenced in statute Government Code 14526.6) is defined as the initial programmed budget and any subsequent budget transactions enacted to adjust the budget. Adjustments can include Commission allocated amounts, Commission delegated G-12 policy adjustments, programmed share adjustments, de-allocations, program amendments and cooperative agreement amendments.

- *During fiscal year 2014-15, Caltrans closed-out 44 State Transportation Improvement Program projects. The final approved budget for these projects was $816 million. The actual cost to complete these projects was $771 million, or 94 percent of the final approved budget.*
- *During fiscal year 2014-15, Caltrans closed-out 207 State Highway Operations and Protection Program projects. The final approved budget for these projects was $1,855 million. The actual cost to complete these projects was $1,685 million, or 91 percent of the final approved budget.*

Measure: Program Costs – 4th Quarter Fiscal Year 2014-15

Fiscal Year 2014-15 Program Costs

	Actual Cost Percent of Final Approved Budget			
	State Transportation Improvement Program		State Highway Operations and Protection Program	
	Actual	Goal	Actual	Goal
Program Costs	94	< 100	91	< 100

Program Costs - Five-Year Trend

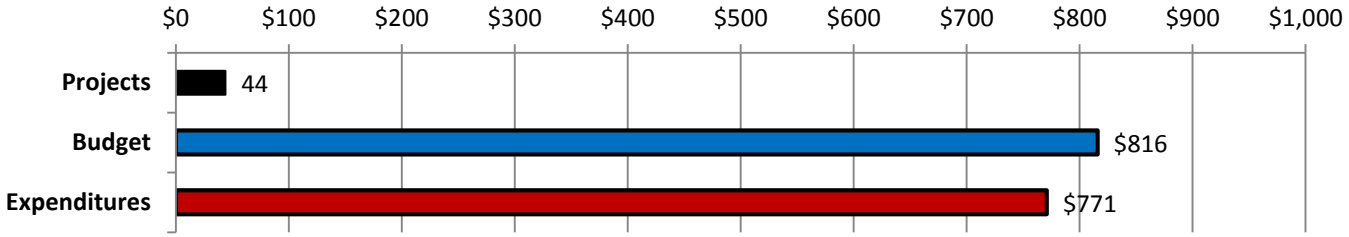
	State Transportation Improvement Program					State Highway Operations and Protection Program				
	Year-to-Date thru 4th Quarter					Year-to-Date thru 4th Quarter				
	10-11	11-12	12-13	13-14	14-15	10-11	11-12	12-13	13-14	14-15
Program Cost	93%	96%	94%	91%	94%	70%	75%	74%	80%	91%

Five Year Trend Analysis: Total program actual costs remain under the approved program's budgets.

Program Budget versus Program Expenditures (all components)

The tables below provides program closeout cost information for completed construction projects. The approved capital and support budgets and expenditures is provided for each project at construction contract acceptance (list of projects included in the appendix).

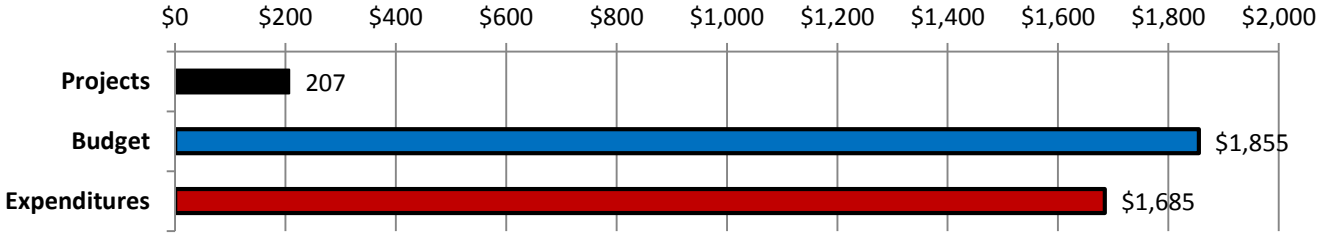
State Transportation Improvement Program[1] Closeout – Program Costs (millions)



There were a total of 44 State Transportation Improvement Program projects that were completed to date in fiscal year 2014-15. The budget for these projects was $816 million. The actual cost of the projects completed was $771 million, which is 94 percent of the approved budget.

[1] *State Transportation Improvement Program includes projects with one or more components funded from the State Transportation Improvement Program funds, and all contributor funds on all project components.*
A list of State Transportation Improvement Program closeout projects is included in the appendix, "(A) Caltrans Fiscal Year 2014-15 State Transportation Improvement Program Project Closeout".

State Highway Operations and Protection Program Closeout – Program Costs (millions)



There were a total of 207 State Highway Operations and Protection Program projects that were completed to date in fiscal year 2014-15. The budget for these projects was $1,855 million. The actual cost of the projects completed was $1,685 million which is 91 percent of the approved budget.

A list of State Highway Operations and Protection Program closeout projects is included in the appendix, "(B) Caltrans Fiscal Year 2014-15 State Highway Operations and Protection Program Project Closeout".

Commission Initial Allocation, Final Approved Costs, and Expended Costs for Allocated Construction Components

The table below provides a comparison between the Commission's initial allocation, final approved costs and expended costs for projects that had allocated construction support and construction capital components that completed construction in fiscal year 2014-2015 (Government Code 14525.5). This provides an indication of how adjustments subsequently made after the initial vote (Commission approved supplemental funds or Caltrans delegated funding authority) compare to the initial allocated amounts for each program. The costs in the tables do not include other programmed cost components, which have been provided in the program budget and expenditure charts on the previous page.

STIP[1] and SHOPP[1] Program Closeout – Construction Costs

Program	Commission Initial Construction Allocation	Final Approved Construction Costs	Expended Construction Costs
Construction Capital ($1,000's)			
STIP[1]	$ 108,428	$ 91,497	$ 85,525
CMIA[1] Bond	$ 366,994	$ 248,346	$ 235,553
SR99[1] Bond	$ 52,150	$ 45,183	$ 40,624
SLPP[1] Bond	$ 1,890	$ 983	$ 924
TCIF[1] Bond	$ 1,890	$ 983	$ 924
TLSP[1] Bond	$ 8,000	$ 4,545	$ 4,428
ARRA[1]	$ 1,332	$ 982	$ 901
SHOPP[1] Contribution	$ 26,206	$ 21,062	$ 19,704
STIP[1] Total	$ 572,500	$ 420,098	$ 394,666
SHOPP Total	$ 1,515,375	$ 1,351,977	$ 1,208,074
Construction Support[2] ($1,000's)			
STIP[1]	$ 870	$ 870	$ 966
CMIA[1] Bond	$ 48,759	$ 48,759	$ 43,805
SR99[1] Bond	$ 8,000	$ 8,000	$ 7,066
SLPP[1] Bond	$ 4,000	$ 4,000	$ 3,042
TCIF[1] Bond	$ 170	$ 170	$ 163
TLSP[1] Bond	$ 1,000	$ 1,000	$ 773
ARRA[1]	$ 167	$ 167	$ 239
STIP[1] Total	$ 62,966	$ 62,966	$ 56,054

Notes: [1] STIP - State Transportation Improvement Program; CMIA - Corridor Mobility Improvement Program; SR99 – State Route 99 SLPP – State Local Partnership Program; Corridor Program; TCIF - Trade Corridors Improvement Fund; TLSP – Traffic Light Synchronization Program; ARRA – America Recovery and Reinvestment Act; SHOPP State Highway Operations and Protection Program.

[2] Construction Support totals reported: Government Code 14525.5 requires the Commission to allocate construction support for STIP funds, and requires Caltrans to report on allocated construction components. SHOPP construction support is not allocated by the Commission, therefore it is not reported on this page. Caltrans does; however, provide the construction support budget information to the Commission by listing it in project vote information. SHOPP construction support is provided in this report in program budget information reported on the previous page, and in the appendix in support information for each project listed.

Appendix

(A) Caltrans Fiscal Year 2014-15 State Transportation Improvement Program Project Closeout

(B) Caltrans Fiscal Year 2014-15 State Highway Operations and Protection Program Project Closeout

(C) Miscellaneous Project Delivery Reporting Requirements

(D) Capital Outlay Support Budget Cost Measures

(E) Support to Capital Ratio Measures

(F) Capital Outlay Support Workload History

(A) Caltrans Fiscal Year 2014-15 State Transportation Improvement Program[1] Project Closeout

Project Description			Support ($1,000's)		Capital ($1,000's)		Program ($1,000's)	
			Approved Support Budget[2]	Actual Support Costs	Approved Capital Budget[2]	Actual Capital Costs	Approved Project Budget[2]	Actual Project Costs
[1] State Transporation Improvement Program includes projects with one or more components funded from State Transportation Improvement Program funds and all contributor funds on all project components.								
[2] Approved budget reported reflects all enacted budget transactions. Budget information includes only budget information that expenditures are reflected in State data systems. Excludes local budgets with local expenditures.								
1st Quarter								
SHA	044	Landscape	$ 144	$ 446	$ 672	$ 634	$ 816	$ 1,080
YOL	005	Tree Planting	$ 158	$ 176	$ 499	$ 498	$ 657	$ 674
SM	101	Plant Establishment	$ 33	$ 65	$ 195	$ 114	$ 228	$ 179
MON	001	Salinas IC	$ 11,373	$ 12,496	$ 20,318	$ 19,667	$ 31,691	$ 32,163
SLO	046	Replace Bridge	$ 2,485	$ 2,290	$ 4,185	$ 4,115	$ 6,670	$ 6,405
LA	138	Rte 138 Widening	$ 12,205	$ 9,691	$ 18,939	$ 14,939	$ 31,144	$ 24,630
LA	101	Widen Ramps	$ 3,683	$ 4,252	$ 5,478	$ 5,165	$ 9,161	$ 9,417
TUO	108	Sonora Bypass	$ 14,440	$ 15,827	$ 38,952	$ 38,909	$ 53,392	$ 54,736
2nd Quarter								
Nev	49	La Barr Meadows Widening	$ 11,072	$ 11,660	$ 18,947	$ 16,551	$ 30,019	$ 28,211
Ala	92	Freeway Performanc Initiative	$ 3,022	$ 2,888	$ 6,195	$ 5,597	$ 9,217	$ 8,485
SCl	880	I-880 Widening (SR 237/US 101)	$ 9,810	$ 6,106	$ 38,225	$ 31,786	$ 48,035	$ 37,892
Ker	99	99 Corridor Bridge Enhancement	$ 514	$ 638	$ 1,138	$ 1,057	$ 1,652	$ 1,695
LA	5	I-5 Western I/C Modification	$ 9,322	$ 8,974	$ 24,711	$ 24,729	$ 34,033	$ 33,703
SBd	18	Beautification and Modernization	$ 1,020	$ 1,332	$ 1,240	$ 1,187	$ 2,260	$ 2,519
Riv	91	Landscape Enhancement	$ 758	$ 715	$ 836	$ 670	$ 1,594	$ 1,385
SJ	205	Tree Planting	$ 827	$ 683	$ 806	$ 765	$ 1,633	$ 1,448
SD	5	At Grade Improvements	$ 2,309	$ 2,275	$ 2,025	$ 1,957	$ 4,334	$ 4,232
SD	805	805 Managed Lns (Palomar/54)	$ 21,154	$ 15,868	$ 34,278	$ 32,933	$ 55,432	$ 48,801
Ora	5	Camino Capistrano Interchange	$ 6,045	$ 6,589	$ 11,192	$ 10,434	$ 17,237	$ 17,023
Ora	57	NB Widen (Yorba Linda/Lambert)	$ 10,191	$ 9,526	$ 32,670	$ 32,345	$ 42,861	$ 41,871
Ora	405	Widen Ramp for Deceleration	$ 1,320	$ 1,352	$ 1,910	$ 1,748	$ 3,230	$ 3,100
3rd Quarter								
Mod	139	Install CCTV And RWIS	$ 407	$ 423	$ 316	$ 297	$ 723	$ 720
Sut	099	Construct 99/113 Interchange	$ 3,900	$ 3,990	$ 14,333	$ 12,449	$ 18,233	$ 16,439
Ed	050	Highway Planting	$ 398	$ 309	$ 367	$ 283	$ 765	$ 592
Ala	580	Install Ramp Metering And TOS	$ 4,416	$ 4,723	$ 7,256	$ 5,790	$ 11,672	$ 10,513
SCl	101	Replacement Highway Planting	$ 786	$ 660	$ 523	$ 342	$ 1,309	$ 1,002
SM	082	Install Traffic Operation System	$ 1,540	$ 1,197	$ 6,785	$ 6,572	$ 8,325	$ 7,769
Ker	099	Widen Freeway 6 To 8 Lanes	$ 6,500	$ 6,170	$ 22,872	$ 20,827	$ 29,372	$ 26,997
Ker	099	Widen Freeway 6 To 8 Lanes	$ 2,900	$ 2,279	$ 8,528	$ 7,379	$ 11,428	$ 9,658
SBd	215	Add Hov Lanes (Local Constr)	$ 10,906	$ 10,943	$ 49,704	$ 52,288	$ 60,610	$ 63,231
SBd	071	Highway Planting And Irrigation	$ 982	$ 815	$ 664	$ 556	$ 1,646	$ 1,371

(A) Caltrans Fiscal Year 2014-15 State Transportation Improvement Program[1] Project Closeout

Project Description			Support ($1,000's)		Capital ($1,000's)		Program ($1,000's)	
			Approved Support Budget[2]	Actual Support Costs	Approved Capital Budget[2]	Actual Capital Costs	Approved Project Budget[2]	Actual Project Costs
[1] State Transporation Improvement Program includes projects with one or more components funded from State Transportation Improvement Program funds and all contributor funds on all project components. [2] Approved budget reported reflects all enacted budget transactions. Budget information includes only budget information that expenditures are reflected in State data systems. Excludes local budgets with local expenditures.								
Mer	099	Paint Bridge And Slope Paving	$ 622	$ 825	$ 1,026	$ 885	$ 1,648	$ 1,710
Mer	099	Highway Planting And Irrigation	$ 718	$ 805	$ 360	$ 301	$ 1,078	$ 1,106
Mer	140	Replace Bridge, Widen Roadway	$ 10,756	$ 14,189	$ 30,474	$ 30,732	$ 41,230	$ 44,921
Ora	005	Remove And Prune Trees	$ 528	$ 591	$ 982	$ 901	$ 1,510	$ 1,492
Ora	142	Native Planting Enhancement	$ 75	$ 158	$ 450	$ 319	$ 525	$ 477
4th Quarter								
Ed	050	Storm Water Quality Imp	$ 18,194	$ 17,006	$ 20,779	$ 20,021	$ 38,973	$ 37,027
Pla	065	Construct Southbound Lanes	$ 3,600	$ 3,141	$ 19,593	$ 18,146	$ 23,193	$ 21,287
Ala	080	Widen Ramps, Ramp Metering	$ 1,492	$ 1,245	$ 7,887	$ 6,931	$ 9,379	$ 8,176
SLO	046	Widen Highway To Four Lanes	$ 16,292	$ 17,777	$ 64,454	$ 60,840	$ 80,746	$ 78,617
SLO	046	Perform Highway Planting	$ 239	$ 637	$ 346	$ 394	$ 585	$ 1,031
SB	101	Planting And Irrigation	$ 1,105	$ 988	$ 1,386	$ 1,363	$ 2,491	$ 2,351
Fre	180	New Express Highway	$ 13,496	$ 12,300	$ 28,116	$ 21,723	$ 41,612	$ 34,023
Ora	057	Widen Freeway And Bridges	$ 9,949	$ 9,648	$ 34,148	$ 30,770	$ 44,097	$ 40,418
			$ 231,686	$ 224,668	$ 584,760	$ 545,909	$ 816,446	$ 770,577

(B) Caltrans Fiscal Year 2014-15 State Highway Operations and Protection Program Project Closeout

Project Description	Support ($1,000's)		Capital ($1,000's)		Program ($1,000's)	
	Approved Support Budget[1]	Actual Support Costs	Approved Capital Budget[1]	Actual Capital Costs	Approved Project Budget[1]	Actual Project Costs
[1] Approved budget reported reflects all enacted budget transactions.						
1st Quarter						
HUM 255 Rehab Bridge	$ 625	$ 292	$ 2,005	$ 1,781	$ 2,630	$ 2,074
HUM 096 Repair Slipout	$ 800	$ 1,071	$ 5,110	$ 5,099	$ 5,910	$ 6,171
LAK 020 Damage Fires	$ 150	$ 133	$ 1,210	$ 528	$ 1,360	$ 662
HUM 036 Repair Culvert	$ 150	$ 96	$ 410	$ 199	$ 560	$ 296
MEN 001 Bridge, Fish Weir	$ 2,791	$ 3,746	$ 4,720	$ 4,630	$ 7,511	$ 8,375
LAK 053 Widen Roadway	$ 5,534	$ 7,285	$ 14,370	$ 13,226	$ 19,904	$ 20,511
PLU 089 Bridge Slab	$ 2,191	$ 2,325	$ 3,071	$ 2,829	$ 5,262	$ 5,154
SAC 012 Rehab Pavement	$ 1,550	$ 1,310	$ 4,491	$ 4,000	$ 6,041	$ 5,309
SCL 082 Signals Ramps	$ 640	$ 846	$ 704	$ 694	$ 1,344	$ 1,540
ALA 084 Erosion Control	$ 170	$ 117	$ 201	$ 146	$ 371	$ 263
SON 012 Traffic Signal	$ 3,027	$ 4,405	$ 3,987	$ 4,413	$ 7,014	$ 8,818
ALA 880 Roadway Rehab	$ 4,860	$ 6,637	$ 16,225	$ 14,733	$ 21,085	$ 21,370
SCL 009 Shoulder Widen	$ 1,302	$ 969	$ 1,052	$ 638	$ 2,354	$ 1,607
ALA 080 Bikeway	$ 2,095	$ 2,773	$ 2,477	$ 2,044	$ 4,572	$ 4,816
SM 101 Ramp Metering	$ 2,903	$ 5,126	$ 11,505	$ 10,568	$ 14,408	$ 15,694
ALA 880 Copper Wires	$ 300	$ 360	$ 1,000	$ 911	$ 1,300	$ 1,271
ALA 680 Repair Pavement	$ 875	$ 161	$ 3,500	$ 2,574	$ 4,375	$ 2,735
SCL 880 Eletrical Systems	$ 400	$ 366	$ 1,500	$ 1,500	$ 1,900	$ 1,866
NAP 029 Slope And Culverts	$ 2,831	$ 3,268	$ 3,070	$ 2,589	$ 5,901	$ 5,857
SON 001 Culvert,Rock Slope	$ 440	$ 483	$ 425	$ 301	$ 865	$ 785
MON 001 Bridge Rock Shed	$ 10,854	$ 11,095	$ 34,234	$ 33,312	$ 45,088	$ 44,406
MON 001 Soldier Pile	$ 1,363	$ 493	$ 5,505	$ 5,439	$ 6,868	$ 5,932
KER 058 Replace Bridge	$ 1,125	$ 1,571	$ 1,871	$ 1,610	$ 2,996	$ 3,181
KER 099 Replace Pavement	$ 5,104	$ 6,321	$ 91,789	$ 80,562	$ 96,893	$ 86,883
KIN 041 Rehab Roadway	$ 6,916	$ 7,081	$ 11,627	$ 9,856	$ 18,543	$ 16,936
LA 005 Median Barrier	$ 2,668	$ 4,283	$ 5,349	$ 5,297	$ 8,017	$ 9,580
LA 005 Restore Roadway	$ 5,300	$ 5,886	$ 11,520	$ 10,540	$ 16,820	$ 16,426
LA 210 Flume Liner	$ 495	$ 545	$ 586	$ 532	$ 1,081	$ 1,078
LA 001 Bridge Preservation	$ 1,425	$ 1,442	$ 3,016	$ 2,728	$ 4,441	$ 4,170
LA 605 Bridge Decks	$ 680	$ 960	$ 2,428	$ 2,297	$ 3,108	$ 3,257
RIV 074 Widen Intersection	$ 1,145	$ 1,723	$ 1,316	$ 1,006	$ 2,461	$ 2,729
RIV 086 Median Cross Over	$ 210	$ 290	$ 591	$ 536	$ 801	$ 825
SBD 040 Bridge Abutment	$ 165	$ 51	$ 500	$ -	$ 665	$ 51
AMA 012 Ada Curb Ramps	$ 1,411	$ 861	$ 195	$ 172	$ 1,606	$ 1,033
SD 075 Paint Bridge	$ 644	$ 1,389	$ 2,835	$ 2,470	$ 3,479	$ 3,859

(B) Caltrans Fiscal Year 2014-15 State Highway Operations and Protection Program Project Closeout

Project Description			Support ($1,000's)		Capital ($1,000's)		Program ($1,000's)	
			Approved Support Budget[1]	Actual Support Costs	Approved Capital Budget[1]	Actual Capital Costs	Approved Project Budget[1]	Actual Project Costs
2nd Quarter								
HUM	169	Repair Slipout	$ 320	$ 76	$ 614	$ 618	$ 934	$ 694
HUM	299	Storm Damage Repair Slide	$ 1,080	$ 421	$ 3,100	$ 2,994	$ 4,180	$ 3,416
DN	101	Repair Slipout	$ 130	$ 97	$ 320	$ 311	$ 450	$ 408
HUM	000	Metal Guard Railing	$ 838	$ 937	$ 2,619	$ 1,891	$ 3,457	$ 2,829
HUM	299	Repair Slide Drainage	$ 3,318	$ 3,795	$ 5,733	$ 5,295	$ 9,051	$ 9,090
ED	050	Cold Plane Hma Overlay	$ 3,690	$ 4,068	$ 3,839	$ 3,252	$ 7,529	$ 7,320
BUT	070	Retrofit Members, Bridge	$ 3,600	$ 3,310	$ 7,101	$ 6,369	$ 10,701	$ 9,678
ED	193	Improve Superelevation	$ 855	$ 761	$ 662	$ 305	$ 1,517	$ 1,066
PLA	080	Reconstruct Roadway	$ 27,282	$ 21,540	$ 105,161	$ 95,990	$ 132,443	$ 117,529
BUT	070	Pavement Rehabilitation	$ 1,825	$ 1,245	$ 7,526	$ 6,406	$ 9,351	$ 7,651
SOL	080	Widen Bridge, Drainage	$ 2,698	$ 3,886	$ 1,815	$ 1,465	$ 4,513	$ 5,351
CC	580	Bridge Deck Replacement	$ 6,200	$ 8,771	$ 19,279	$ 16,393	$ 25,479	$ 25,164
SON	037	Reconstruct Finger Joint	$ 120	$ 173	$ 350	$ 346	$ 470	$ 519
ALA	880	Repair Damaged Electrical Syste	$ 400	$ 289	$ 1,500	$ 1,466	$ 1,900	$ 1,755
SM	084	Construct Tieback Wall	$ 736	$ 1,399	$ 1,561	$ 1,383	$ 2,297	$ 2,782
SLO	101	Highway Rehabilitation	$ 10,300	$ 12,824	$ 40,085	$ 37,321	$ 50,385	$ 50,145
MON	101	Install Median Barrier	$ 2,118	$ 2,525	$ 7,138	$ 7,079	$ 9,256	$ 9,603
SB	246	Left-Turn Channelization	$ 576	$ 650	$ 825	$ 741	$ 1,401	$ 1,391
SCR	017	Stabilize Roadway Drainage	$ 140	$ 451	$ 370	$ 133	$ 510	$ 584
MON	001	Clear Roadway Of Slide	$ 248	$ 378	$ 1,500	$ 1,268	$ 1,748	$ 1,646
FRE	033	Retrofit Bridges With Composite	$ 1,399	$ 3,011	$ 3,854	$ 3,277	$ 5,253	$ 6,287
MAD	099	Pavement Rehabilitation	$ 3,869	$ 4,626	$ 33,020	$ 29,024	$ 36,889	$ 33,650
TUL	137	Install Guardrail, Extend Culvert	$ 2,082	$ 1,920	$ 1,196	$ 997	$ 3,278	$ 2,917
KER	005	Replace Ac Panels With Pcc	$ 735	$ 571	$ 1,601	$ 1,340	$ 2,336	$ 1,911
LA	110	Construct Auxiliary Lanes	$ 20,066	$ 19,182	$ 31,287	$ 26,567	$ 51,353	$ 45,749
LA	014	Slab Replacement Grinding Hm	$ 5,520	$ 4,431	$ 34,526	$ 30,963	$ 40,046	$ 35,393
LA	014	Plane Place Hma Replace Slabs	$ 3,120	$ 2,409	$ 9,803	$ 8,805	$ 12,923	$ 11,213
LA	005	Updgrade Mbgr Crash Cushions	$ 1,630	$ 1,205	$ 1,349	$ 1,198	$ 2,979	$ 2,403
LA	005	Install And Upgrade Signal	$ 373	$ 785	$ 516	$ 493	$ 889	$ 1,278
LA	091	Highway Planting And Irrigation	$ 918	$ 577	$ 1,387	$ 1,276	$ 2,305	$ 1,853
LA	710	Construct Rock Blanket,Inlets	$ 736	$ 1,107	$ 724	$ 553	$ 1,460	$ 1,660
LA	010	Reconst Slope Retain Wall	$ 563	$ 675	$ 279	$ 249	$ 842	$ 923
VEN	118	Replace Failed Modular Expansi	$ 348	$ 291	$ 995	$ 934	$ 1,343	$ 1,224
LA	001	Construct Curb Ramps Sidewalk	$ 624	$ 521	$ 595	$ 172	$ 1,219	$ 693
VEN	001	Repr Fire Damagepost-Fire Rock	$ 370	$ 572	$ 4,720	$ 3,965	$ 5,090	$ 4,537
VEN	033	Remove Large Rocks	$ 150	$ 104	$ 750	$ 2	$ 900	$ 106
RIV	074	Install Traffic Signals	$ 652	$ 865	$ 353	$ 272	$ 1,005	$ 1,136
RIV	074	Install Metal Beam Guardrail	$ 953	$ 836	$ 568	$ 528	$ 1,521	$ 1,364
SBD	015	Install Traffic Signals Curb Ramp	$ 676	$ 738	$ 311	$ 259	$ 987	$ 997
SBD	040	Bridge Siesmic Retrofit	$ 1,094	$ 646	$ 259	$ 172	$ 1,353	$ 818
RIV	010	Construct Concrete Barrier	$ 1,222	$ 1,215	$ 3,076	$ 2,772	$ 4,298	$ 3,987
SBD	040	Place Rock Slope Protection	$ 807	$ 633	$ 414	$ 323	$ 1,221	$ 956
SJ	005	Install Traffic Monitoring Station	$ 1,899	$ 2,264	$ 2,514	$ 2,037	$ 4,413	$ 4,301
STA	099	Rehabilitate Concrete Pavement	$ 4,571	$ 5,118	$ 85,564	$ 82,428	$ 90,135	$ 87,546

(B) Caltrans Fiscal Year 2014-15 State Highway Operations and Protection Program Project Closeout

Project Description			Support ($1,000's)		Capital ($1,000's)		Program ($1,000's)	
			Approved Support Budget[1]	Actual Support Costs	Approved Capital Budget[1]	Actual Capital Costs	Approved Project Budget[1]	Actual Project Costs
AMA	088	Roadway Rehabilitation	$ 7,615	$ 11,134	$ 18,056	$ 14,196	$ 25,671	$ 25,330
SD	052	Pavement Rehabilitation	$ 3,231	$ 3,726	$ 16,659	$ 13,217	$ 19,890	$ 16,943
SD	056	Install Cctv, Ramp Metering	$ 3,102	$ 3,345	$ 6,139	$ 5,357	$ 9,241	$ 8,702
SD	005	Culvert Rehabilitation	$ 2,783	$ 2,152	$ 2,630	$ 1,620	$ 5,413	$ 3,771
IMP	098	Pavement Rehabilitation	$ 2,160	$ 1,310	$ 3,781	$ 3,527	$ 5,941	$ 4,836
SD	094	Reconstruct MBGR	$ 584	$ 491	$ 742	$ 732	$ 1,326	$ 1,224
SD	008	Concrete Barrier And Mbgr	$ 1,087	$ 1,300	$ 2,552	$ 2,444	$ 3,639	$ 3,743
ORA	091	Replace Concrete Pavement	$ 9,536	$ 6,847	$ 19,876	$ 17,324	$ 29,412	$ 24,171
ORA	057	Construct Concrete Barrier	$ 138	$ 74	$ 513	$ 513	$ 651	$ 587
ORA	005	Modify Traffic Signals Left Tn Ln	$ 775	$ 758	$ 477	$ 425	$ 1,252	$ 1,183
		3rd Quarter						
HUM	101	Install Median Barrier	$ 706	$ 703	$ 1,195	$ 1,007	$ 1,901	$ 1,709
MEN	101	Install High Friction Surface Trea	$ 670	$ 264	$ 837	$ 600	$ 1,507	$ 864
HUM	101	Seismic Retrofit	$ 3,557	$ 2,240	$ 2,337	$ 2,115	$ 5,894	$ 4,355
TRI	299	Rail Upgrade, Widen	$ 1,173	$ 1,044	$ 1,114	$ 1,009	$ 2,287	$ 2,053
TRI	299	Repair Slides.	$ 286	$ 335	$ 263	$ 222	$ 549	$ 557
SHA	005	Improve Roadway Drainage.	$ 664	$ 614	$ 1,717	$ 810	$ 2,381	$ 1,424
ED	050	Hma Concrete Sufacing And Dra	$ 6,549	$ 6,979	$ 5,602	$ 4,747	$ 12,151	$ 11,726
ED	049	Left Turn Channelization	$ 760	$ 1,097	$ 1,163	$ 1,052	$ 1,923	$ 2,149
COL	020	Hma Overlay	$ 755	$ 608	$ 1,672	$ 198	$ 2,427	$ 806
PLA	049	Install Metal Beam Guard Rail A	$ 590	$ 1,120	$ 1,501	$ 1,432	$ 2,091	$ 2,552
VAR	VAR	Replace Toilets, Urinals, Faucets	$ 210	$ 64	$ 400	$ 94	$ 610	$ 158
ALA	880	Remove Existing Median Double	$ 1,015	$ 2,092	$ 3,941	$ 3,356	$ 4,956	$ 5,448
SM	035	Construct Soldier Beam Retainin	$ 812	$ 1,141	$ 746	$ 588	$ 1,558	$ 1,729
MRN	001	Replace Culvert And Install Rock	$ 1,730	$ 1,405	$ 659	$ 279	$ 2,389	$ 1,684
SCL	017	Construct Headwall And Soil Wa	$ 575	$ 1,792	$ 539	$ 428	$ 1,114	$ 2,220
SON	001	Install 1-Way Traffic Signalizatio	$ 125	$ 144	$ 500	$ 413	$ 625	$ 557
SF	001	Repair Damaged TOS	$ 750	$ 799	$ 3,000	$ 628	$ 3,750	$ 1,427
CC	024	Install Downdrain, Grading And	$ 750	$ 1,411	$ 624	$ 497	$ 1,374	$ 1,909
SB	154	Construct Rural Roundabout	$ 2,153	$ 2,027	$ 3,978	$ 3,718	$ 6,131	$ 5,745
SB	101	Construct Median Barrier And R	$ 1,310	$ 673	$ 1,039	$ 912	$ 2,349	$ 1,585
SB	101	Place High Friction Surface Treat	$ 309	$ 147	$ 358	$ 291	$ 667	$ 439
SB	101	Restore Highway Planting	$ 1,562	$ 1,203	$ 1,915	$ 1,741	$ 3,477	$ 2,943
MAD	099	Construct Median Barrier	$ 864	$ 1,024	$ 2,114	$ 1,657	$ 2,978	$ 2,681
LA	010	Const Maintenance Vehicle Pull	$ 750	$ 508	$ 1,217	$ 1,131	$ 1,967	$ 1,639
VEN	150	Construct Rock Weir System	$ 1,635	$ 2,557	$ 4,922	$ 4,496	$ 6,557	$ 7,053
LA	210	Install Traffic Signal,Ada Ramps	$ 348	$ 446	$ 345	$ 305	$ 693	$ 751
LA	002	Repair Fire Damaged Bridge/Co	$ 6,300	$ 1,282	$ 6,847	$ 4,320	$ 13,147	$ 5,602
LA	1	Remove Replace Failed Bridge D	$ 120	$ 192	$ 600	$ 288	$ 720	$ 481
SBD	018	Left Turn In Both Directions, Wi	$ 1,451	$ 2,316	$ 1,157	$ 733	$ 2,608	$ 3,049
SBD	040	Hma Overlay And Mbgr	$ 3,370	$ 3,089	$ 20,723	$ 18,502	$ 24,093	$ 21,591
RIV	010	Build A New Admistrative Bldg	$ 1,612	$ 2,648	$ 2,376	$ 2,298	$ 3,988	$ 4,946
SBD	038	Add Left Turn Pockets	$ 1,132	$ 1,304	$ 925	$ 607	$ 2,057	$ 1,911
RIV	015	Replace Existing Guardrail With	$ 1,248	$ 1,101	$ 2,285	$ 2,015	$ 3,533	$ 3,116
SBD	002	Modify Levee And Place Rip Rap	$ 405	$ 404	$ 247	$ 199	$ 652	$ 603

(B) Caltrans Fiscal Year 2014-15 State Highway Operations and Protection Program Project Closeout

Project Description			Support ($1,000's)		Capital ($1,000's)		Program ($1,000's)	
			Approved Support Budget[1]	Actual Support Costs	Approved Capital Budget[1]	Actual Capital Costs	Approved Project Budget[1]	Actual Project Costs
SBD	062	Remove Debris, Repair Damage	$ 150	$ 103	$ 1,250	$ 281	$ 1,400	$ 384
RIV	010	Repair Damaged Pavement, Rer	$ 95	$ 73	$ 400	$ 400	$ 495	$ 473
INY	395	Cold In-Place Recycle Capm	$ 780	$ 787	$ 5,617	$ 4,705	$ 6,397	$ 5,492
MNO	395	Cold Inplace Pavement, Hma Ov	$ 441	$ 415	$ 2,492	$ 2,342	$ 2,933	$ 2,757
MER	005	Remodel Weigh Station And Rar	$ 1,279	$ 2,091	$ 1,084	$ 952	$ 2,363	$ 3,043
STA	004	Shoulder Widening With Rumbl	$ 977	$ 761	$ 381	$ 336	$ 1,358	$ 1,097
SJ	026	Curve Realignmentreplace Bridg	$ 2,429	$ 2,133	$ 3,341	$ 2,595	$ 5,770	$ 4,727
SD	005	Clean And Treat Bridge Deck Wi	$ 777	$ 1,357	$ 2,371	$ 2,213	$ 3,148	$ 3,569
ORA	022	Existing Systems To Reduce	$ 185	$ 170	$ 617	$ 561	$ 802	$ 730
		4TH Quarter						
MEN	001	Construct Mbgr Centerline Rum	$ 1,358	$ 1,754	$ 2,107	$ 1,775	$ 3,465	$ 3,529
DN	101	Repair Storm Damage - Repair S	$ 150	$ 173	$ 1,010	$ 965	$ 1,160	$ 1,138
HUM	299	Repair Slipout	$ 270	$ 194	$ 810	$ 790	$ 1,080	$ 983
MEN	001	Widen Road And Replace Bridge	$ 9,220	$ 10,654	$ 12,138	$ 11,079	$ 21,358	$ 21,732
MEN	020	Rehabilitate Drainage	$ 3,520	$ 3,960	$ 1,642	$ 1,377	$ 5,162	$ 5,337
SIS	096	Emregency Project	$ 400	$ 477	$ 755	$ 603	$ 1,155	$ 1,080
SIS	097	Construct Vista Points	$ 175	$ 155	$ 1,340	$ 1,078	$ 1,515	$ 1,233
TRI	299	Douglas City Capm	$ 1,600	$ 1,123	$ 5,882	$ 2,194	$ 7,482	$ 3,317
PLU	070	Perm. Restoration	$ 470	$ 507	$ 1,232	$ 1,026	$ 1,702	$ 1,533
SHA	299	Increase Curve Radii, Widen Sho	$ 5,034	$ 4,941	$ 13,769	$ 12,824	$ 18,803	$ 17,764
SHA	910	Bridge Maintenance	$ 1,180	$ 1,333	$ 4,202	$ 3,829	$ 5,382	$ 5,162
SHA	299	Curve Improvement With Hma (	$ 2,960	$ 3,885	$ 13,569	$ 11,919	$ 16,529	$ 15,803
SHA	VAR	Extend Reclaimed Water System	$ 145	$ 222	$ 765	$ 759	$ 910	$ 982
ED	050	Retrofit Columns And Add Braci	$ 1,607	$ 1,518	$ 1,601	$ 1,363	$ 3,208	$ 2,881
SAC	050	Bridge Widening, Pcc Overlay	$ 9,520	$ 7,929	$ 29,070	$ 28,111	$ 38,590	$ 36,041
PLA	089	Install New Dis And Pipe And Ra	$ 1,000	$ 1,495	$ 2,380	$ 1,894	$ 3,380	$ 3,389
ED	050	Storm Water Quality Improveme	$ 8,246	$ 8,267	$ 6,929	$ 6,344	$ 15,175	$ 14,611
VAR	VAR	Modify Irrigation Systems And In	$ 135	$ 59	$ 500	$ 244	$ 635	$ 303
MRN	001	Install Slope Protection And Hig	$ 428	$ 987	$ 413	$ 344	$ 841	$ 1,331
CC	004	Upgrade Barriers (Mbgr Concre	$ 3,085	$ 3,520	$ 8,209	$ 5,827	$ 11,294	$ 9,347
ALA	013	Stabilize Slope	$ 1,180	$ 2,724	$ 7,700	$ 6,743	$ 8,880	$ 9,467
VAR	000	Construct Wheelchair Ramps	$ 3,500	$ 2,678	$ 2,138	$ 965	$ 5,638	$ 3,643
ALA	580	Rehabilitate Bridge Deck	$ 25,865	$ 5,345	$ 6,883	$ 2,789	$ 32,748	$ 8,134
MRN	001	Replace Culverts And Upgrade D	$ 550	$ 762	$ 820	$ 235	$ 1,370	$ 997
SOL	080	Widen Bridge, Construct Drainag	$ 2,698	$ 3,887	$ 1,815	$ 1,473	$ 4,513	$ 5,360
SCL	101	Reconstruct Slope With Geogrid	$ 317	$ 1,155	$ 261	$ 415	$ 578	$ 1,570
NAP	128	Replace Bridge Abutment	$ 150	$ 179	$ 500	$ 50	$ 650	$ 229
SOL	080	Replace Exist Conc Pvmt And Hm	$ 3,009	$ 6,486	$ 46,737	$ 43,050	$ 49,746	$ 49,537
SM	001	Erosion Control	$ 632	$ 783	$ 517	$ 571	$ 1,149	$ 1,354
SF	280	Rehabilitate Bridge Deck	$ 4,872	$ 4,498	$ 9,243	$ 7,819	$ 14,115	$ 12,317
SM	092	Construct Rsp And Install Draina	$ 590	$ 640	$ 286	$ 149	$ 876	$ 789
SON	001	Construct Retaining Wall	$ 1,525	$ 2,233	$ 5,700	$ 3,898	$ 7,225	$ 6,131
ALA	024	Repair Traffic Operation System	$ 1,000	$ 977	$ 4,000	$ 3,979	$ 5,000	$ 4,956
CC	024	Repair Pavement & Bridge	$ 450	$ 527	$ 1,900	$ 1,466	$ 2,350	$ 1,993
SM	035	Tangent Wall Embankment Rep	$ 460	$ 1,373	$ 642	$ 571	$ 1,102	$ 1,944

(B) Caltrans Fiscal Year 2014-15 State Highway Operations and Protection Program Project Closeout

Project Description			Support ($1,000's)		Capital ($1,000's)		Program ($1,000's)	
			Approved Support Budget[1]	Actual Support Costs	Approved Capital Budget[1]	Actual Capital Costs	Approved Project Budget[1]	Actual Project Costs
SON	037	Repair Wing Walls	$ 380	$ 233	$ 1,030	$ 471	$ 1,410	$ 704
ALA	580	Install Metal Beam Guardrail	$ 1,632	$ 1,854	$ 2,966	$ 2,684	$ 4,598	$ 4,537
SCR	017	Construct Retaining Wall	$ 1,225	$ 876	$ 3,500	$ 2,923	$ 4,725	$ 3,799
SLO	166	Construct New Bridge	$ 2,877	$ 1,807	$ 2,492	$ 2,309	$ 5,369	$ 4,116
MON	001	Install Rumble Strip	$ 592	$ 308	$ 109	$ 61	$ 701	$ 369
KIN	198	Overlay Capm	$ 2,112	$ 1,052	$ 4,181	$ 3,472	$ 6,293	$ 4,524
KER	099	Construct Rumble Strip	$ 689	$ 688	$ 945	$ 858	$ 1,634	$ 1,546
FRE	000	Repair Damage	$ 1,510	$ 1,475	$ 5,907	$ 5,335	$ 7,417	$ 6,810
FRE	000	Repair Damage	$ 1,510	$ 1,582	$ 6,584	$ 5,800	$ 8,094	$ 7,381
FRE	180	Braided Ramps	$ 4,000	$ 7,185	$ 51,000	$ 46,904	$ 55,000	$ 54,089
LA	005	Upgrade Weigh Station	$ 1,011	$ 1,629	$ 2,321	$ 2,189	$ 3,332	$ 3,819
LA	134	Install Mbgr	$ 2,210	$ 2,246	$ 3,946	$ 3,612	$ 6,156	$ 5,859
LA	210	Replace Mbgr To Concrete Barri	$ 736	$ 1,148	$ 863	$ 880	$ 1,599	$ 2,028
LA	005	Repl Failed Modular Bd Expansi	$ 360	$ 318	$ 1,200	$ 175	$ 1,560	$ 492
VEN	033	Repair Storm Damaged Hwy-Sup	$ 888	$ 553	$ 3,400	$ 2,556	$ 4,288	$ 3,110
LA	134	Bridge Rail Replacement	$ 2,475	$ 1,888	$ 2,978	$ 2,842	$ 5,453	$ 4,730
VEN	001	Structure (Seawall) Restoration	$ 4,577	$ 5,216	$ 14,405	$ 13,316	$ 18,982	$ 18,531
RIV	062	Pavement Rehab Including Shou	$ 4,120	$ 3,295	$ 11,760	$ 11,395	$ 15,880	$ 14,690
RIV	060	Upgrade Pedestrian Facilities 29	$ 980	$ 1,123	$ 317	$ 211	$ 1,297	$ 1,334
SBD	040	Mill,Overlay Ac, Mbgr, Dikes,Dra	$ 4,240	$ 2,483	$ 27,166	$ 23,322	$ 31,406	$ 25,806
SBD	095	Repair Damaged Roadway	$ 220	$ 90	$ 1,500	$ 1,214	$ 1,720	$ 1,304
SBD	015	Pavement Rehabilitation, Slab R	$ 15,030	$ 11,946	$ 86,200	$ 76,926	$ 101,230	$ 88,872
SBD	395	Widen Median Shoulder,Rumbl	$ 11,100	$ 8,391	$ 33,185	$ 28,430	$ 44,285	$ 36,821
SBD	395	Remove And Replace Asphalt Co	$ 237	$ 278	$ 1,950	$ 1,900	$ 2,187	$ 2,178
RIV	010	Pcc Grinding And Slabs Replacer	$ 1,292	$ 1,546	$ 4,513	$ 3,835	$ 5,805	$ 5,381
SBD	040	Mill Overlay The Existing Asphal	$ 3,520	$ 2,732	$ 19,703	$ 16,862	$ 23,223	$ 19,593
SBD	018	Install Centerline Ground-In Run	$ 458	$ 437	$ 249	$ 147	$ 707	$ 584
SBD	095	Construct Sidewalks 18 Crub Ra	$ 689	$ 1,006	$ 456	$ 433	$ 1,145	$ 1,439
SBD	010	Widen Ramps, Install Ramp Met	$ 5,150	$ 5,528	$ 8,554	$ 7,796	$ 13,704	$ 13,324
MNO		Cap M	$ 631	$ 426	$ 3,825	$ 3,059	$ 4,456	$ 3,485
MNO		Curve Correction/Collision Sever	$ 1,220	$ 915	$ 1,157	$ 971	$ 2,377	$ 1,886
SJ		Install High Friction Surface Trea	$ 341	$ 217	$ 477	$ 389	$ 818	$ 606
AMA		Highway Rail Grade Crossing Wa	$ 325	$ 218	$ 433	$ 223	$ 758	$ 441
SD		Pavement Rehabilitation	$ 4,513	$ 3,076	$ 13,429	$ 12,796	$ 17,942	$ 15,872
SD		Install Outer Separation Barrier	$ 957	$ 1,068	$ 1,662	$ 1,440	$ 2,619	$ 2,508
SD		Upgrade Electrical And Modify C	$ 659	$ 812	$ 425	$ 408	$ 1,084	$ 1,220
SD		Median Barrier	$ 984	$ 903	$ 3,397	$ 3,311	$ 4,381	$ 4,214
ORA		Widen Road And Bridge, Place H	$ 5,247	$ 5,273	$ 6,192	$ 4,724	$ 11,439	$ 9,997
ORA		Upgrade Toilets, Urinals And Sh	$ 210	$ 164	$ 400	$ 92	$ 610	$ 256
ORA		Planting And Irrigation	$ 1,041	$ 1,248	$ 2,034	$ 1,865	$ 3,075	$ 3,113
			$ 467,609	$ 462,086	$ 1,387,258	$ 1,222,465	$ 1,854,867	$ 1,684,550

(C) Miscellaneous Project Delivery Reporting Requirements

The purpose of this section of the report is to outline statutory requirements and audit recommendations for project delivery information on programmed highway projects for which the Caltrans was fully responsible for the development and construction management.

Statutory Reporting Requirements

Annual Project Delivery Report to the Governor and Legislature:

> (*i*) **Government Code section 14525.5:** *"The department shall submit a project delivery report to the Governor and the Legislature not later than November 15 of each year."*
> (*ii*) Government Code section 14525.6 (c): *"The department shall develop, in consultation with the Commission, a plain language performance report to increase transparency and accountability of the state highway operation and protection program."*

This Project Delivery Report fulfills these requirements. The report has been revised to make it a plain language report.

State Transportation Improvement Program: "Cost of Project Development"

> (*iii*) **Government Code section 14524.16:** *"The department shall, as part of the reports required pursuant to Sections 14524.16 and 14525.5 report on its costs of project development for all state transportation improvement program projects awarded during the previous fiscal year."*

According to the Government Code, the average cost of project development for the report year and two previous years shall not exceed a 20 percent target. The cost of project development for programmed State Transportation Improvement Program projects in FY 2014-15 was 15.8 percent of the contract allotments and right of way capital for those projects. The three-year average cost of project development for FY's 2012-13 through 2014-15 was 16.3 percent.

FY's	Cost of Project Development
FY 2012-13	17.5 %
FY 2013-14	15.4 %
FY 2014-15	15.8 %
3 Yr Average	16.3 %

State Transportation Improvement Program: "Cost of Construction"

> (*iv*) **Government Code section 14525.6:** *"... the department shall, as part of the project delivery report required pursuant to Section 14525.5, report on the difference between the original allocation made by the commission and the actual construction capital and support costs at project close for all State Transportation Improvement Program projects completed during the previous fiscal year."*

Within the "Closeout Costs" section of this report, is a subsection titled "Commission Initial Allocation, Final Approved Costs, and Expended Costs for Allocated Construction Components" that satisfies reporting the "cost of construction" requirement.

(C) Miscellaneous Project Delivery Reporting Requirements

2011 Capital Outlay Support Program Audit Recommendations

In 2014, in response to Senate Bill 486 (Government Code section 14525.6) Caltrans re-evaluated the content and information presented in its quarterly project delivery report to the California Transportation Commission in an effort to make the report a plain language report which could be easily understood. In partnership with the California Transportation Commission, Caltrans proposed a new report (this report) with relevant project delivery content and information for readers and performance measures.

In April of 2011, as part of an audit conducted on Caltrans Capital Outlay Support program, the California State Auditor recommended that Caltrans report on additional program information as part of this annual report. Caltrans concurred with the audit recommendations and the additional information requested has been added to the appendix of the End-of-Year Project Delivery Report. There were four specific reporting recommendations from the 2011 Capital Outlay Support program audit. The recommendations have been separated into two sections.

Section 1 is attached to this report as Appendix D: "**Capital Outlay Support Budget Cost Measures**"

To improve accountability internally and with the public, Caltrans should:

> *(i) "Create and incorporate an analysis of support cost budget overruns in its quarterly report to the agency, and in its annual report to the Legislature and the governor. The analysis should report on the number of completed projects with budget overruns and on the number of open projects where the estimate at completion projects a budget overrun, the overrun ratios for those projects, and the portions of the variances due to rates and hours. Further, Caltrans should include a measureable goal for reducing overruns in its strategic plan."*

- *Analysis of Support Cost Budget Overruns*... ... *Budget Overrun, the Overrun Ratios:* Within the Closeout section of this report, is a subsection titled "Program Budget versus Program Expenditures (all components). Also in the appendix of this report, is a listing of projects completed this year with support and capital budgets and costs listed for each project.
- *Rates and Hours:* There is no definitive way to measure the number of projects with variances to determine if the variance was due to rates, hours, or a combination of both. As noted in the audit report, the primary variances based on interviews were due to an increase in hourly rates (collective bargaining pay raises); Caltrans does perform a separate analysis of rates each year for planning purposes.
- *Measureable Goal for Reducing Overrun:* Within the Closeout section of this report, is a subsection titled "Measure: Program Costs". Listed in the executive summary of this report is a performance measures table. Caltrans has established a goal of completing State Transportation Improvement Program and State Highway Operations and Protection Program costs at closeout (after construction contract acceptance) within the program budgets.

(C) Miscellaneous Project Delivery Reporting Requirements

Section 2 is attached to this report as Appendix E: **"Support to Capital Cost Measures"**

To improve performance metrics related to the support program, Caltrans should:

(ii) "Devise, utilize, and publicize a consistent method for reporting the support-to-capital ratio on its Web site and in other reports to the public. Further, Caltrans should recalculate past support-to-capital ratios using the method devised to allow for comparison across years."
(iii) "Develop Goals – and publicly report on the progress against those goals – for the support-to-capital ratio, based on project type (State Transportation Improvement Program or State Highway Operations and Protection Program) and project size."
(iv) "To ensure it receives more complete information on the support program, the Legislature should require Caltrans to include in its annual report an expanded methodology for reporting support-to-capital ratios to include, in addition to a support-to-capital ratio based on costs incurred up to the award of the construction contract of State Transportation Improvement Program projects, a separate support-to-capital ratio for State Transportation Improvement Program projects that have completed construction. Further, the Legislature should require Caltrans to report on similar ratios for State Highway Operations and Protection Program projects based on costs incurred up to the award of the construction contract and for those projects that completed construction."

Caltrans has determined and documented that the ratio of Support to Capital is not an effective measure of projects because of the variability that exists from project to project. The Support to Capital ratio is best used at a program level where a large number of projects evaluated as a group can be compared to historical trends.

Listed below is a summary of Support to Capital cost information and trends of three major factors, delineating why Support to Capital is not appropriate as a support productivity or efficiency measure.

- Factor 1 - Projects: A single number Support to Capital ratio goal leads to misconceptions concerning project costs. Programmatic goals should not be used to evaluate individual projects. This goal has been misused in evaluating individual projects in published reports. When Caltrans delivers its capital programs with a Support to Capital ratio of approximately 35 percent, in reality the distribution of projects is as follows:
  (1) Approximately one third of the number of projects with two thirds of the capital value is below the average support to capital ratio.
  (2) Approximately two third's of the number of projects with one third of the capital value is higher than the average support to capital ratio.
- Factor 2 - Varying Cost Escalation: Cost escalation is outside the control of Caltrans. Support to Capital ratio would need to have similar annual escalation rates for support and capital to be an effective measure. Varying escalation in labor costs and construction costs makes comparisons of Support to Capital ratio results difficult.
- Factor 3 - Annual Capital Delivery Variances: The dollar value of capital costs data varies substantially from year to year. The annual calculated Support to Capital ratio is heavily influenced by the number of larger projects ($100 million and more) in the annual data.

(D) Capital Outlay Support Budget Cost Measures

2011 Capital Outlay Support Program Audit Recommendations, Section 1: – "Capital Outlay Support Budget Cost Measures"

This appendix includes information on Capital Outlay Support Budget Cost Measures outlined in the 2011 audit on Caltrans' Capital Outlay Support program. Information is presented in four subsections (denoted by end notes 1-4 and highlighted in bold font) to answer the request for multiple analyses contained within the recommendation.

> *"Create and incorporate an analysis of support cost **budget overruns** (1) in its quarterly report to the agency, and in its annual report to the Legislature and the governor. The analysis should report on the number of completed projects with budget overruns and on the number of open projects where the estimate at completion projects a budget overrun, the **overrun ratios** (2) for those projects, and the portions of the variances due to **rates and hours**(3). Further, Caltrans should include a **measureable goal for reducing overruns**(4) in its strategic plan."*

Shown below and on the next page are tables comparing projects completed in FY 2014-15 against different percentages (variances) of the project budget. The tables show the number of project variances by percentage for support costs, capital costs, project costs and individual component costs against their respective budgets. The tables identify the number of completed project (1)***budget overruns*** and the (2) ***under / overrun ratios*** of money spent compared to the approved budgets.

Analysis of Project Component Budgets versus Money Spent

State Transportation Improvement Program									
Project Component(s)	Budget Under / Overrun Analysis						Budget ($1,000's)	Spent ($1,000's)	Under / Over Ratio
	Under		Over Within 20 % Threshold(1)		Over				
	< 100 %		100 – 120 %		> 120 %				
	Projects	Percent	Projects	Percent	Projects	Percent			
Support	22	50 %	14	32 %	8	18 %	$231,686	$224,668	97 %
Capital	40	91 %	4	9 %	0	0 %	$584,760	$545,909	93 %
All Project Components	32	73 %	10	23 %	2	5 %	$816,446	$770,577	94 %
Project Approval (PAED)	25	80 %	8	18 %	1	2 %	$ 29,192	$ 25,661	88 %
Design (PSE)	21	48 %	16	36 %	7	16 %	$ 66,183	$ 66,295	100 %
Right of Way Support	34	77 %	4	9 %	6	14 %	$ 31,502	$ 31,761	101 %
Right of Way Capital	35	80 %	8	18 %	1	2 %	$131,319	$120,599	92 %
Construction Support	28	69 %	7	23 %	9	8 %	$104,809	$100,951	96 %
Construction Capital	44	100 %	0	0 %	0	0 %	$453,441	$425,310	94 %

1 State law requires that State Transportation Improvement Program project costs may not be changed to reflect differences that are within 20 percent of the amount programmed for actual project costs.

(D) Capital Outlay Support Budget Cost Measures

State Highway Operations and Protection Program									
Project Component(s)	Budget Under / Overrun Analysis						Budget ($1,000's)	Spent ($1,000's)	Under / Over Ratio
	Under		Over Within 20 % Threshold(2)		Over				
	< 100 %		100 – 120 %		> 120 %				
	Projects	Percent	Projects	Percent	Projects	Percent			
Support	97	47 %	50	24%	60	29%	$ 467,609	$ 462,086	99 %
Capital	202	98 %	4	2%	1	0%	$1,387,258	$1,222,465	88 %
All Project Components	150	72 %	44	21%	13	6%	$1,854,867	$1,684,550	91 %
Project Approval (PAED)	145	70 %	27	13%	35	17%	$ 53,417	$ 50,601	95 %
Design (PSE)	96	47 %	34	16%	77	37%	$ 167,972	$ 176,424	105 %
Right of Way Support	183	88 %	8	4%	16	8%	$ 20,939	$ 13,873	66 %
Right of Way Capital	187	94 %	10	0%	10	6%	$ 36,161	$ 14,608	40 %
Construction Support	105	51 %	41	24%	61	24%	$ 225,281	$ 221,188	98 %
Construction Capital	207	100 %	0	0%	0	0%	$1,351,097	$1,207,857	89 %

2 Caltrans' practice is to manage State Highway Operation and Protection Program projects similar to State Transportation Improvement Program projects within a threshold of 20 percent over its support budget which would be offset by cost savings on projects under budget.

(3)***Rates and Hours*** – there is no definitive way to measure the number of projects with variances to determine if the variance was due to rates, hours, or a combination of both. Caltrans does perform a separate analysis of rates each year for planning purposes. Caltrans also monitors budget against forecasted expenditures to take actions necessary to manage support budgets and expenditures.

(4)***Measureable Goal for Reducing Overruns*** – Using the 2001 audit data sample as a baseline, Caltrans is establishing an annual goal to show a continuous improvement in reducing the number of projects that overrun the support budget measured at the Construction Contract Acceptance milestone. For FY 2014-15, Caltrans set the following goal:

Project Support Budget Cost Goal: Percent of the major programmed projects that achieved Construction Contract Acceptance during a three year period that will have support expenditures < 120 percent of the approved support budget."

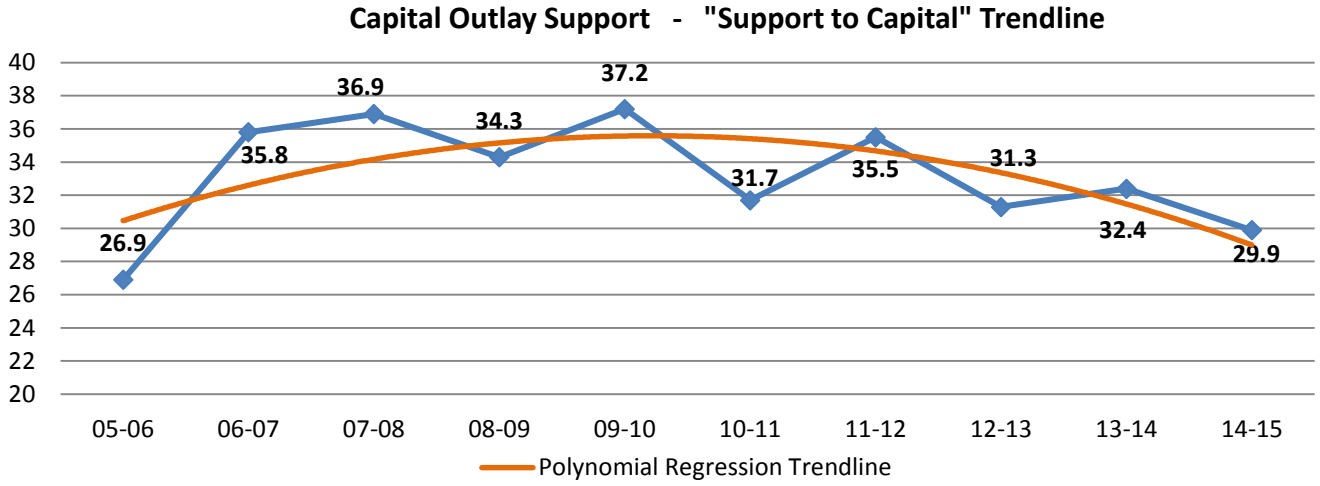
1 Year Period	Completed Projects	Completed < 120%	Percent	3 Year Period	Completed Projects	Completed < 120%	Goal	Percent
				BSA Audit	766	372	Base	49 %
FY 10-11	246	152	62 %	2008-09 to 10-11	719	407	60 %	57 %
FY 11-12	268	208	78 %	2009-10 to 11-12	780	507	65 %	65 %
FY 12-13	268	207	77 %	2010-11 to 12-13	782	567	68 %	73 %
FY 13-14	250	196	78 %	2011-12 to 13-14	786	611	72 %	78 %
FY 14-15	251	183	73 %	2012-13 to 14-15	769	586	74 %	76 %
Continuous improvement goal set for upcoming year 2013-14 to 2015-16:							76 %	

(E) Support to Capital Ratio Cost Measures

2011 Capital Outlay Support Program Audit Recommendation, Section 2: – "Support to Capital Ratio Cost Measures"

This appendix includes information on support to capital cost measures outlined in the 2011 audit on Caltrans' Capital Outlay Support program. Information is presented for three measures as recommended in the audit.

Annual Support to Capital Ratio: "Devise, utilize, and publicize a consistent method for reporting the support-to-capital ratio on its Web site and in other reports to the public. Further, Caltrans should recalculate past support-to-capital ratios using the method devised to allow for comparison across years."



Annual goal for Support to Capital Ratio based on capital value groups: "Develop Goals – and publicly report on the progress against those goals – for the support-to-capital ratio, based on project type (State Transportation Improvement Program or State Highway Operations and Protection Program) and project size."

Groups	Capital Value (millions)	Baseline FY 08-11 Annual Goal	Annual Support to Capital Results			
			FY 11-12	FY 12-13	FY 13-14	FY 14-15
I	$1-5	< 60 %	56.2 %	51.1 %	62.4 %	55.8 %
II	$5-10	< 45 %	31.3 %	34.0 %	49.7 %	52.1 %
III	$10-15	< 35 %	38.0 %	28.8 %	45.2 %	34.5 %
IV	$15-25	< 32 %	24.7 %	23.0 %	38.5 %	32.8 %
V	$25-140	< 30 %	30.2 %	26.5 %	23.8 %	24.4 %

Project count of State Transportation Improvement Program projects in groups are too small to report separately.

(E) Support to Capital Ratio Cost Measures

Support to Capital Ratios for State Transportation Improvement Program and State Highway Operations and Protection Program projects at award and completion: "To ensure it receives more complete information on the support program, the Legislature should require Caltrans to include in its annual report an expanded methodology for reporting support-to-capital ratios to include, in addition to a support-to-capital ratio based on costs incurred up to the award of the construction contract of State Transportation Improvement Program projects, a separate support-to-capital ratio for State Transportation Improvement Program projects that have completed construction. Further, the Legislature should require Caltrans to report on similar ratios for State Highway Operations and Protection Program projects based on costs incurred up to the award of the construction contract and for those projects that completed construction."

Support to Capital Ratio at Award

Fiscal Year (FY)	Capital (millions)	Support (millions)	Support to Capital Ratio Percent
State Transportation Improvement Program			
FY 12-13	$ 1,272.8	$ 222.1	17.5 %
FY 13-14	$ 1,095.4	$ 169.0	15.4 %
FY 14-15	$ 992.8	$ 156.4	15.8 %
3-Yrs	$3,361.00	$ 547.5	16.3 %
State Highway Operations and Protection Program			
FY 12-13	$ 998.7	$ 132.3	13.3 %
FY 13-14	$ 1,480.0	$ 318.3	21.5 %
FY 14-15	$ 1,535.8	$ 254.5	16.6 %
3-Yrs	$ 4,014.5	$ 705.1	17.6 %
Combined			
FY 12-13	$ 2,271.5	$ 354.4	15.6 %
FY 13-14	$ 2,575.4	$ 487.3	18.9 %
FY 14-15	$ 2,528.6	$ 410.9	16.3 %
3-Yrs	$ 7,375.5	$ 1,252.6	17.0 %

Support to Capital Ratio at Completion

Fiscal Year (FY)	Capital (millions)	Support (millions)	Support to Capital Ratio Percent
State Transportation Improvement Program			
FY 12-13	$ 508.8	$ 177.1	34.8 %
FY 13-14	$ 794.2	$ 267.8	33.7 %
FY 14-15	$ 1,795.8	$ 477.5	26.6 %
3-Yrs	$ 3,098.8	$ 922.4	29.8 %
State Highway Operations and Protection Program			
FY 12-13	$ 1,387.7	$ 415.5	29.9 %
FY 13-14	$ 1,851.4	$ 590.0	31.9 %
FY 14-15	$ 1,124.4	$ 394.3	35.1 %
3-Yrs	$ 4,363.50	$1,399.8	32.1 %
Combined			
FY 11-12	$ 1,896.5	$ 592.6	31.3 %
FY 13-14	$ 2,645.7	$ 857.8	32.4 %
FY 14-15	$ 2,920.20	$ 871.8	29.9 %
3-Yrs	$ 7,462.40	$ 2,322.2	31.1 %

(F) Capital Outlay Support Workload History

The graph below provides the historical budgeted Caltrans' Capital Outlay Support (COS) Program staffing levels, projects planned versus delivered to construction, and the number of contracts in construction and contract dollar value. The COS Program is at its lowest staffing level since before the Toll Bridge Seismic Retrofit Program that began in 1997, despite significant temporary increases from Proposition 1B bonds and the Federal Stimulus package. As transportation funding has decreased, the COS Program has requested staffing reductions to adjust accordingly. The COS Program has reduced staffing by approximately 3,400 in the past eight years based on reduced transportation funding. This has been accomplished by forecasting future workload, restricting hiring, and attrition. The COS Program has kept its promises by delivering 99 percent of its project commitments to construction since FY 2005-06.

Comparison of Budgeted Staffing (FTEs), Project Delivery and Construction Contracts

Fiscal Year[1]	Budgeted Staffing in FTEs[2]	Number of Projects Planned for Delivery	Actual Number of Projects Delivered	Percent Delivered	Capital Value of Delivered Projects ($ Billions)	No. of Ongoing Contracts[3]	Value of Ongoing Contracts ($ Billions)[3]
2002/03	12,098	212	163	77%	1.7	659	7.7
2003/04	11,050	216	188	87%	1.9	586	8.2
2004/05	12,420	222	207	93%	1.5	617	7.7
2005/06	13,093	174	173	99%	2.4	714	9.8
2006/07	12,662	286	286	100%	2.6	646	10.4
2007/08	13,125	294	294	100%	3.3	705	9.4
2008/09	12,516	334	334	100%	3.1	732	9.4
2009/10	11,517	306	304	99%	2.1	664	9.6
2010/11	10,821	346	342	99%	3.1	814	10.9
2011/12	10,571	279	275	99%	2.7	739	11.3
2012/13	10,407	170	167	98%	1.2	713	12.3
2013/14	10,153	219	214	98%	2.1	673	11.1
2014/15	9,894	343	337	98%	2.5	652	10.6
2015/16	9,703	244			2.1[4]	708[5]	8.1[5]

[1] *Proposition 1B passed in November 2006.*
[2] *FTE stands for Full Time Equivalents and includes state staff, consultants and cash overtime.*
[3] *As of June 30 of each year.*
[4] *Capital value of projects planned for 2015/16 delivery.*
[5] *Estimated as of November 9, 2015.*