

State of California
Business, Transportation and Housing Agency
Department of Transportation

PROGRAM STATUS
Caltrans Quarterly Report – FY 99-00
Information Item

CTC Meeting: June 6-7, 2001

Agenda Item: 3.4

Original Signed By _____

W. J. EVANS

Chief Financial Officer

June 1, 2001

CALTRANS QUARTERLY REPORT

THIRD QUARTER, FY 2000-2001

Attached is the Caltrans Quarterly Report for the third quarter of Fiscal Year 2000-2001.



**CALIFORNIA DEPARTMENT OF
TRANSPORTATION**

**QUARTERLY REPORT
3RD QUARTER
FY 00/01**



**for the
CALIFORNIA TRANSPORTATION COMMISSION**

CTC QUARTERLY REPORT - Q3 FY 00/01
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STIP, SHOPP PROGRAM AND ADDITIONAL DELIVERY

CTC Quarterly Report - Q3 FY 00/01

Caltrans

## DELIVERED (RTL/VOTE)	Current Yr	Prior Yr	% Actual	Annual Plan	Advanced*
	YTD Actual	YTD Actual			
STIP Program	17	10	69%	39	0
STIP (Time Extensions)	0	3	60%	5	0
SHOPP Program	<u>114</u>	<u>17</u>	74%	<u>176</u>	<u>11</u>
Subtotal Program Delivery	<u>131</u>	<u>30</u>	73%	<u>220</u>	<u>11</u>

ADDITIONAL DELIVERY

Toll + Seismic	5
Minor - Maintenance	285
Emergency	<u>35</u>

TOTAL DELIVERY 486

(Dollars in Millions)

\$\$ DELIVERED (RTL/VOTE)	Current Yr	Prior Yr	% Actual	Annual Plan
	YTD Actual	YTD Actual		
STIP Program	\$ 93	\$ 54	61%	\$ 242
STIP (Time Extensions)	0	42	72%	58
SHOPP Program	<u>354</u>	<u>113</u>	66%	<u>707</u>
Subtotal Program Delivery	<u>\$ 447</u>	<u>\$ 209</u>	65%	<u>\$ 1,007</u>

\$\$ ADDITIONAL DELIVERY

Toll + Seismic	\$ 22
Minor - Maintenance	161
Emergency	<u>16</u>

\$\$ TOTAL DELIVERY \$ 855

YTD is Voted or RTL accomplished

Annual Plan number includes projects with approved time extensions

* Future year advanced projects not included in YTD Actual number

Current Yr = Originally programmed in Current Year

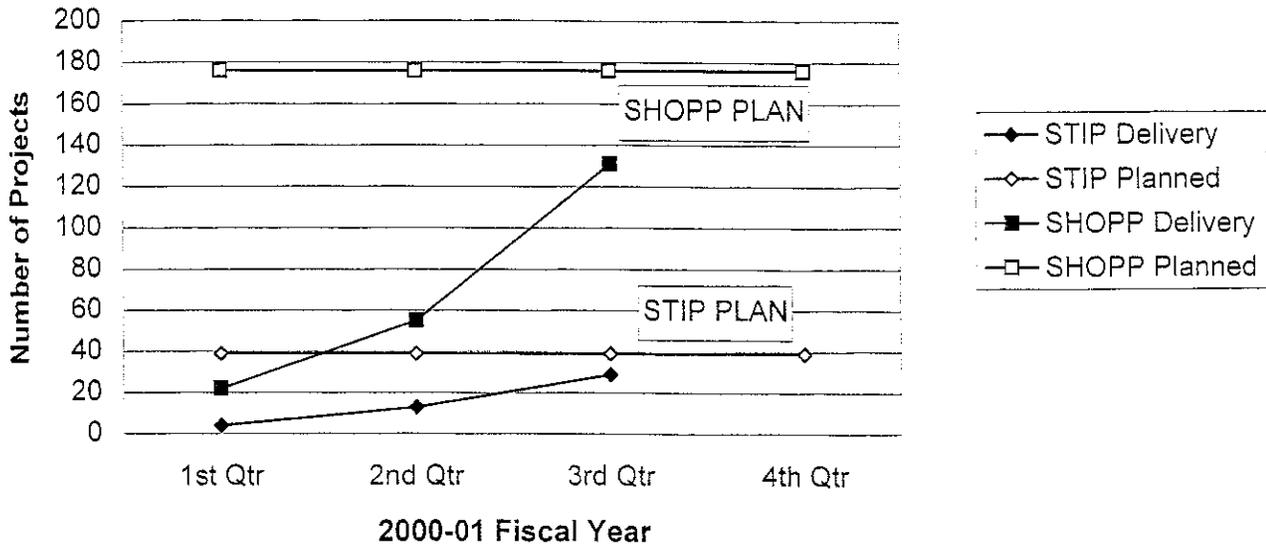
Prior Yr = Originally Programmed in Prior Year



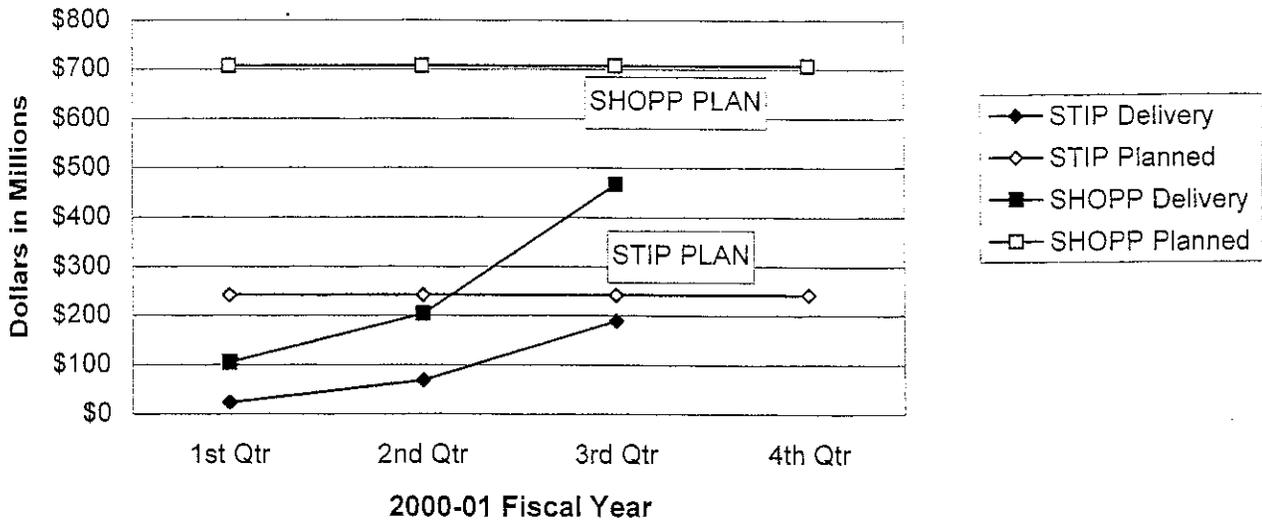
STIP, SHOPP PROGRAM AND ADDITIONAL DELIVERY

CTC Quarterly Report - Q3 FY 00/01

Actual versus Planned Delivery



Actual versus Planned Delivery





RIGHT OF WAY
CTC Quarterly Report - Q3 FY 00/01

SUMMARY OF FY 00/01 RIGHT OF WAY ALLOCATION

(Expenditures thru 3rd Quarter)

(Dollars in Millions)

	Total Fiscal Year <u>Budgeted</u>	Planned <u>Thru 3rd Qtr</u>	Expended <u>Thru 3rd Qtr</u>
Major Capital Projects Total	\$ 153	\$ 115	\$ 61
Fund Reservation			
Minor Project, etc.	5	4	4
Post-Certification	20	15	16
Hardships	7	5	13
Damage to property	<u>10</u>	<u>8</u>	<u>1</u>
TOTALS	\$ 195	\$ 146	\$ 95

CAPITAL OUTLAY

	<u>FYTD Planned</u>	<u>FYTD Actual</u>
Allocation	\$ 195	\$ 195
Expenditures to Date	<u>146</u>	<u>95</u>
Remaining Allocation	\$ 49	\$ 100
% Expenditures to Allocation	75.0%	49%

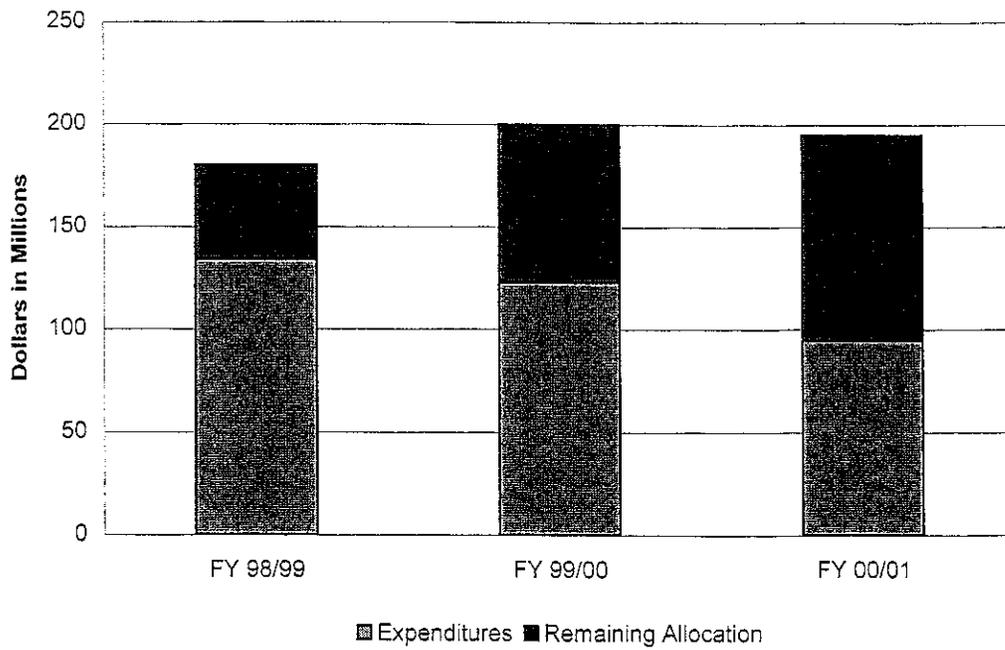
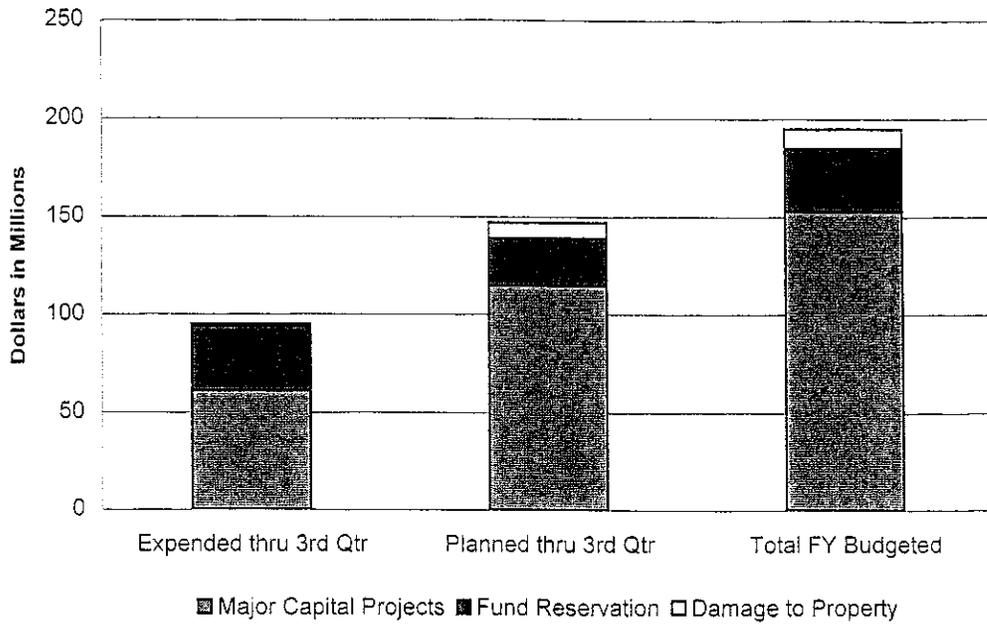
3rd QTR COMPARISON

	<u>FY 98/99</u>	<u>FY 99/00</u>	<u>FY 00/01</u>
Allocation	\$ 180	\$ 200	\$ 195
Expenditures to Date	<u>134</u>	<u>123</u>	<u>95</u>
Remaining Allocation	\$ 46	\$ 77	\$ 100
% Expenditures to Allocation	74%	61.5%	49%



RIGHT OF WAY
CTC Quarterly Report - Q3 FY 00/01

Summary of Right of Way Allocations





SEISMIC SAFETY RETROFIT PROGRAM

CTC Quarterly Report - Q3 FY 00/01

SEISMIC RETROFIT OF HIGHWAY BRIDGES

(Dollars in Millions)	Total				
	Contract Awarded	Retrofit Completed	Capital Planned	Percent Awarded *	Total Planned **
Phase 2 Bridges	655	567	1,050	62%	1,350

* Measure of retrofit contracts, excluding mitigation contracts

** Includes support cost

NUMBER OF BRIDGES	Contract Awarded	Retrofit Completed	Total Planned	Percent Completed
	Phase 2 Bridges	1,138	1,132	1,155

SEISMIC RETROFIT OF TOLL FACILITIES

Toll Bridge Facility	Number of Projects	Current Status	Begin Construction		Retrofit Complete		Total Cost (In Millions)
			Planned	Current	Planned	Current	
SF-Oakland Bay (SFOBB):							
-- New East Span**	4	Design	Wnt-01	Fall-01	Wnt-04	Fall-06**	\$ 2,602
-- West Span, Approach & Yerba Buena Island	8	UC/Design	Spr-94	Spr-94	Fall-03	Wtr-08	704
		TBD = To be determined			Subtotal SFOBB		\$ 3,306
Benicia-Martinez	2	UC	Spr-97	Spr-98	Sum-99	Sum-01	\$190
San Mateo-Hayward*	3	Complete	Spr-97	Sum-97	Fall-99	Spr 00	190
Richmond-San Rafael	1	UC	Fall-97	Fall-00	Fall-00	Sum-05	665
Carquinez (Eastbound)	1	UC	Sum-97	Spr-98	Wnt-99	Spr-01	125
Vincent Thomas	1	Complete	Spr-97	Spr-97	Wnt-99	Spr 00	62
San Diego-Coronado	4	UC	Sum-97	Fall-97	Fall-99	Wtr-02	105
		UC = Under construction			Subtotal Non-SFOBB		\$1,337
					Total Cost Estimate		\$4,643

* Data does not include landscape mitigation contract.

** The East Span Retrofit (Eastbound Approach) and the Interim East Span Retrofit are complete.

NOTES:

- Summer (Sum) = Jul-Sept or first quarter of fiscal year; Fall = Oct-Dec or second quarter of fiscal year; Winter (Wnt) = Jan-Mar or third quarter of fiscal year; Spring (Spr) = Apr-Jun or fourth quarter of fiscal year
- Retrofit of the Westbound Carquinez Bridge will be a new bridge constructed from Regional Measure 1.



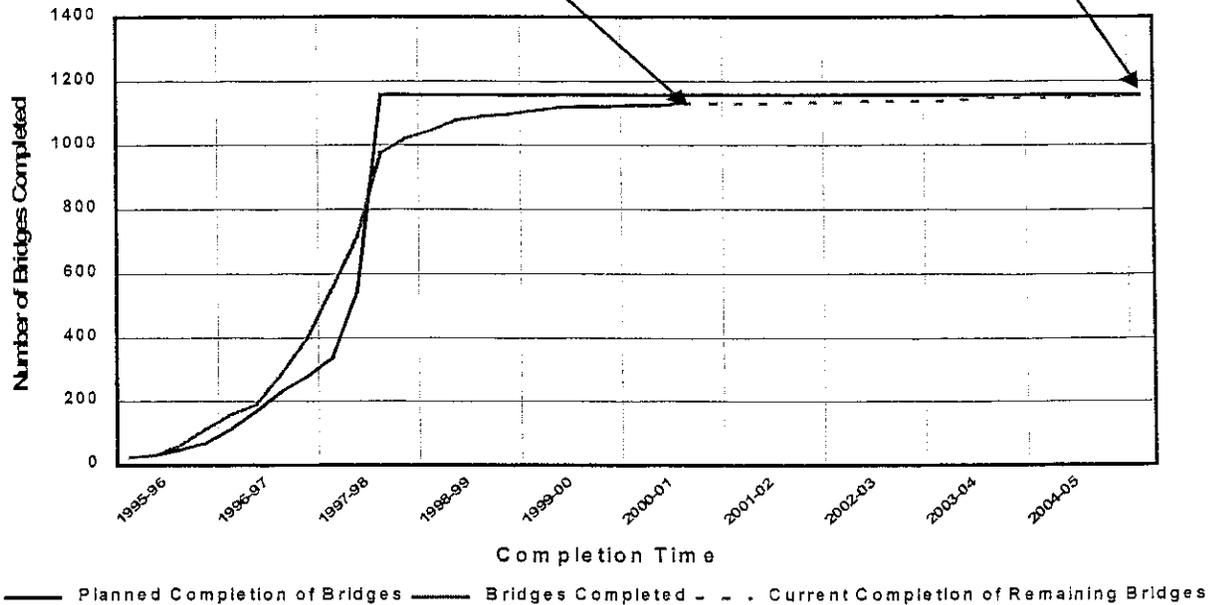
SEISMIC SAFETY RETROFIT PROGRAM

CTC Quarterly Report - Q3 FY 00/01

PHASE 2 SEISMIC RETROFIT SUMMARY

1,132 (98.0 %) Projects
Completed to Date

1,155 Projects
Total



Phase 2 has 17 bridges remaining in various stages of design and six bridges are under construction. The remaining Phase 2 projects in design include the most complex and costly structures to be constructed over a longer period of time.

For the Toll Bridge Program, there are 12 retrofit and one mitigation contract on non-SFOBB toll bridges. Of the 12 retrofit contracts; six are completed, and six are under construction.

There are cost issues in the Toll Bridge Program. These issues are discussed in more detail in the Annual Toll Bridge Report to the Governor and Legislature released recently. This report was released in April 2001.

The San Francisco Oakland Bay Bridge consists of the West and East spans. The SFOBB West span currently has a total of eight contracts. Three contracts are completed, three are under construction, one advertised, and one in design.

The SFOBB East span is in the process of finalizing the final environmental document and design.



AB1740 RETROFIT SOUNDWALL PROGRAM

CTC Quarterly Report - Q3 FY 00/01

AB1740 RETROFIT SOUNDWALL PROGRAM SUMMARY

<i>Total Program to Date</i>	<u>Contract Awarded</u>	<u>Percent Awarded</u>	<u>Total Completed</u>	<u>Percent Completed</u>	<u>Total Planned</u>
VALUE OF PROJECTS	\$1,446	0.6%	\$725	0.3%	\$226,000
<i>(Dollars in Thousands)</i>					

<i>Total Program to Date</i>	<u>Contract Awarded</u>	<u>Percent Awarded</u>	<u>Total Completed</u>	<u>Percent Completed</u>	<u>Total Planned</u>
NUMBER OF LOCATIONS	2	3.2%	1	1.6%	63

RETROFIT SOUNDWALL MILESTONES ACHIEVED

Soundwall Milestones Achieved	<u>Year to Date</u>		<u>% Actual/Planned</u>	<u>Annual Planned</u>
	<u>Actual</u>	<u>Planned</u>		
Environmental (PAED)	23	24	96	27
Right of Way Certification	0	2	0	3
Ready to List (RTL)	0	2	0	2
<u>Construction Completion (CCA)</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>
Soundwall Milestones Achieved	23	28	96	32

To date, two walls were allocated funds for construction. One wall has been completed having been advanced and delivered early by the local agency.

Three walls in Orange County are currently advertised and will be delivered in the fourth quarter of FY 00/01.

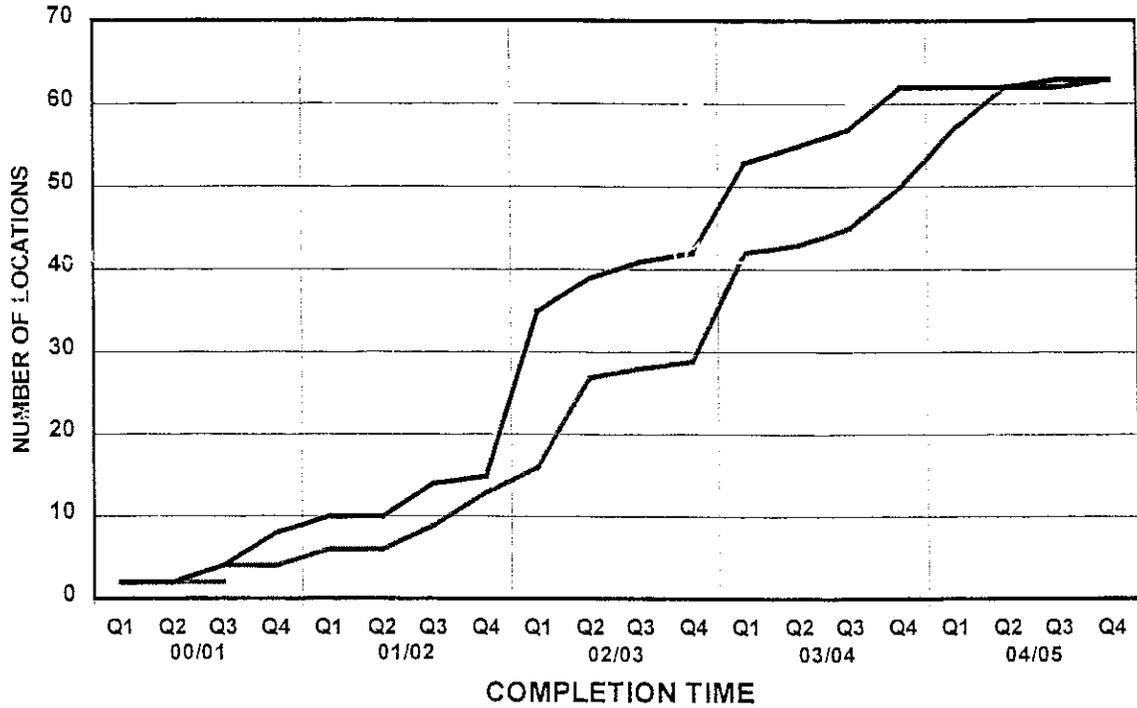
During the fourth quarter an additional seven walls in Los Angeles and Ventura Counties are planned to be delivered. 28 more walls will be delivered in FY 01/02.



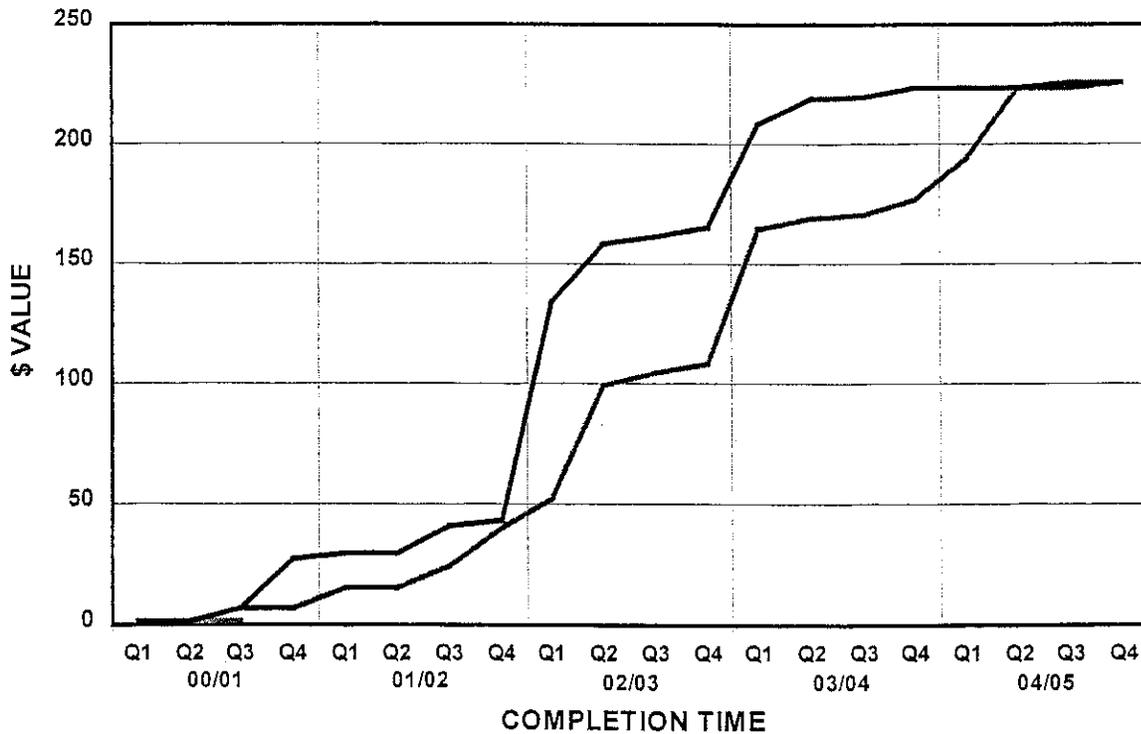
AB1740 RETROFIT SOUNDWALL PROGRAM

CTC Quarterly Report - Q3 FY 00/01

RETROFIT SOUNDWALL DELIVERY



Planned Baseline Delivery
 Actually Delivered
 Accelerated Delivery Target



Planned Baseline Delivery
 Actually Delivered
 Accelerated Delivery Target



CONSTRUCTION
CTC Quarterly Report - Q3 FY 00/01



CONTRACT ADMINISTRATION (\$ in Millions)

ESTIMATES PROCESSED (during the quarter)

Proposed Final Estimates (PFE)

	Q4 99/00	Q1 00/01	Q2 00/01	Q3 00/01
Total number processed	126	162	189	157
Total value of processed for payment	\$ 159	\$ 158	\$ 418	\$ 320
Percent PFE processed within 60 days ^a	81%	86%	79%	75%

Final Estimates (FE)

Total number processed	238	194	194	196
Total value of processed for payment	\$ 703	\$ 455	\$ 410	\$ 627
Percent FE processed within 240 days ^a	71%	61%	67%	74%

CONTRACTS WITH CLAIMS (on last day of quarter)^b

Total number of completed contracts	598	640	605	601
Total contract allotment	\$ 2,655	\$ 2,683	\$ 2,554	\$ 2,513
Total value of claims	\$ 194	\$ 195	\$ 209	\$ 214
Claims as a percent of total contract allotment	7%	7%	8%	9%

CONTRACTS IN ARBITRATION (on last day of quarter)^c

Total number of arbitration cases	96	95	99	87
Total contract allotment	\$ 647	\$ 700	\$ 810	\$ 898
Total value of claims filed in arbitration	\$ 100	\$ 103	\$ 115	\$ 125
Filing as a percent of total contract allotment	15%	15%	14%	14%

ARBITRATION PAYMENTS (during the quarter)

Number of payments processed	7	10	4	5
Total value of payments processed	\$ 1.2	\$ 1.1	\$ 0.2	\$ 0.8
Total contractor's arbitration filed amount	\$ 2.7	\$ 3.0	\$ 0.6	\$ 2.5
Payments as a percent of arbitration filed amount	44%	37%	33%	32%

- a Percent PFE processed within 60 days = Delivered-on-time rate % (see attached graphs)
Percent FE processed within 240 days = Delivered-on-time rate % (see attached graphs)

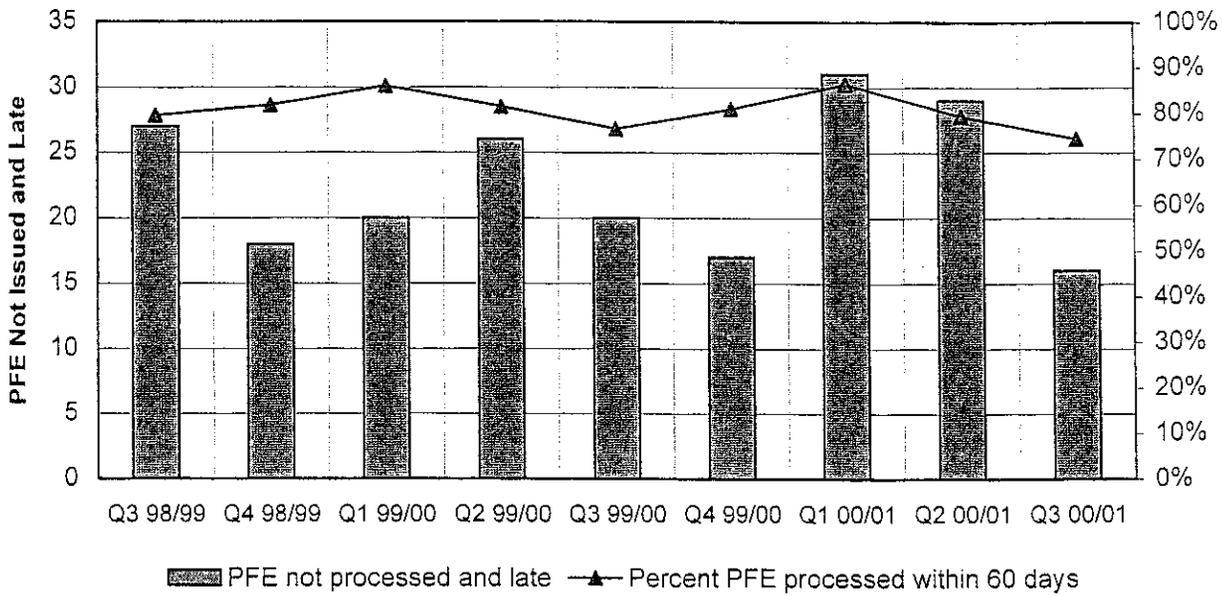
- b Proposed Final Estimates to which the Contractor has responded with a claim(s) and are prior to any arbitration being filed.

- c A Contractor may file for arbitration 240 days after project acceptance, or within 180 days after final determinations on claims have been made. Contractors must file within 90 days after the Department makes a final determination on claims or lose opportunity for arbitration (Contractors have 180 days to file on contracts that were approved prior to January 1, 1999.)

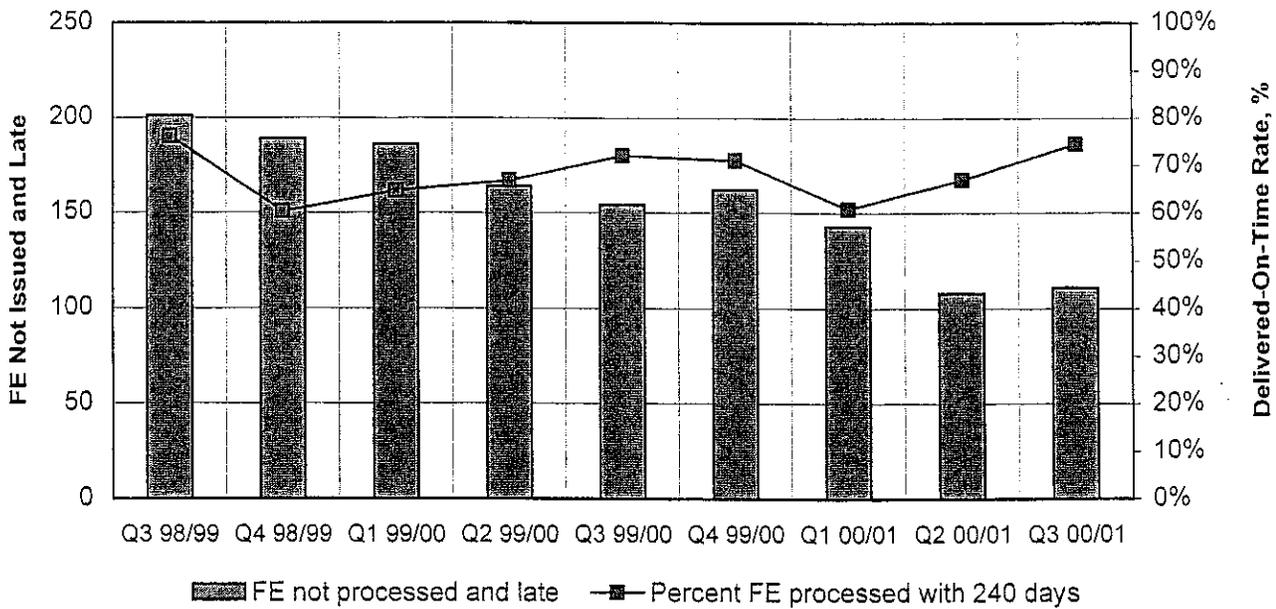


CONTRACT ADMINISTRATION

PFE Backlog Status and PFE Performance



FE Backlog Status and FE Performance





CONSTRUCTION
CTC Quarterly Report - Q3 FY 00/01



CONTRACT ADMINISTRATION (\$ in Millions)

CONTRACT STATUS	Q4 99/00	Q1 00/01	Q2 00/01	Q3 00/01
Ongoing Contracts (on last day of quarter)				
Total number of contracts with ongoing work	730	739	681	670
Allotted value of contracts with ongoing work	\$ 4,427	\$ 4,147	\$ 4,847	\$ 5,348
After Acceptance (on last day of quarter)				
Total number of contracts accepted	1,121	1,237	1,271	1,214
Allotted value of contracts accepted	\$ 3,378	\$ 3,656	\$ 3,831	\$ 3,725

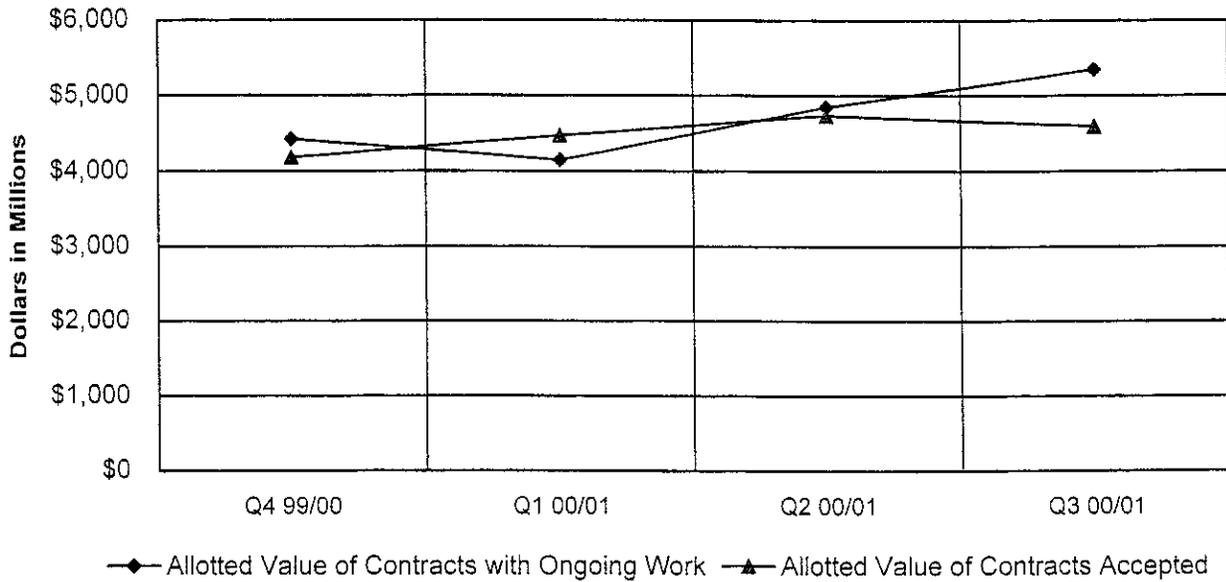
PRODUCT DELIVERY

New Construction: Centerline Miles	5.4	2.0	6.8	17.5
New Construction: Lane Miles	17.4	29.8	31.4	119.0
New Construction: Structures	8	8	41	48
Reconstruction: Lane miles	19.0	20.4	74.5	162.8
Reconstruction: Structures	21	23	34	35
New HOV: Lane Miles	15.6	17.5	0.0	0.0
Operations: Lane Miles	6.0	86.9	347.5	519.0
Rehabilitation: Lane Miles	332.0	191.3	952.3	659.4
Preservation: Lane Miles	392.0	1,013.6	1,236.5	1,453.4
Landscaping: Acres	295.2	887.5	452.0	916.5
Sound Wall: Miles	16.0	4.2	6.1	10.9

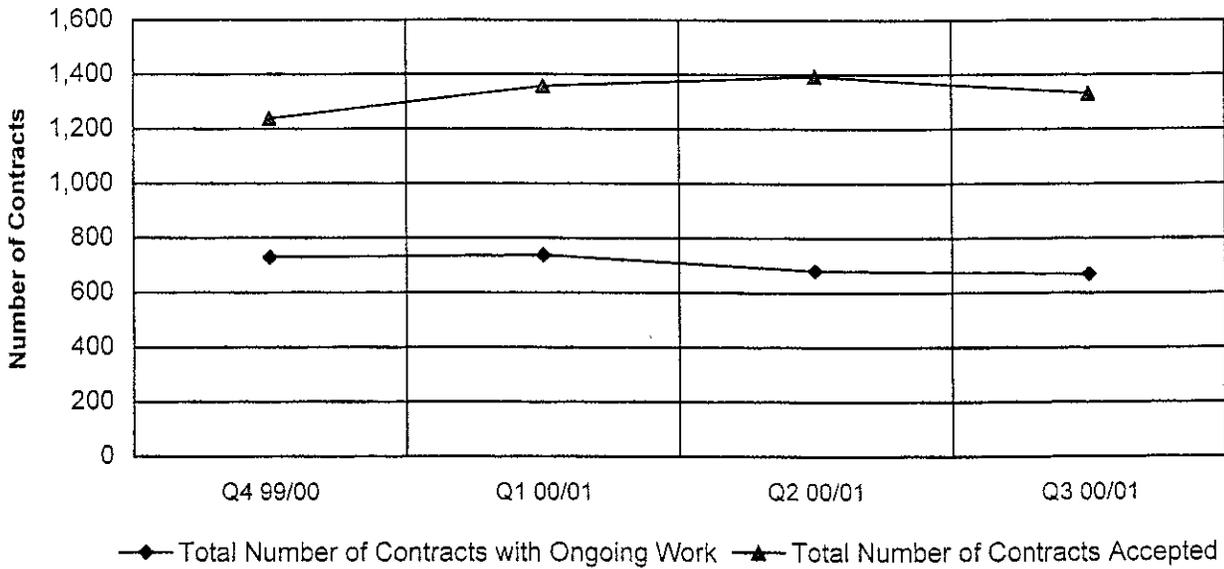


CONTRACT ADMINISTRATION

Contract Status



Contract Status





CAPITAL SUPPORT
CTC Quarterly Report - Q3 FY 00/01

Caltrans

(Dollars in Thousands)

STIP Support Expenditures*	Year To Date			Annual
	<u>Actual**</u>	<u>Plan</u>	<u>Earned</u>	<u>Plan</u>
Environmental	\$ 35,113	\$ 41,855	\$ 44,014	\$ 52,604
Design	62,626	103,545	61,534	137,191
Right of Way	12,946	27,831	13,963	35,711
Construction	50,288	50,576	47,410	69,642
STIP Support Expenditures	\$ 160,973	\$ 223,807	\$ 166,921	\$ 295,148

(Dollars in Thousands)

SHOPP Support Expenditures*	Year To Date			Annual
	<u>Actual**</u>	<u>Plan</u>	<u>Earned</u>	<u>Plan</u>
Environmental	\$ 14,096	\$ 16,966	\$ 20,956	\$ 20,171
Design	62,498	129,510	90,192	160,553
Right of Way	5,743	11,068	9,385	14,981
Construction	74,142	101,298	82,107	143,998
SHOPP Support Expenditures	\$ 156,479	\$ 258,842	\$ 202,640	\$ 339,703

(Dollars in Thousands)

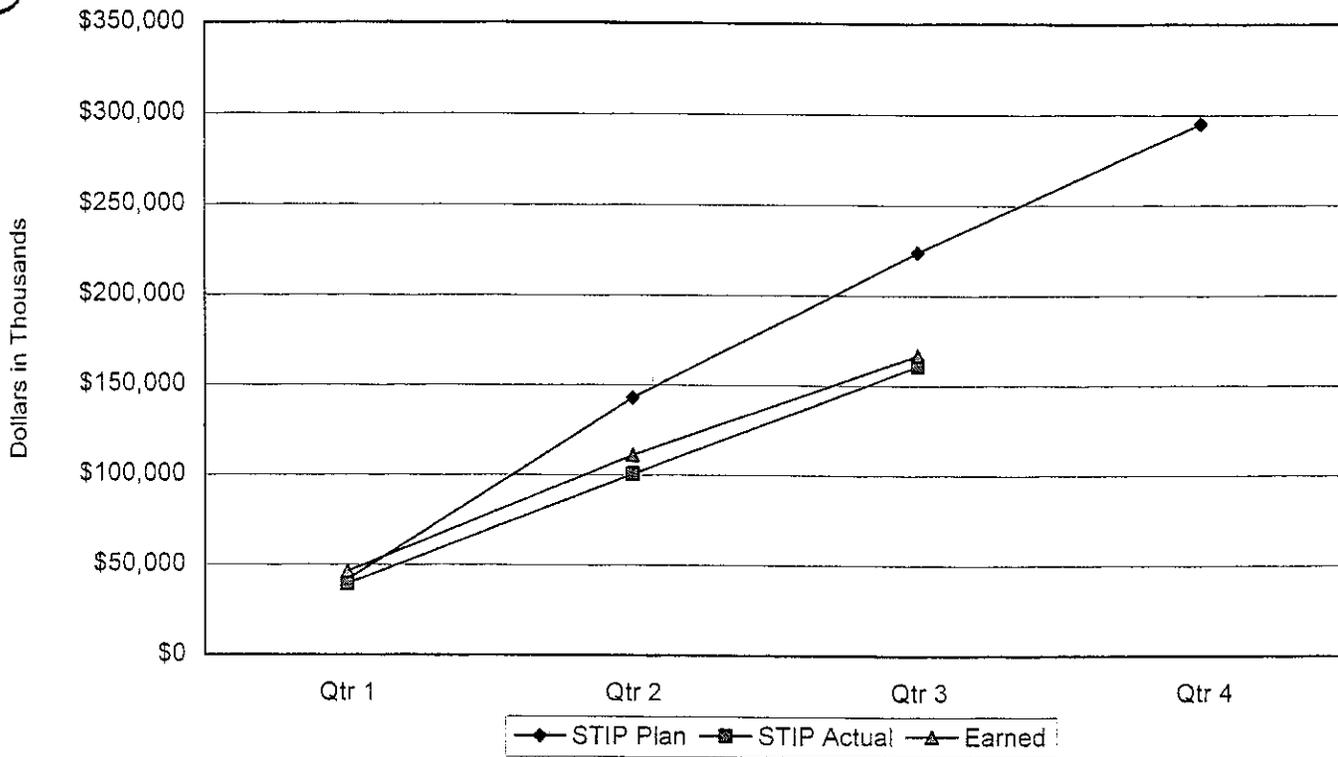
Combined STIP/SHOPP Support*	Year To Date			Annual
	<u>Actual**</u>	<u>Plan</u>	<u>Earned</u>	<u>Plan</u>
Environmental	\$ 49,209	\$ 58,821	\$ 64,970	\$ 72,775
Design	125,124	233,055	151,726	297,744
Right of Way	18,689	38,899	23,348	50,692
Construction	124,430	151,874	129,517	213,640
Combined STIP/SHOPP Support	\$ 317,452	\$ 482,649	\$ 369,561	\$ 634,851

* Planned and actual expenditures against SHA funding only. Includes OH and storm damage. Excludes seismic and toll.

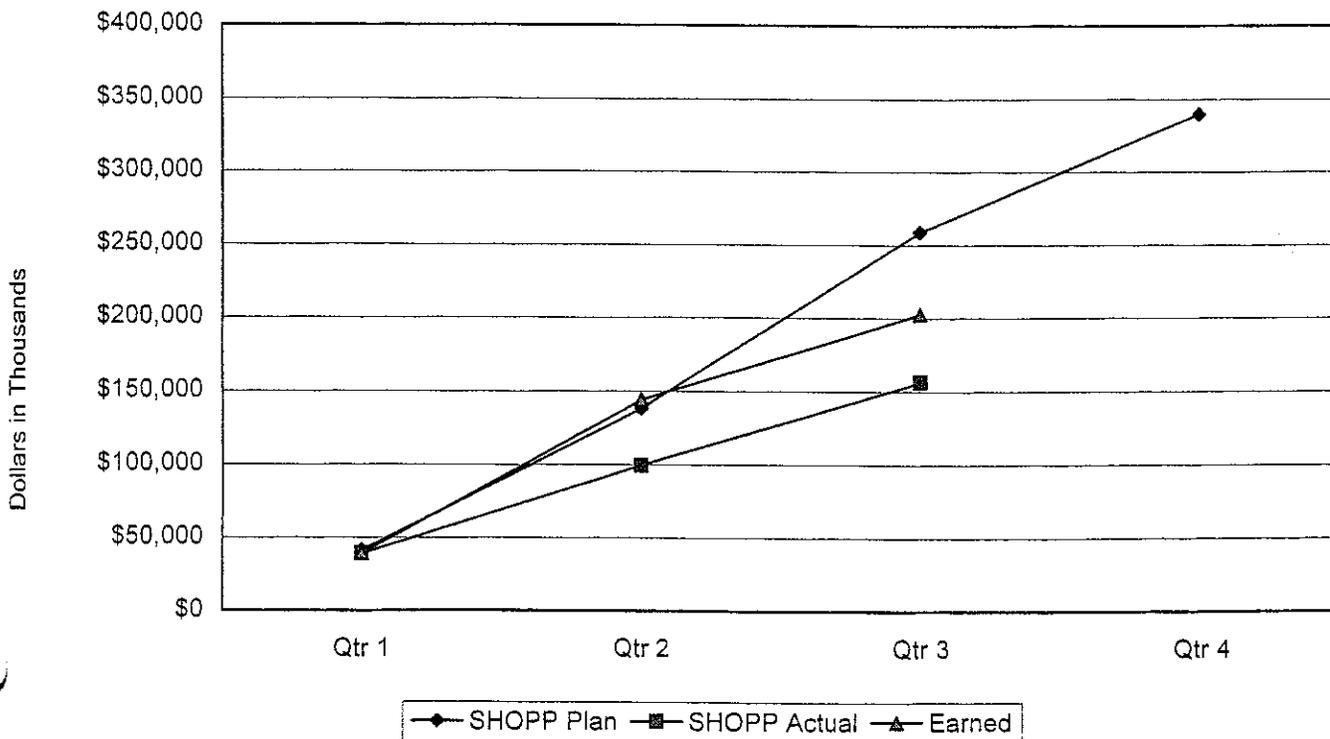
** Lag between planned and actual expenditures due, in part, to staffing up issues(estimated \$50M). Additionally, planned number includes contracting out PYEs. Due to timing of Proposition 35 and the time required for contract approval, an estimated \$120M of contracting effort will be encumbered but not expended this FY.



2000/01 STIP Support - Planned / Actual / Earned



2000/01 SHOPP Support - Planned / Actual / Earned





CAPITAL SUPPORT
CTC Quarterly Report - Q3 FY 00/01

Caltrans

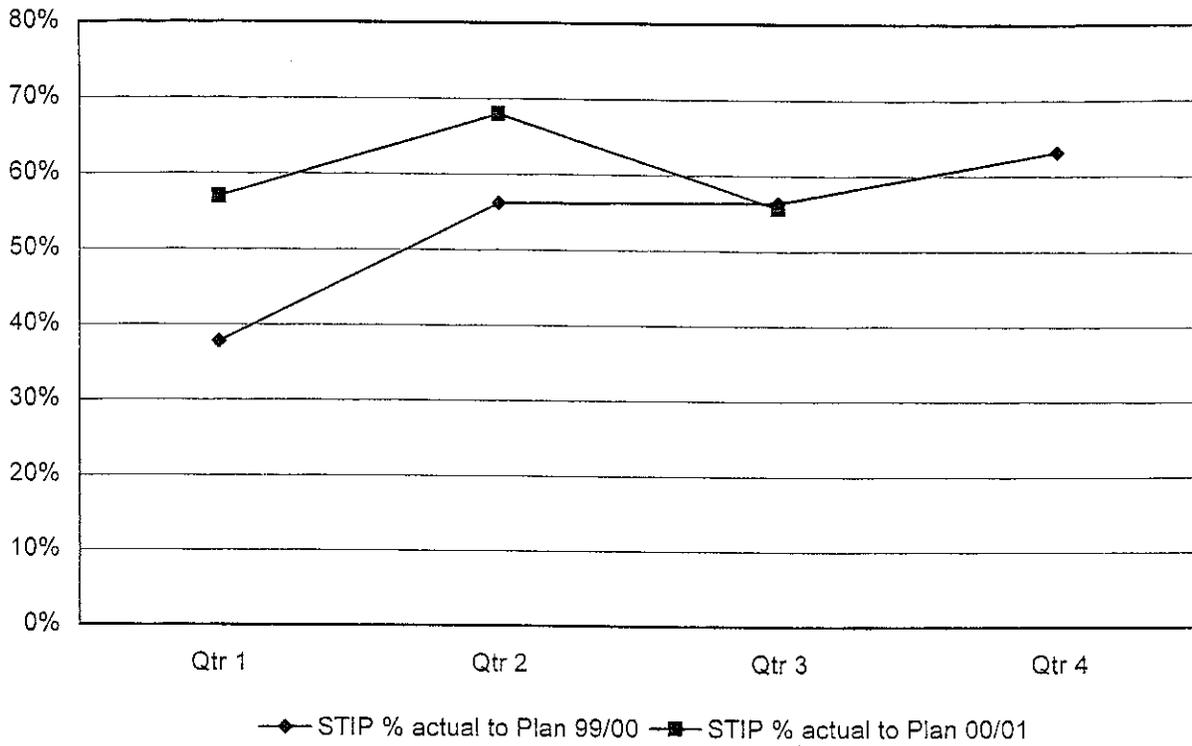
STIP Milestones Achieved	Year To Date		Advanced Deliveries	Annual Plan
	<u>Actual</u>	<u>Plan</u>		
Environmental Document	40	79	0	89
Ready to List (RTL)**	21	38	0	47
RW Certification	19	39	1	51
Construction Contract Acceptance	<u>12</u>	<u>20</u>	<u>5</u>	<u>28</u>
STIP Milestones Achieved	92	176	6	215

SHOPP Milestones Achieved	Year To Date		Advanced Deliveries	Annual Plan
	<u>Actual</u>	<u>Plan</u>		
Environmental Document	65	121	1	150
Ready to List (RTL)**	80	117	5	135
RW Certification	78	112	1	128
Construction Contract Acceptance	<u>111</u>	<u>136</u>	<u>16</u>	<u>187</u>
SHOPP Milestones Achieved	334	486	23	600

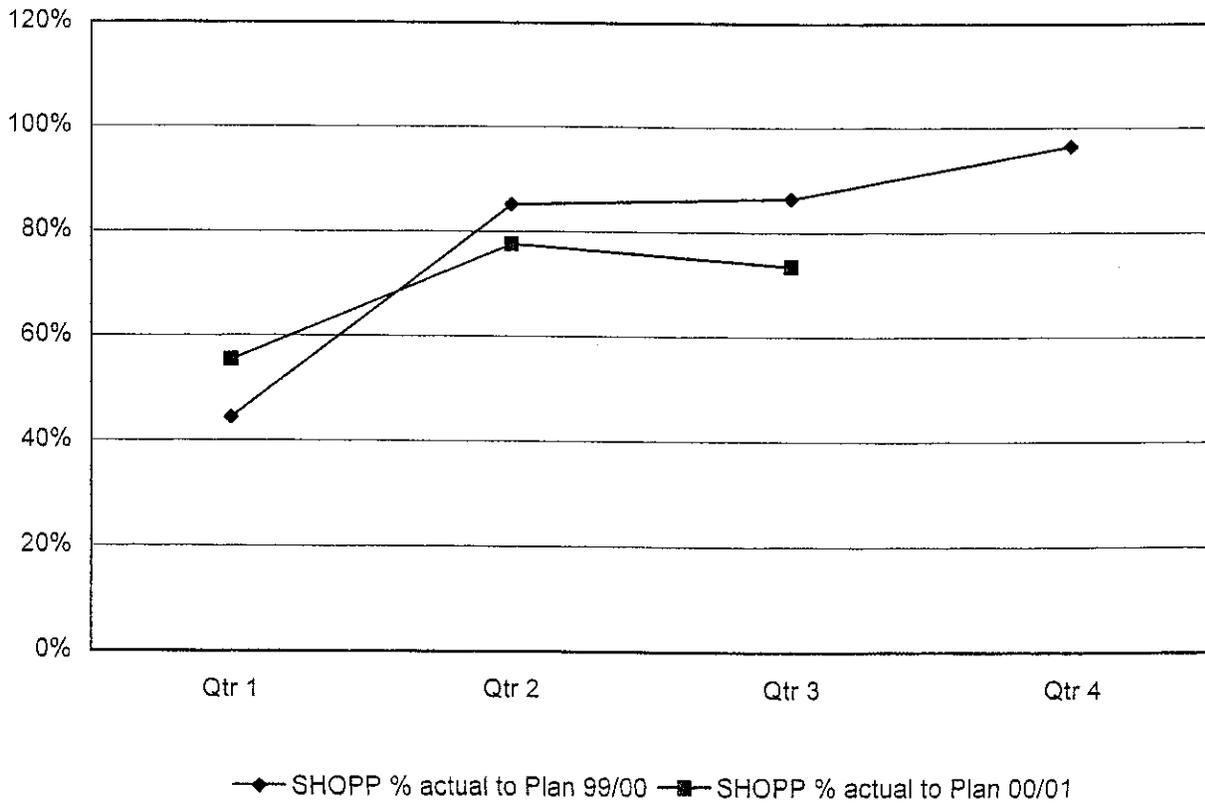
Combined Milestones Achieved	Year To Date		Advanced Deliveries	Annual Plan
	<u>Actual</u>	<u>Plan</u>		
Environmental Document	105	200	1	239
Ready to List (RTL)**	101	155	5	182
RW Certification	97	151	2	179
Construction Contract Acceptance	<u>123</u>	<u>156</u>	<u>21</u>	<u>215</u>
Combined Milestones Achieved	426	662	29	815

** This number represents the capital improvement projects that Caltrans is developing to deliver the programmed commitments.

2000/01 STIP Milestone Trend



2000/01 SHOPP Milestone Trend





INTERCITY RAIL
CTC Quarterly Report - Q3 FY 00/01

RIDERSHIP	Actual	Average Daily	Plan Projection #	Percent Difference
	July 2000 thru March 2001			
CAPITOL	746,055	8,109	544,250	37%
PACIFIC SURFLINER (all serv.) *	1,189,135	12,925	1,255,602	-5%
SAN JOAQUIN	507,388	5,515	508,102	0%
00/01 Totals	2,442,578	26,550		
July 1999 thru March 2000				
CAPITOL	467,520	5,082		
PACIFIC SURFLINER (all serv.) *	1,136,754	12,356		
SAN JOAQUIN	478,189	5,198		
99/00 Totals	2,082,463	22,635		

FINANCIAL PERFORMANCE (Dollars in Thousands)	Actual Results			Business Plan Projection #		
	Revenues	Expenses	Farebox Ratio **	Revenues	Percent Difference	Farebox Ratio
July 2000 thru February 2001						
CAPITOL	\$ 7,144	\$ 17,950	40%	\$ 6,145	16%	34%
PACIFIC SURFLINER (all serv.) *	19,627	37,629	52%	18,166	8%	45%
SAN JOAQUIN	13,040	29,099	45%	12,413	5%	42%
00/01 Totals	\$ 39,811	\$ 84,678	47%			
July 1999 thru February 2000						
CAPITOL	\$ 5,363	\$ 16,449	33%			
PACIFIC SURFLINER (all serv.) *	17,493	36,703	48%			
SAN JOAQUIN	11,644	28,025	42%			
99/00 Totals	\$ 34,500	\$ 81,177	42%			

* Includes State-supported and AMTRAK (basic system) share of all trains

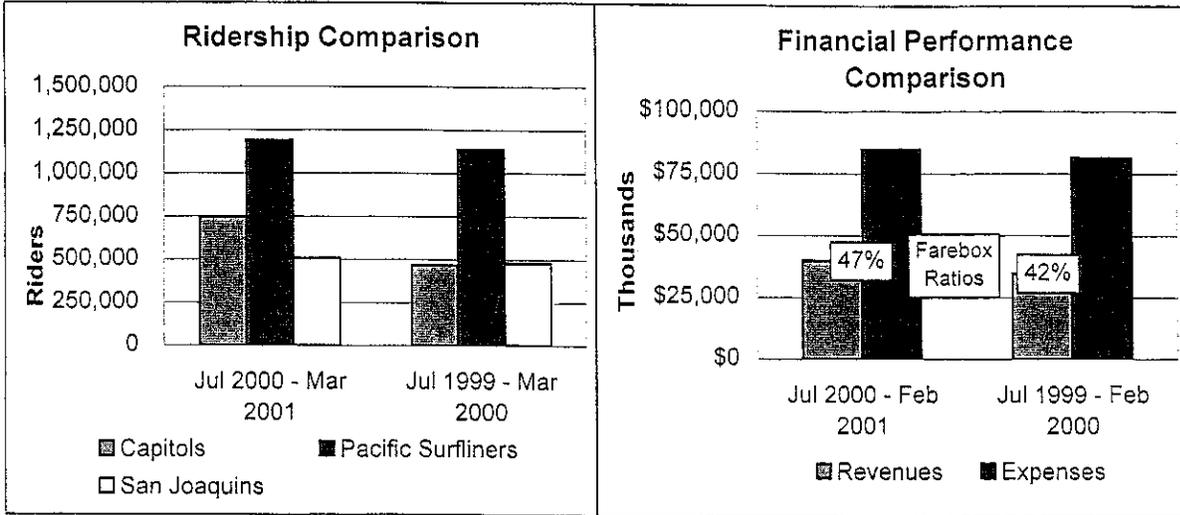
** Total Farebox (revenue/expense) Ratio is the average for all three corridors

Reflects combination of projections for portions of two Federal Fiscal Years (July-September and October-June)



INTERCITY RAIL

CTC Quarterly Report - Q3 FY 00/01

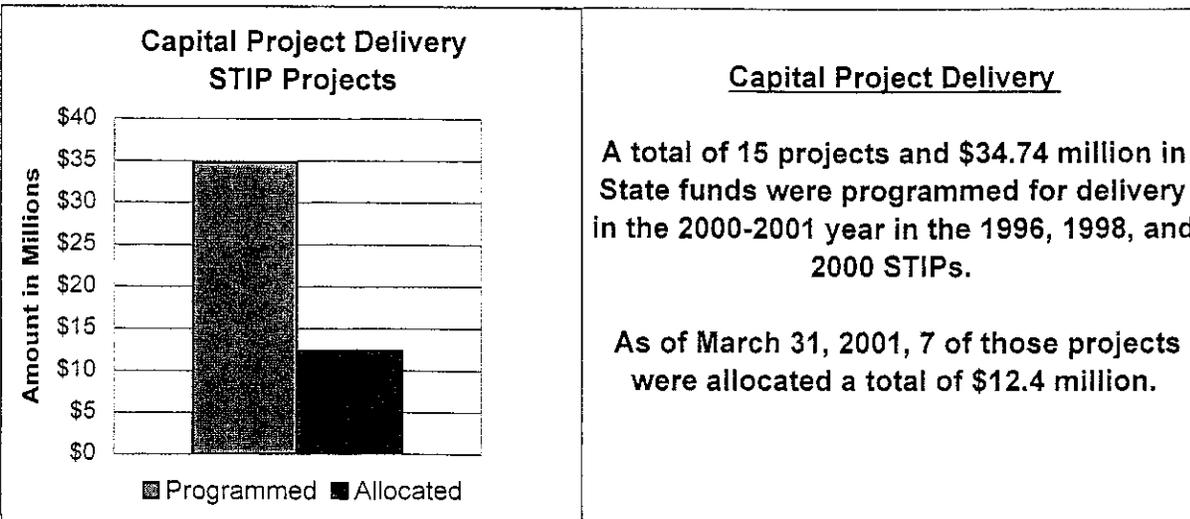


Ridership and Financial Performance

Capitol Corridor - Ridership for March of 93,584 passengers set a new all-time high for one month. Overall, through March 2001, ridership is up 59.6%, exceeding the business plan projection by 37%. Through February, revenue and expenses are up 33.2% and 9.1% respectively, resulting in a farebox ratio of 39.8%, up from 32.6%.

Pacific Surfliner Route - Ridership is up 4.6% over prior year, but remains short of the plan by 5%. Revenues are up 12.2%, while the expenses have only climbed 2.5% resulting in a 52.2% farebox ratio, a substantial improvement over the 47.7% during the same period last year.

San Joaquin Route - Ridership is up 6.1% which is consistent with the business plan projections. Revenues are up 12.0%, expenses up only 3.8% resulting in a farebox ratio of 44.8%, an increase over the ratio of 41.5% from the prior year.





BUDGETS PROGRAM
CTC Quarterly Report - Q3 FY 00/01
Appropriation vs. Program/Allocation

Background:

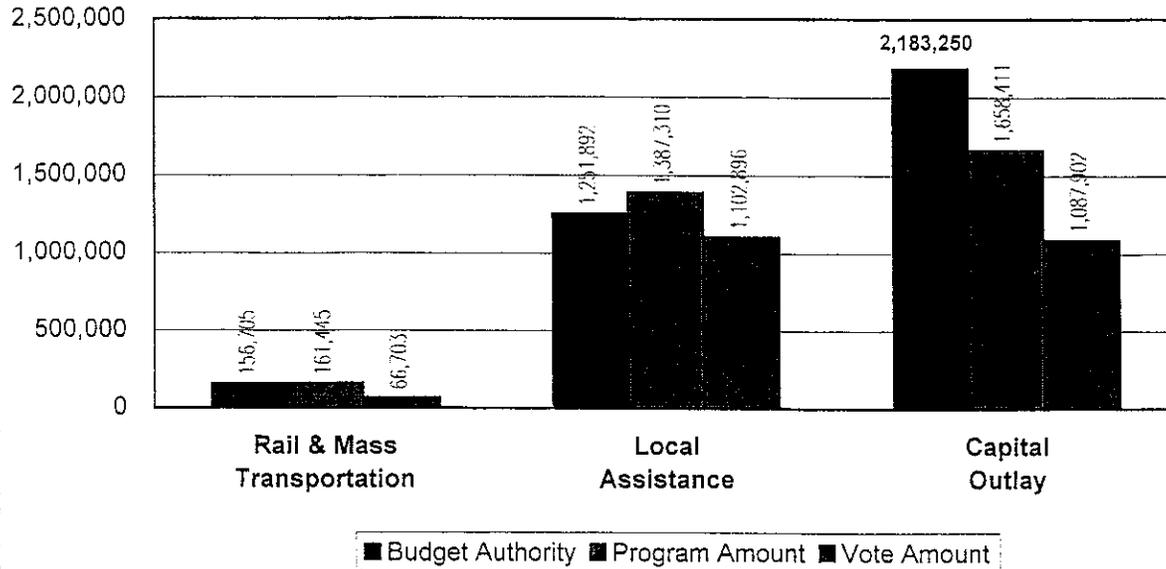
- The charts for Capital Outlay and Local Assistance reflects highway transportation projects only.
- Rail and Mass Transportation includes Local Mass Transit and Intercity Rail Capital Projects.
- For Local Assistance, allocation of non-STIP local funds total \$952 million.
- For Capital Outlay, Right-of-Way of \$195 million is included in the budgeted, programmed, and voted totals.
- The Department has the authority to realign the appropriations for Capital Outlay, Local Assistance, and Mass Transportation to reflect votes by the California Transportation Commission (CTC).



BUDGETS PROGRAM

CTC Quarterly Report - Q3 FY 00/01

2000/2001 Appropriation vs. Program and Vote Amounts



Analysis:

- For the Mass Transportation Program, the allocation amount was increased during the March CTC vote by \$41.6 million because of the Pasadena Blue Line Extension project which was approved for Los Angeles County.
- The budget for the Local Assistance Program was decreased by \$8 million due to a transfer to the Pedestrian Safety Account (2660-101-2500). During the third quarter, there were only minimal changes to the voted and programmed amounts for current year because Local Assistance projects are being allocated from prior year funding. Prior year funding is being used to better align the Program with the current year's Local Assistance budget. Prior year allocations total \$33 million.
- The current Capital Outlay vote amount is \$570 million less than the programmed amount for the year. The net change between the Budget Authority and the programmed amount is a reduction of \$524 million. The biggest impact to that change was the April 30, 2000 CTC Agenda Item 3.7, which delayed and moved projects totaling \$645.7 million to future years.

APPENDIX

APPENDIX

**Division of Construction
CONTRACT ADMINISTRATION AND CLAIMS EXPOSURE
CTC Quarterly Report - Q3 FY 00/01**

Century Freeway (Route 105) tracking of CTC Resolution G-96-22

The Department is authorized by G-96-22 Resolution to consolidate the available contingency balances on the Century Freeway (Route 105) corridor projects for purposes of resolving claims within the corridor. The following chart reports the claims settled and paid utilizing this authority.

	Completed Contract EA's with claims on 9/96	Current Contract Allotment in dollars \$(1000)	Dollars paid in claim resolution \$(1000)	Dollars claimed in arbitration (Prayer amount) \$(1000)	Update/Status	Claim dollars paid from contingency balance fund \$(1000)	Claim Resolution Completed
1	07-007394	707	118	257	Arbitration closed by Contractor 1/97	0	Yes
2	07-007444	12,316	1,555	1,886	Arbitration	1,300	No
3	07-007574	1,260	30	0	Chief Engineer determination	0	Yes
4	07-007604	19,176	3	1,327	Arbitration decision Memo 10/21/97	0	Yes
5	07-060104	37,409	19,566	19,566	Arbitration decision Memo 5/14/98	10,709	Yes
6	07-060234	19,893	1,896	1,142	Arbitration decision Memo 7/21/98	1,301	Yes
7	07-060244	82,970	6,624	1,350	DRB Settlement	0	Yes
8	07-060284	136,804	239	0	District Settlement	0	Yes
9	07-060324	35,775	3,295	0	Chief Engineer determination	0	Yes
10	07-060334	73,995	446	10,677	Mediation determination	3,460	Yes
11	07-060354	24,559	415	2,977	Arbitration	150	Yes
12	07-060374	82,656	0	0	Chief Engineer determination	0	Yes
13	07-060384	83,737	43	1,162	Arbitration	0	No
14	07-110244	3,435	963	0	Chief Engineer determination	800	Yes
15	07-113284	704	79	0	Chief Engineer determination	0	Yes
16	07-114224	1,814	696	0	Legal Settlement Agreement	175	Yes
17	07-114244	1,767	253	0	Chief Engineer determination	219	Yes
18	07-114254	1,753	625	0	Chief Engineer determination	0	Yes
19	07-114284	2,028	334	0	Chief Engineer determination	280	Yes
20	07-118144	10,364	471	0	Chief Engineer determination	105	Yes
21	07-118164	1,198	208	0	Chief Engineer determination	171	Yes
22	07-118184	1,851	134	0	Chief Engineer determination	54	Yes
23	07-119954	1,661	28	0	District Settlement	0	Yes
24	07-112584	3,746	1	0	District Settlement	0	Yes
	Total	\$641,578	\$38,022	\$40,344		\$18,724	

25	07-118174 (1)	1,943	328	0	Chief Engineer determination	215	Yes
26	07-118194 (1)	1,380	320	0	Legal Settlement Agreement	325	Yes
27	07-119994 (1)	9,645	874	528	Arbitration Settlement	874	Yes
	MTA Totals	\$12,968	\$1,522	528		\$1,414	

TOTALS	\$654,546	\$39,544	\$40,872			\$20,138	
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Note:

(1) 100% funded by MTA - (MTA not contributing money)

In addition, MTA has not contributed funds on several projects, including 07-007604 (approx. \$2.5 million).

Contingency balance of corridor fund:

Original contingency fund balance	23,261
Dollars paid from fund	20,138
Balance of contingency fund	\$3,123

PAED Milestone Delays - STIP Projects

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03	3209	ED	50	016.4	OPERATIONAL IMPROVEMENTS	ND	Project scope related delays. Delay in City's rescoping effort delayed re-start of env. Studies. Design related impacts to Historic Resources.
03	0366C 0298B	YUB	70	000.6	CONST 4-LN EXPWY	ES	Resource agency review time, exceed established protocol and extensive time for FHWA to request other agency involvement. Includes PPNO 0298B,P
03	0016W	BUT	149	000.0	CONST 4 LN EXPRS & 2 FWY TO FWY	ND	FHWA review time exceeded the established protocol.
04	0781E	SON	101	013.9	WIDEN FROM 4 TO 6 LANES FOR HOV & RECONSTRUCT I/C	ND	A value analysis study for this project was completed in Jan. 2000. Alternative 2B was accepted and will be evaluated during the Environmental Studies phase. The new alternative also required additional traffic forecasting and analysis effort that further delayed the schedule.
04	0669B	SM	92	005.0	SLOW VEHICLES LN/SAFETY IMPROVEMENT	ND	Project has complicated involvement with GGNRA and City of San Francisco Water District (Crystal Springs Reservoir); Original PA/ED scheduled for 1992; IS/EA circulated in 1992; partners not happy with document - document put aside and focus changed to increasing partnership efforts with affected interests; Project scope changed from \$ 8 million to \$ 32 million; Drainage close to 1/3 of cost - large amount of engineering involved.
04	0016F	ALA	880	000.1	WIDEN TO 8 LANES (POR TO 0418D) AND MODIFY ROUTE 262/I-880 I/C	ND	Originally a Measure project as part of larger widening of 880. Now a separate project; Additional studies and lack of response from the Rail- Road authority caused the delay.
04	0134C	ALA	580	029.5	CONNECTIONS TO NEW RTE 238	ES	Project has no utility w/o Hayward Bypass; waiting for the Bypass to move forward to take further action on this project; Needs Environmental Reevaluation and is dependent on other Rte238 projects.
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02	1006	TRI		000.0	CONST OFFICE-EQUIP BAYS-COVER	CE	Haz Waste investigation and extent of contamination.
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03	8900	YOL	80	011.3	BRIDGE REHABILITATION	ND	Additional time is needed to coordinate with FHWA & US FWS.
03	2414	BUT	99	030.6	CONSTRUCT MEDIAN BARRIER	CE	Controversy over the removal of oleanders from the median will require additional time to determine the
03	2007	YUB	000	000.0	REPLACE MATERIALS LAB	ND	There has been a change in project location due to issues with the local development.
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Total year planned 89 Milestones

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Delivered 65 out of planned 3 Qtr YTD 121

Total year planned 150 Milestones

Fiscal Year PAED Delivery Forecast as of May 17, 2001

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Approximately 25 / 89 milestones will be delayed

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7 additional milestones were delivered since 3 Qtr.

Forecast to deliver 68% of STIP PAED milestones

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2 milestones were delivered at end of last year

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Forecast to deliver 68% of STIP PAED milestones

SHOPP Projects

Approximately 28 / 150 milestones will be delayed

2 milestones were delivered at end of last year

11 additional milestones were delivered since 3 Qtr.

Forecast to deliver 81% of SHOPP PAED milestones

PAED Milestone Delivery Summary

3rd Quarter PAED Milestone Delivery

STIP Projects

Delivered 40 out of planned 3 Qtr YTD 79

Total year planned 89 Milestones

SHOPP Projects

Delivered 65 out of planned 3 Qtr YTD 121

Total year planned 150 Milestones

Fiscal Year PAED Delivery Forecast as of May 17, 2001

STIP Projects

Approximately 25 / 89 milestones will be delayed

4 milestones are locally controlled.

7 additional milestones were delivered since 3 Qtr.

Forecast to deliver 68% of STIP PAED milestones

SHOPP Projects

Approximately 28 / 150 milestones will be delayed

2 milestones were delivered at end of last year

11 additional milestones were delivered since 3 Qtr.

Forecast to deliver 81% of SHOPP PAED milestones

PAED Milestone Delays - STIP Projects

Dist	PPNO	Cty	Rte	PM	Description	E D	Comments
02	6651	SHA	273	016.7	REALIGN & SHIFT REDDING COUPLETS	CE	Project includes areas outside original study area. Now includes Hazardous Waste issues which were not identified previously.
03	3907	GLE	162	065.6	CONSTR MEDIAN, LEFT TURN, SIGNALS	CE	City Council requested change in scope.
03	3209	ED	50	016.4	OPERATIONAL IMPROVEMENTS	ND	Project scope related delays. Delay in City's rescoping effort delayed re-start of env. Studies. Design related impacts to Historic Resources.
03	0366C 0298B	YUB	70	000.6	CONST 4-LN EXPWY	ES	Resource agency review time, exceed established protocol and extensive time for FHWA to request other agency involvement. Includes PPNO 0298B,P
03	0016W	BUT	149	000.0	CONST 4 LN EXPRS & 2 FWY TO FWY	ND	FHWA review time exceeded the established protocol.
04	0781E	SON	101	013.9	WIDEN FROM 4 TO 6 LANES FOR HOV & RECONSTRUCT I/C	ND	A value analysis study for this project was completed in Jan. 2000. Alternative 2B was accepted and will be evaluated during the Environmental Studies phase. The new alternative also required additional traffic forecasting and analysis effort that further delayed the schedule.
04	0669B	SM	92	005.0	SLOW VEHICLES LN/SAFETY IMPROVEMENT	ND	Project has complicated involvement with GGNRA and City of San Francisco Water District (Crystal Springs Reservoir); Original PA/ED scheduled for 1992; IS/EA circulated in 1992; partners not happy with document - document put aside and focus changed to increasing partnership efforts with affected interests; Project scope changed from \$ 8 million to \$ 32 million; Drainage close to 1/3 of cost - large amount of engineering involved.
04	0016F	ALA	880	000.1	WIDEN TO 8 LANES (POR TO 0418D) AND MODIFY ROUTE 262/I-880 I/C	ND	Originally a Measure project as part of larger widening of 880. Now a separate project; Additional studies and lack of response from the Rail- Road authority caused the delay.
04	0134C	ALA	580	029.5	CONNECTIONS TO NEW RTE 238	ES	Project has no utility w/o Hayward Bypass; waiting for the Bypass to move forward to take further action on this project; Needs Environmental Reevaluation and is dependent on other Rte238 projects.
05	0057C	MON	156	001.6	WIDEN TO 4 LANE DIVIDED EXPRESSWAY	ES	East end of project must connect to the preferred alternative for the Prunedale Freeway to be selected in 2005. This EIS must follow after approval of the Prunedale Freeway EIS.
05	0482	SB	101	002.2	RECONSTRUCT INTERCHANGES (2) & REPLACE CARPINTERIA CR BR	ER	Project was programmed with minimal alternative considerations. Delay caused by combining two RTIP projects, and in obtaining consensus on alternatives from City.
05	4607	SB	101	014.7	REVISE INTERCHANGE	ND	A pedestrian overcrossing was scheduled to be replaced but is now being seismically retrofitted in place. It was recently noted that the existing POC lacks adequate vertical clearance. Discussions are underway to determine a course of action.
05	4638	SB	101	083.4	CONSTRUCT INTERCHANGE	ND	Locals added a new alternative after studies were completed due to public controversy. Delay in obtaining Permits to Enter to study new alternative.
08	0075G	RIV	86	003.2	CONSTRUCT FRONTAGE ROADS	ES	Still having difficulty obtaining concurrence from FWS and F&G regarding mitigation that will adequately address impacts planned for the frontage roads.
08	0125J	RIV	215	042.6	CONST SBI215 TO EB I215 FLYOVER	ES	Project has endured several scope changes. Project is undergoing risk design. Includes PPNO 121D,B,E,G
08	0234N	SBD	83	000.9	REPLACE BRIDGE (SCOUR)	ND	Project footprint not yet defined. In consultation with resource agencies, new alternatives are being considered to avoid/minimize impacts to an environmentally sensitive location.
08	0076B	RIV	091	000.9	RECONSTRUCT IC & CONSTRUCT AUX LANE (EB RTE 91)	ND	Just finalized footprint. Project will most likely go through Section 7 consultation. New PA&ED target date is 4/03.
10	7673 9841	SJ	99	018.6	WIDEN TO 6 LANES IN MEDIAN	ND	4(f) issue came up late in project (because of design changes) regarding historic hotel - was evaluated and alternative dropped to avoid. Caltrans design-related delay - additional design alternatives added near end of environmental process requiring significant revisions.
11	0549	IMP	098	030.8	WIDEN FREEWAY	CE	Expanded scope from smaller operational to major widening - CE to ND.
12	4434	ORA	90	012.3	CONST GRADE SEP	ND	Caltrans took over the project when the City of Yorba Linda when cities consultant failed to complete the Environmental Document on time and ran out of money. Technical studies performed by consultant were incomplete. Caltrans environmental specialists working to complete the technical studies by the end of January 2001. Delay reason is Project that Caltrans took over for work initially produced and not completed by consultant.

PAED Milestone Delays - SHOPP Projects

Dist	PPNO	Cty	Rte	PM	Description	E D	Comments
01	0120C	LAK	20	038.6	ROADWAY REHABILITATION 2 LOC'S 42.0	CE	New Historical studies required.
01	0135	MEN	1	010.7	REALIGN HIGHWAY TO RETREAT FROM	ND	A PCR was approved on 3/29/01 to push out PA&ED to 10/1/03 T.
01	0219	MEN	253	000.5	UPGRADE RAIL, WIDEN & SCOUR	CE	Biological Opinion outstanding. Continued NMFS issues.
01	0001K	DN	169	002.5	REPLACE BRIDGE	CE	Supplemental Sec. 7 consultation required.
01	0054A	HUM	101	056.5	BRIDGE REPLACEMENT;LEFT (SCOUR)	ND	Environmental's access to property was delayed due to lawsuit.
02	8420	TEH	99	008.4	BRIDGE REPLACEMENT (SCOUR)	ND	Resource Agency coordination issues
02	1006	TRI		000.0	CONST OFFICE-EQUIP BAYS-COVER	CE	Haz Waste investigation and extent of contamination.
02	3030	TRI	3	006.5	REPLACE BRIDGE (SCOUR)		Resource agency time frame requirements for approving impacts to Steelhead and Coho Salmon.
03	2006	YUB		000.0	MARYSVILLE AREA MAINTENANCE	CE	Project scope and design strategy, additional time is needed to develop scope and complete related studies.
03	8900	YOL	80	011.3	BRIDGE REHABILITATION	ND	Additional time is needed to coordinate with FHWA & US FWS.
03	2414	BUT	99	030.6	CONSTRUCT MEDIAN BARRIER	CE	Controversy over the removal of oleanders from the median will require additional time to determine the
03	2007	YUB	000	000.0	REPLACE MATERIALS LAB	ND	There has been a change in project location due to issues with the local development.
04	0379C	NAP	29	029.3	ROADWAY REHABILITATION X	CE	Section 16 package was submitted to FHWA in Oct., 2000. FHWA has not reviewed yet.
04	0028A	ALA	880	011.8	BRIDGE DECK REHABILITATION	CE	Additional Environmental Studies needed for Fantail Bat, Salmon and Frog/
04	0413D	SCL	880	003.6	HIGHWAY PLANTING AND RESTORATION	CE	Construction conflict.
04	0449M	SCL	101	000.4	INSTALL MEDIAN BARRIER	CE	Coordination required with Fish and Wildlife Service for potential California red-legged frog.
06	4205A 4231 3321 4206	KIN	41	000.0	RAISE GRADE ON NEW ALIGNMENT	ND	State Historic Preservation Office not concurring with our MOA which accompanied the HPSR. Discussions will have to be held between Caltrans and SHPO to achieve an agreement on the MOA. Currently, we are making one last request from FHWA to separate two of the four project into one Environmental Document which can be approved now and the other two projects being associated with another Environmental Document, which will not be approved until the MOA is approved.
06	6540	TUL	198	021.5	AC OVERLAY AND WIDEN	ND	U.S. Fish and Wildlife Service has requested additional formal consultation for kit fox. This requires that a supplemental Biological Assessment be prepared.
08	0186	SBD	18	044.2	REPLACE BRIDGE & REALIGN ROADWAY	ES	Long Standing project. Bridge location agreed to but number of lanes not yet finalized
08	0204F	SBD	038	009.1	WIDEN BRIDGE, UPGRADE BRIDGE RAIL	ND	Footprint is not yet defined. Environmental must still go through Section 7 consultation.
08	0179B	SBD	15	177.8	CONST COMM VEH ENFORCEMENT	ND	Delay in obtaining right of entry permits from BLM to perform foundation drilling and testing.
08	0211J	SBD	40	133.0	CONSTRUCT TRUCK WEIGH STATION	ND	Delay in obtaining right of entry permits from BLM to perform foundation drilling and testing.
08	0017A	RIV	215	032.5	EXTEND TRAPEZOIDAL CHANNEL	ND	Original PSR alternatives for channel alignments were designed through March Air Reserve Base (MARB) and had serious Environmental impacts. Revised PSR includes alternative outside (MARB) that could be cleared through CE.
08	0234N	SBD	83	000.9	REPLACE BRIDGE (SCOUR)	ND	Project footprint not yet defined. In consultation with resource agencies, new alternatives are being considered to avoid/minimize impacts to an environmentally sensitive location.
08	0348H	SBD		000.0	CONSTRUCT NEW MAINTENANCE STATION	CE	Original sites identified in the PSR were discounted due to Environmental impacts. Currently evaluating three possible locations.
11	0035	IMP	78	075.6	WIDEN STRUCTURES	CE	Found new/unexpected endangered species