State of California
DEPARTMENT OF TRANSPORTATION

California State Transportation Agency

Memorandum

TAB 54

To: CHAIR AND COMMISSIONERS
CALIFORNIA TRANSPORTATION COMMISSION

CTC Meeting: January 20-21, 2016

Reference No.: 3.8 – ***REPLACEMENT ITEM***
Information Item

From: NORMA ORTEGA
Chief Financial Officer

Prepared by: James E. Davis, Chief
Division of Project Management

Subject: **FY 2015-16 FIRST QUARTER PROJECT DELIVERY REPORT**

Attached is the California Department of Transportation's Fiscal Year 2015-16 First Quarter Project Delivery Report.

Attachment

CALIFORNIA DEPARTMENT OF TRANSPORTATION

First Quarter
Fiscal Year 2015-16
Project Delivery Report

Quarterly Report to the California Transportation Commission

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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 performs to preserve, protect, and enhance 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 fatalities and serious injuries resulting from traffic accidents. System expansion projects reduce congestion by adding lanes or constructing highways.

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.

Measures – 1st Quarter Fiscal Year 2015-16

Measure	Year-To-Date thru 1st Quarter			Annual Commitment		Year-End Projection		Goal	Status
	Completed	Plan	Percent	Plan	Percent	Forecast	Percent	Percent	
Project Approval, Environmental Documents									
Projects Approved	60	71	86	263	23	258	98	90	✓
Draft Environmental Documents Completed	8	14	57	82	10	79	97	80	✓
Right of Way: Projects Certified									
Projects Certified	44	30	147	260	17	257	99	100	☒
Allocation Funds Committed (millions)	$47	NA	NA	$144	33	$144	100	100	✓
Delivery: Projects Designed and Ready for Construction									
Projects Designed and Ready for Construction	17	17	100	244	7	243	99	100	☒
Capital Value Ready for Allocation (millions)	$37	$96	38	$2,052	2	$1,956	95	100	☒
Construction: Projects Constructed									
Contracts Accepted	58	28	207	209	28	205	98	95	✓

Measure	Year-To-Date thru 1st Quarter			Annual Commitment		Year-End Projection		Goal	Status
	Completed	Plan	Percent	Plan	Percent	Forecast	Percent	Percent	
Closeout Costs									
State Transportation Improvement Program Costs (millions)	**$978**	**$1,000**	**98**	**NA**	**NA**	**NA**	**NA**	**< 100**	✓
State Highway Operations and Protection Program Costs (millions)	**$332**	**$376**	**88**	**NA**	**NA**	**NA**	**NA**	**< 100**	✓

Legend

✓ It is expected that Caltrans will meet the delivery goal.
△ There is high risk on enough projects that Caltrans may not meet the delivery goal.
☒ It is likely that Caltrans will 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 fiscal year 2014-15, 96 percent of construction projects were completed within the Commission's capital allocation and Caltrans' delegated funding authority.

As of December 1, 2015, Caltrans had 686 projects valued at $8.1 billion under construction. We have identified risks below on 26, or 3.8 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	11	10		$25-30 million	Construction Capital $ 244 million	If supplemental funds are needed, this will occur in the next six months.
			4	$15-20 million	Construction Support $ 68 million	If supplemental funds are needed, this will occur in 6 months to 2 years (or more).
Construction Projects in Progress	15		5			
		12		$115-125 million	Construction Capital $ 832 million	If supplemental funds are needed, this will occur in 6 months to 2 years (or more).
TOTALS	26	22	9			

Note: Projects stricken are 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 be needed to close-out the construction contract due to claims that have been agreed upon by Caltrans. The contract is complete.								
SJ	99	Manteca Widening phase 1	Bond, STIP	$31.6	$5.0	VH	A	Construction Capital
						VH	A	Construction Support
Additional funds are needed for construction support over-expenditures and to provide enough funding to close out the project. The proposed plan is to transfer construction support savings from Manteca Widening Phase 2.								
Mer	99	Plainsburg Road Freeway	Bond, STIP	$53.1	$8.3	VH	A	Construction Capital
						VH	A	Construction Support
Additional funds of are needed for construction support over-expenditures and to provide enough funding to close out the project. The proposed plan is to request an amendment to transfer savings from Construction Capital to Construction Support. Additional support cost were required to process over 50 Contract Change Orders. It is anticipated that the savings from Construction Capital will be adequate to complete final project closeout, including right of way monumentation and claims work.								
Sol	80/12	WB I-80 to SR 12 Connector and Green Valley Rd Interchange	Bond, STIP	$56.4	$21.5	VH	A	Construction Support
Supplemental funds are needed to complete contract administration due to design changes caused by differing site conditions and staging conflicts that added working days to the contract.								
Tuo	108	Sonora Bypass	Bond, STIP	$27.0	$14.4	VH	↑	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 went into mediation in September, 2015, and a judgment was made that Caltrans owes the contractor additional money. Proposed for an upcoming Commission meeting will be a supplemental funds request to settle the judgment.								
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.								
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.								
SM	1	Pond Repair	STIP	$1.3	$1.3	M	A	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.								

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk	Component
Sut	99	Riego Road Interchange	SR99 Bond	$20.0	$7.0	L	= 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.

LA	10	Metal Beam Guardrail	SHOPP	$2.7	$3.3	D	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.~~ Received Office of Traffic Safety Funds.

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 met 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
						VH	= Construction Support

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 September 2015. Subsequently, a request for additional funds will be prepared for approval at the March meeting.

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

Request for additional funds is proposed for the January 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 continued but has recently stablized. The recommended alternative to repair the embankment failure will require supplemental funds.

Men	101	Willits Bypass	STIP	$209.1	$99.7	M	= Construction Capital
						VH	= 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.

Cty	Rte	Description	Program✶	Capital $◊	Support $◊	Risk	Component
Mad	99	Avenue 12 Interchange	Bond, STIP	$69.4	$14.8	VH A	Construction Support
Support costs have increased due to constuction delays for utility relocation.							
Sac	Var	High Friction Surface Treatment	SHOPP	$2.4	$0.5	H A	Construction Capital
Patent issues and multiple unsuccessful attempts to place high surface friction treatment (HFST) have resulted in the decision to remove the HFST work from the contract. Potential need for additional funds to cover item adjustment costs associated with reduced item work as well as potential claims.							
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	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.							
SBd	15	Point of Entry, Truck Enforcement	SHOPP	$41.6	$24.1	M ↓	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.							
Son	12	Laguna De Santa Rosa Bridge	SHOPP	$11.2	$6.8	M ↓	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.							
Sha	5	Bridge Replacement	SHOPP	$125.0	$43.0	M =	Construction Capital
Additional funds may be needed to settle 33 outstanding claims due to differing site conditions on foundations. Dispute resolution hearings for all but three of the claims have been held. Working through 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.							
SJ	5	North I-5 Rehab	SHOPP	$44.5	$7.9	D	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~~. Funds approved at October meeting.							

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.

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. The funds request is anticipated for the May meeting. 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 Caltrans is working with the Federal Highway Administration to achieve their approval.

Sta	*99*	*Pelandale Ave Interchange*	*BOND*	*$4.3*	*$54.6*	M ↓	*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.	$ 35 - 40 million	Right of Way $ 71 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.

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.

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.

Cty	Rte	Description	Program✶	Capital $◊	Support $◊	Risk	Component
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.

Cty	Rte	Description	Program✶	Capital $◊	Support $◊	Risk	Component
LA	5	Carmenita Interchange	STIP, Local	$340.2	$54.9	M ↓	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.~~ Locals have agreed to cover cost increases by debit against future county shares from STIP programming. Final right of way cost will be reported at closeout.

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 - 8 projects	$ 15-20 million	Construction Capital $ 49 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	$ 1-3 million	Construction Capital $ 6 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
Sis	161	Pavement Rehabilitation	SHOPP Minor	$1.0	$1.0	VH A	Construction Capital

This portion of State Route 161 is in desperate need of rehabilitation. Because the route is considered low priority and does not qualify for SHOPP Major funding, the District used SHOPP Minor funds to prevent further degradation of the roadway.

Cty	Rte	Description	Program✶	Capital $◊	Support $◊	Risk	Component
Ala	580	Ramp Pavement Rehabilitation	SHOPP	$2.8	$1.1	VH A	Construction Capital

Bid results were higher than the engineer's estimate due to the number of locations, new and unique construction techniques, and restrictive work windows that only allow for work to be performed at night. The construction capital estimate was increased during preliminary engineering, however, bid results were still higher than anticipated.

Cty	Rte	Description	Program✶	Capital $◊	Support $◊	Risk	Component
Ora	73	Widen Roadway	SHOPP	$1.9	$1.9	VH A	Construction Capital

The project was recommended for award using G12 authority but the lowest bidder was found to be non-responsive. The second lowest bidder is slightly higher than G12 authority and will require a supplemental request to award.

Cty	Rte	Description	Program✶	Capital $◊	Support $◊	Risk	Component
Ker	58	SR 58 Friction Surface	SHOPP	$0.3	$0.4	H A	Construction Capital

Additional funds may be needed to award the contract. Potential increase in estimate due to innovative construction method.

Cty	Rte	Description	Program✶	Capital $◊	Support $◊	Risk	Component
Men	101	Willits Mitigation Riparian Wetland	STIP	$26.3	$3.0	M ↓	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.~~ Contracts for this project awarded to date are within approved allocation at May 2013 meeting. 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.

Cty	Rte	Description	Program✶	Capital $◊	Support $◊	Risk	Component
Sha	5	Seismic Retrofit	SHOPP	$13.1	$6.1	M A	Construction Capital

Bids were higher than expected for the project. Additional funds were secured from the Office of Traffic Safety to allow the project to be awarded within G12 authority. The District is proposing to award to the lowest bidder, however, analysis of the bids is ongoing. If the two lowest bidders are found inegligible then the District may need to request a supplemental request to award.

Cty	Rte	Description	Program*	Capital $◊	Support $◊	Risk		Component
Sha	Var	High Reflective Signs	SHOPP	$2.0	$0.7	M	A	Construction Capital
Bids were higher than anticipated for the project but are within G12 authority. Instead of delaying the project by redesigning to reduce the scope, the District will use part of the contingency to award the project. In the event that the capital budget is insufficient, sign locations will be removed during construction.								
SC	9	Upgrade Bridge Rail	SHOPP	$1.6	$0.50	M	A	Construction Capital
Additional funds may be needed to award the contract. Bids were higher than engineers estimate.								
Hum	101	Rehabilitate Bridge Deck	SHOPP	$4.8	$2.4		D	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~~. Funds approved at October meeting.								
Sis	5	Improve Truck Inspection Facility	SHOPP	$4.7	$2.7		D	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~~. Funds approved at October meeting.								
Mon	101	Median Barrier	SHOPP	$4.8	$2.4		D	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.~~ Additional funds granted based on Safety Delegation Resolution G-06-13. The project was within 120% of programmed funds and was awarded in Oct 2015.								
SJ	99	Rehabilitate Pavement	SHOPP	$5.0	$0.4		D	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~~. Funds approved at October meeting.								
Ala	260	Guardrail Replacement and Building Restoration	SHOPP	$7.6	$3.1		D	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.~~ Contract was awarded October 2015 within available funds.								
Ora	57	Slab replacement	SHOPP	$4.50	$1.35		D	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~~. Project awarded within programmed amount.								

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

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk		Component
Kin	43/137	Whitley Avenue Intersection Improvements	SHOPP	$2.4	$2.0	VH	A	Construction Capital
Additional funds may be needed to advertise project. Potential increase in estimate due to recent high bids on similar roundabout project for traffic control system and various items of work involving concrete (curbs, sidewalks, splitter islands and truck aprons).								
Slo	101	Major Damage, Bridge Rail Replacement	SHOPP	$1.5	$0.7	VH	A	Construction Capital
Additional funds are needed to advertise this permanent restoration project. The latest capital estimate is over the programmed budget due to increases in material costs, addition of safety features, changes in construction techniques, and increases in traffic control. Support resources do not adequately capture the amount of work required for the revised capital estimate and need to be increased accordingly. Additional funds will be requested at the March meeting.								
Men	101	Willits Bypass Fish Passage	STIP	$2.3	$1.2	H	=	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). Locals (Mendocino County) proposed to cover 15% of construction capital increases. Project is also shown as a delivery risk on subsequent pages.								
Tuo	120	Bridge Rehabilitation	SHOPP	$13.7	$5.8	D		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*~~. *Funds approved at October meeting.*								
SB	Var	Retrofit Exit Signs	SHOPP	$3.0	$1.7	D		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.*~~ *Funds approved at October meeting.*								

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 15-16 CFD Projects That Will Not be Delivered

Caltrans has 244 projects valued at $2.1 billion in the FY 15-16 Contract for Delivery.

Cty	Rte	Description	Program✶	Capital $◊	Support $◊	Risk		Component
Mpa	*140*	*Restore 2 Lane Access and Construct Rockshed*	*SHOPP*	*$96.1*	*$29.2*	VH	A	*Fiscal Year Delivery*

A significant rockslide occurred at the project site in November of 2015. The rockslide revealed that the area of instability is larger than previously estimated. The project is in winter suspension on this Construction Manager/General Contractor pilot project and the site has been secured to prevent injury. Stakeholders and media outlets have been contacted to inform them of the current situation. The site is being monitored and geotechnical studies are ongoing to determine a course of action.

FY 15-16 CFD Project Risks

High to Very High Risk Delivery

Cty	Rte	Description	Program✶	Capital $◊	Support $◊	Risk		Component
Imp	*98*	*Widen From 2 to 4 Lanes*	*STIP*	*$8.2*	*$4.2*	VH	A	*Fiscal Year Delivery*

Right of way certification is a major risk to delivery. A Construction and Maintenance agreement was determined unacceptable by the railroad therefore the project is moving forward with a request for an easement from the railroad.

LA	*138*	*Widen From 2 to 4 Lanes*	*STIP*	*$7.8*	*$7.0*	H	=	*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. A work around certification may be necessary

Tul	*99*	*Betty Drive Interchange*	*STIP/Local*	*$56.0*	*$10.7*	H	A	*Fiscal Year Delivery*

Right of way certification is a major risk to delivery due to a pending Construction and Maintenance agreement with two railroad companies. In addition, one parcel owner has requested to appear before the commission.

Ala	*880*	*Lake Merritt Channel Railroad Bridge Replacement*	*SHOPP*	*$11.3*	*$3.6*	H	A	*Fiscal Year Delivery*

The project requires extensive coordination with several environmental permitting agencies. As the owner/operator of the newly constructed bridge, Union Pacific Railroad will be the applicant for the environmental permits. The risk is that Union Pacific Railroad may not agree with the conditions of the permitting agencies, and therefore the permits may not be issued or may be delayed. Additional risk includes complex utility relocations involving Kinder Morgan pipelines and other utility companies.

Cty	Rte	Description	Program✶	Capital $◊	Support $◊	Risk	Component
Nap	29	Replace Napa River Bridge	SHOPP	$10.57	$6.25	H A	Fiscal Year Delivery

Complex valuations and negotiations with adjacent property owners for property rights (Fee and Temporary Construction Easements) . If adjacent property owner(s) challenge the necessity of their property for project and request for appearance at a commission meeting, then District might not have sufficient lead time to complete required District Condemnation Evaluation Meeting and the Condemnation Panel Review Meeting and get onto the commission agenda to obtain right of way certification within the current fiscal year.

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 =	Fiscal Year Delivery

Potential risk for litigation due to proximity to redwood trees. Review by permitting agencies may delay environmental clearance. Expecting to deliver project in the programmed year.

LA	405	Reconfigure Getty Center Ramps	SHOPP	$14.8	$5.5	M =	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 =	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 =	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 =	Fiscal Year Delivery

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: Projects Designed and Ready for Construction

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 ready 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 2015-16, Caltrans committed in the Contract for Delivery to deliver 244 projects ready for construction, valued at $2.1 billion. Through the end of the first quarter, Caltrans delivered 17 projects, or 7 percent of the annual commitment, with an estimated value of $36.6 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 the first quarter, fiscal year 2015-16, Caltrans has:
- *delivered 22, or 10 percent of planned State Highway Operations and Protection Program construction contracts with an estimated value of $54.9 million, or 3 percent of committed funding*
- *delivered 39 additional projects with an estimated value of $63.2 million*
- *The sum of all projects delivered from all program funding sources is 62 projects, valued at $121.5 million*

Measure: Projects Designed and Ready for Construction – 1st Quarter FY 2015-16

Fiscal Year 2015-16 Contract For Delivery

Year-to-Date thru 1st Quarter			Annual Commitment		Year-End Projection		Goal
Completed	Plan	Percent	Plan	Percent	Forecast	Percent	Percent
17	17	100	244	7	243	99	100

Five-Year Trend

Year-to-Date thru 1st Quarter					Annual Commitment thru 1st Quarter				
11-12	12-13	13-14	14-15	15-16	11-12	12-13	13-14	14-15	15-16
128%	86%	123%	95%	100%	13%	15%	7%	5%	7%

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

Measure: Contract Value Delivered – 1st Quarter Fiscal Year 2015-16

Fiscal Year 2015-16 Contract for Delivery (millions)

Year-to-Date thru 1st Quarter			Annual Commitment		Year-End Projection		Goal
Completed	Plan	Percent	Plan	Percent	Forecast	Percent	Percent
$36.6	$96.2	38	$2,052.4	2	$1,956.3	95	100

Five-Year Trend

Year-to-Date thru 1st Quarter					Annual Commitment thru 1st Quarter				
11-12	12-13	13-14	14-15	15-16	11-12	12-13	13-14	14-15	15-16
105%	31%	111%	93%	38%	9%	5%	7%	2%	2%

Five-Year Trend Analysis: The five-year trend for projects delivered is lower compared 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)	$ 258.4	$ 0		16	0	
Amended STIP	$ 0	$ 0		0	0	
Advanced STIP		$ 0			0	
Subtotal – **STIP Delivery Commitments**	$ 258.4	$ 0.0	0 %	16	0	0 %
State Highway Operations and Protection Program* (SHOPP)	$ 1,573.1	$ 33.2		223	16	
Amended SHOPP	$ 13.8	$ 13.8		5	5	
Advanced SHOPP		$ 7.9			1	
Subtotal – **SHOPP Delivery Commitments**	$ 1,586.9	$ 54.9	3 %	228	22	10 %
Minor Program Funds in Contract for Delivery (SHOPP)	$ 0.9	$ 0		0	0	
Minor Program (SHOPP)		$ 2.9			3	
Emergency Response – Major Damage Restoration (SHOPP)		$ 34.9			20	
Subtotal - **SHOPP – All Funds**		$ 92.7			45	
Partnership (Local and regional funding contributions) *	$ 220.0	$ 3.4	2 %	5	1	
Amended Partnership Program	$ 0	$ 0		0	0	
Major Maintenance Program		$ 25.4			16	
Total Delivery **All Program Funds**		$ 121.5			62	

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

Contract for Delivery support costs (17 projects delivered): Budget $ 12.2 million, Expended $ 9.7 million.

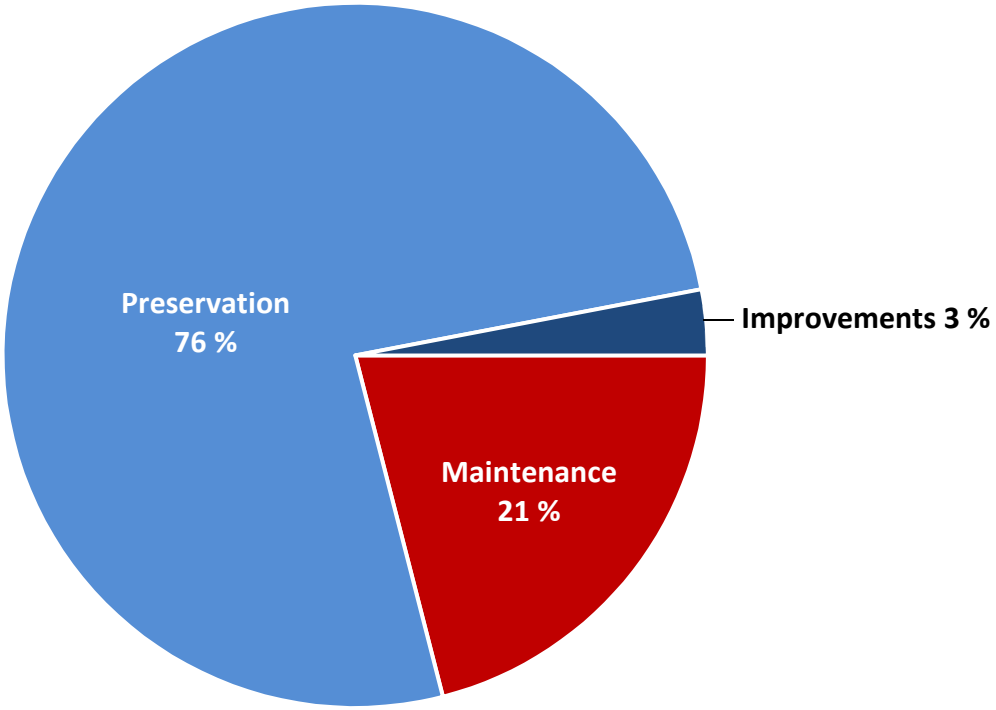
Costs are in millions.	Contract Value Committed	Contract Value Delivered	Projects Committed	Projects Delivered
Caltrans Rail: STIP Rail Capital Improvements	$ 64.5	$ 0	2	0

Project Delivery Outcomes

The table and chart below provide a distribution of transportation program dollars on projects that have been delivered to construction in fiscal year 2015-16. The projects include planned projects as well as additional projects for emergency response, program amendments, major maintenance program, and minor program contracts.

Projects Designed and Ready for Construction by Program Funding (millions)

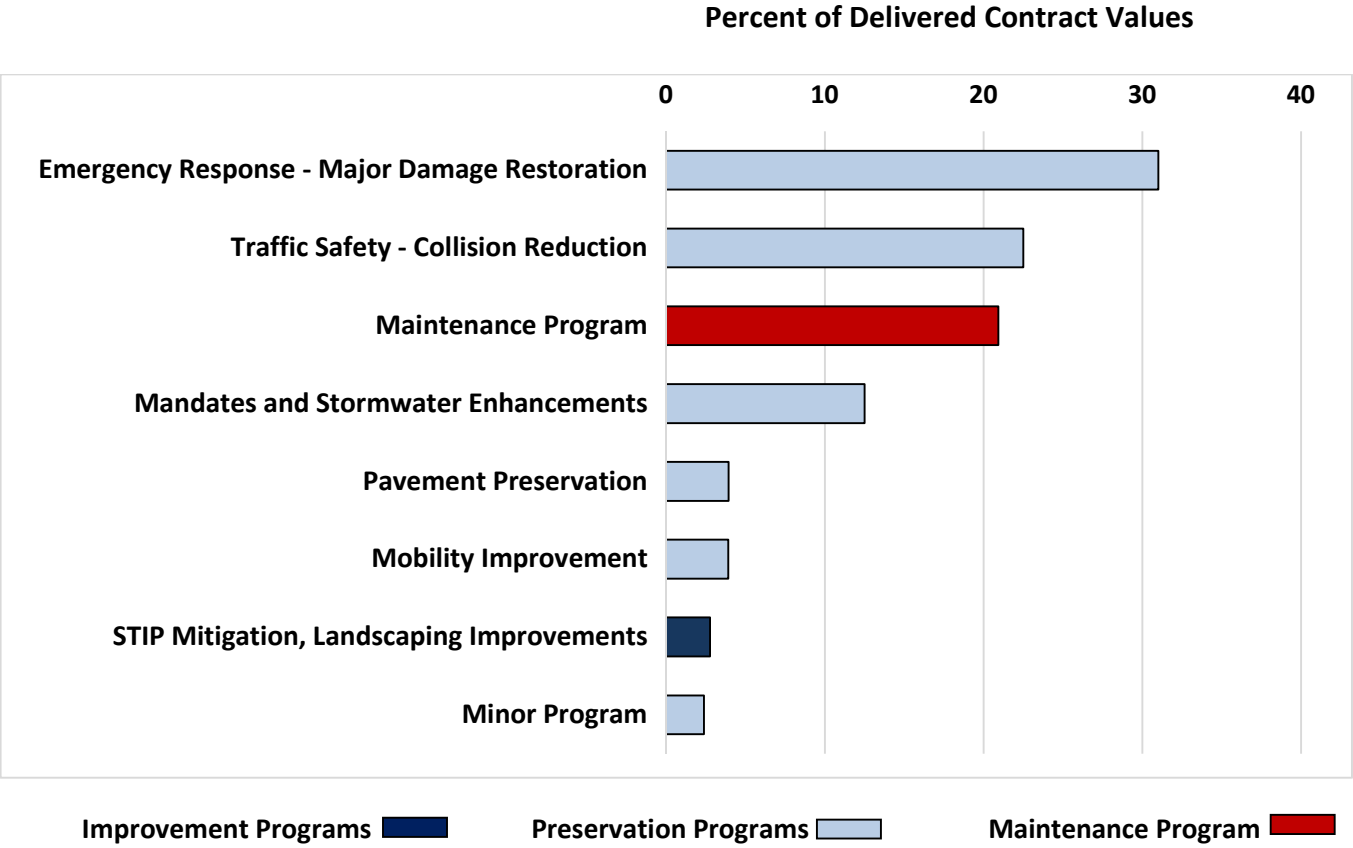
Transportation Programs	Projects	Program Dollars	Percent Major Programs (Contract Value)	Percent All Programs (Contract Value)
Preservation Programs				
State Highway Operations & Protection Program (SHOPP)	22	$ 54.9	59	45
Emergency Response - Major Damage Restoration (SHOPP)	20	$ 34.9	38	29
Minor Program (SHOPP)	3	$ 2.9	3	2
Subtotal - Preservation Programs (SHOPP)	42	$ 92.7	100	76
Improvement Programs				
Regional Improvement Program (STIP-RIP)		$ 0	0	0
Interregional Improvement Program (STIP-IIP)		$ 0	0	0
Partnership Programs (Local & local federal funds)		$ 3.4	100	3
Proposition 1B Bond Programs		$ 0	0	0
Subtotal - Improvement Programs	1	$ 3.4	100	3
Maintenance Program	16	$ 25.4	100	21
Total	62	$ 121.5		100



Delivery Outcomes

Projects Designed and Ready for Construction (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 2015-16.



Projects: 62

Capital Value: $121.5 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 2015-16, we committed to deliver 263 project approvals and environmental documents. Through the end of the first quarter, fiscal year 2015-16, Caltrans approved a total of 60, or 23 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 2015-16, we committed to deliver 82 draft environmental documents. Through the end of the first quarter, fiscal year 2015-16, Caltrans completed a total of 8, or 10 percent of the annual commitment.

Measure: Projects Approved, Environmental Documents –1st Quarter FY 2015-16

Fiscal Year 2015-16

Year-to-Date thru 1st Quarter			Annual Commitment		Year-End Projection		Goal
Approved	Plan	Percent	Plan	Percent	Forecast	Percent	Percent
60	71	86	263	23	258	98	90

Five-Year Trend

Year-to-Date thru 1st Quarter					Annual Commitment thru 1st Quarter				
11-12	12-13	13-14	14-15	15-16	11-12	12-13	13-14	14-15	15-16
98%	65%	114%	147%	86%	33%	19%	21%	31%	23%

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

Measure: Draft Environmental Documents Completed – 1st Quarter Fiscal Year 2015-16

Fiscal Year 2015-16

Year-to-Date thru 1st Quarter			Annual Commitment		Year-End Projection		Goal
Completed	Plan	Percent	Plan	Percent	Forecast	Percent	Percent
8	14	57	82	10	79	97	80

Five-Year Trend

Year-to-Date thru 1st Quarter					Annual Commitment thru 1st Quarter				
11-12	12-13	13-14	14-15	15-16	11-12	12-13	13-14	14-15	15-16
91%	25%	125%	74%	57%	23%	8%	9%	19%	10%

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

Right of Way: Projects Certified

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 2015-16, we committed to certify right of way for 260 projects. Through the end of the first quarter, fiscal year 2015-16, Caltrans certified a total of 44 projects, or 17 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 2015-16, 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 $144.3 million. Through the end of the first quarter, fiscal year 2015-16, Caltrans committed $47.5 million, or 33 percent of the annual right of way allocation approved by the Commission.

Measure: Projects Certified – 1st Quarter Fiscal Year 2015-16

Fiscal Year 2015-16

Year-to-Date thru 1st Quarter			Annual Commitment		Year-End Projection		Goal
Certified	Plan	Percent	Plan	Percent	Plan	Percent	Percent
44	**30**	**147**	**260**	**17**	**257**	**99**	**100**

Five Year Trend

Year-to-Date thru 1st Quarter					Annual Commitment thru 1st Quarter				
11-12	12-13	13-14	14-15	15-16	11-12	12-13	13-14	14-15	15-16
136%	132%	100%	80%	147%	22%	19%	11%	6%	17%

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

Measure: Allocated Funds Committed – 1st Quarter Fiscal Year 2015-16

Fiscal Year 2015-16 (millions)

Annual Commitment			Year-End Projection		Goal
Committed	Plan	Percent	Forecast	Percent	Percent
$ 47.5	$ 144.3	33	$ 144.3	100	100

Five-Year Trend

Annual Commitment thru 1st Quarter				
11-12	12-13	13-14	14-15	15-16
24%	22%	26%	40%	33%

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
Capital Projects			
State Transportation Improvement Program (STIP)	$ 62.6	$ 26.7	43%
State Highway Operations and Protection Program (SHOPP)	$ 51.8	$ 14.3	28%
Subtotal - Capital Projects	$ 114.4	$ 41.0	36%
Other Categories			
Post-certification	$ 27.0	$ 2.1	8%
Permit Fees	$ 1.0	$ 2.1	210%
Damage to Property (Inverse)	$ 1.9	$ 2.3	121%
Subtotal - Other Categories	$ 29.9	$ 6.5	22%
Right of Way Funds – All Categories			
TOTAL	$ 144.3	$ 47.5	33%

Construction: Projects Constructed

Summary

Projects Constructed
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 2015-16, we committed to complete construction of 209 projects. Through the end of the first quarter, fiscal year 2015-16, Caltrans has completed 58, or 28 percent of the annual commitment.*
- *At the end of the first quarter, fiscal year 2015-16, Caltrans had 696 projects valued at $8.4 billion under construction.*

Measure: Planned Projects Constructed – 1st Quarter Fiscal Year 2015-16

Fiscal Year 2015-16

Year-to-Date thru 1st Quarter			Annual Commitment		Year-End Projection		Goal
Constructed	Plan	Percent	Plan	Percent	Forecast	Percent	Percent
58	**28**	**207**	**209**	**28**	**205**	**98**	**95**

Five-Year Trend

Year-to-Date thru 1st Quarter					Annual Commitment thru 1st Quarter				
11-12	12-13	13-14	14-15	15-16	11-12	12-13	13-14	14-15	15-16
155%	107%	97%	97%	207%	24%	15%	19%	18%	28%

Five-Year Trend Analysis: The number of contracts accepted to date is higher compared to recent years.

Construction Program Quarterly Status Notes (all contracts)

Contractor Payments: $779 million has been paid to contractors in fiscal year 2015-16.
Under Construction: 696 construction contracts valued at $8.4 billion are under construction.
Claims: Caltrans has 33 construction contracts in post-contract acceptance with notice of potential claims in the amount of $77 million.
Arbitration: Caltrans has 21 contracts in arbitration with claims valued at $44 million.

Arbitration – Five Year Trend
(Number of Contracts)

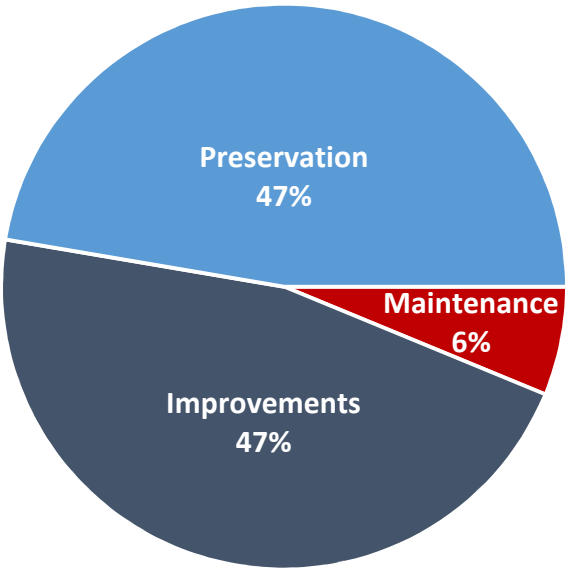
Contracts in Arbitration thru 1st Quarter				
11-12	12-13	13-14	14-15	15-16
38	28	24	17	21

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 2015-16. The contracts include planned projects as well as additional projects for emergency response, program amendments, major maintenance program, and minor program contracts.

Projects Constructed
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)	41	$ 340	90	42
Emergency Response – Major Damage Restoration (SHOPP)	22	$ 30	8	4
Minor Program (SHOPP)	13	$ 9	2	1
Subtotal - Preservation Programs (SHOPP)	76	$ 380	100	47
Improvement Programs				
Regional Improvement Program		$ 80	3	10
Interregional Improvement Program		$ 5	<1	<1
Partnership Programs (Local & local federal funds)		$ 233	94	29
Proposition 1B Bond Programs		$ 55	2	7
Subtotal - Improvement Programs	9	$ 373	100	47
Major Maintenance Program	29	$ 50	100	6
Transportation Investments – All Programs				
Total	114	$ 804		100



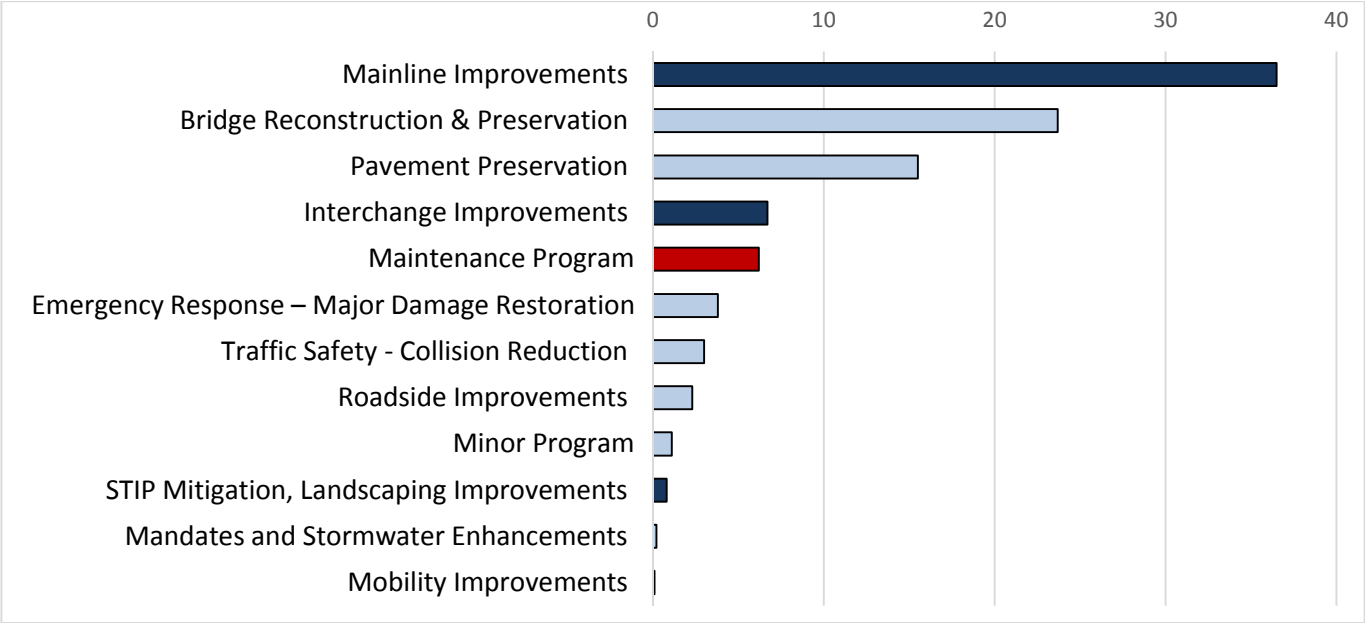
Costs are in millions	Projects	Program Dollars
Seismic (San Francisco-Oakland Bay Bridge)	3	$ 2,166

Projects 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 through the end of the first quarter of fiscal year 2015-16.

Percent of Constructed Contract Values



Note: Chart excludes Seismic projects

Improvement Programs **Preservation Programs** **Maintenance Program**

Projects: 114 Capital Value: $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.

- *Through the end of the first quarter, fiscal year 2015-16, Caltrans has closed out 13 State Transportation Improvement Program projects. The final approved budget for these projects was $1,000 million. The actual cost to complete these projects was $978 million, or 98 percent of the final approved budget.*
- *Through the end of the first quarter, fiscal year 2015-16, Caltrans has closed out 52 State Highway Operations and Protection Program projects. The final approved budget for these projects was $376 million. The actual cost to complete these projects was $332 million, or 88 percent of the final approved budget.*

Measure: Program Costs – 1st Quarter Fiscal Year 2015-16

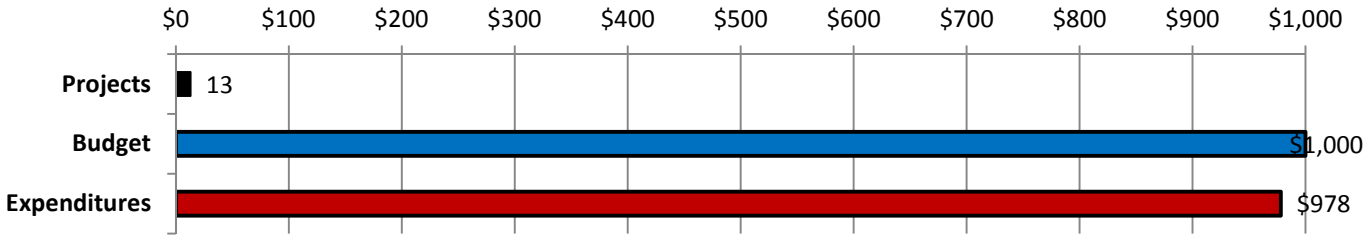
Fiscal Year 2015-16

Actual Cost Percent of Final Approved Budget			
State Transportation Improvement Program		State Highway Operations and Protection Program	
Actual	Goal	Actual	Goal
98	< 100	88	< 100

Program Budget versus Program Expenditures (all components)

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

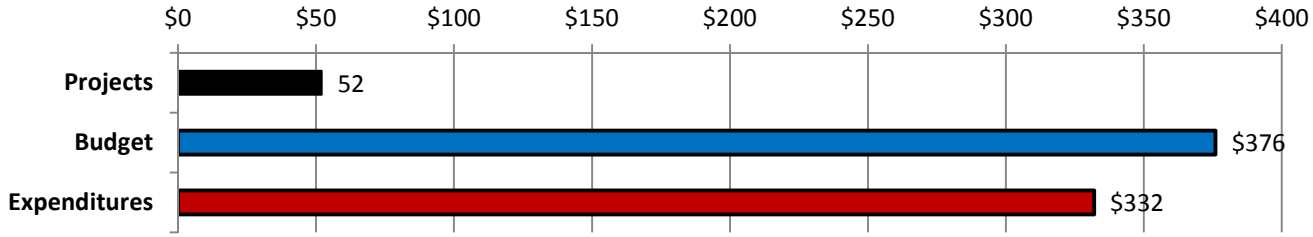
State Transportation Improvement Program[1] Closeout – Program Costs (millions)



A total of 13 State Transportation Improvement Program projects have been completed to date in fiscal year 2015-16. The budget for these projects was $1,000 million. The actual cost of the projects completed was $978 million, which is 98 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 2015-16 State Transportation Improvement Program Project Closeout".

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



A total of 52 State Highway Operations and Protection Program projects have been completed to date in fiscal year 2015-16. The budget for these projects was $376 million. The actual cost of the projects completed was $332 million which is 88 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 2015-16 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 completed construction in fiscal year 2015-16 (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 this table do not include non-state funds, which were 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]	$ 45,355	$ 32,930	$ 28,530
CMIA[1] Bond	$ 280,799	$ 235,054	$ 233,582
SR99[1] Bond	$ 64,209	$ 52,236	$ 51,720
ARRA[1]	$ 95,150	$ 84,288	$ 84,288
SHOPP[1] Contribution	$ 42,685	$ 33,077	$ 33,713
STIP[1] Total	$ 528,198	$ 437,585	$ 431,833
SHOPP Total	$ 333,132	$ 282,011	$ 250,796
Construction Support[2] ($1,000's)			
STIP[1]	$ 10,581	$ 13,324	$ 16,215
CMIA[1] Bond	$ 34,118	$ 34,118	$ 33,322
SR99[1] Bond	$ 5,000	$ 5,000	$ 5,110
ARRA[1]	$ 29,900	$ 18,970	$ 17,164
STIP[1] Total	$ 79,599	$ 71,412	$ 71,811

Notes: [1] STIP - State Transportation Improvement Program; CMIA - Corridor Mobility Improvement Program; SR99 – State Route; 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 2015-16 State Transportation Improvement Program Project Closeout

(B) Caltrans Fiscal Year 2015-16 State Highway Operations and Protection Program Project Closeout

(A) Caltrans Fiscal Year 2015-16 State Transportation Improvement Program[1] Project Closeout

Project Description			Support ($1,000's)			Capital ($1,000's)		Total ($1,000's)	
			Original Budget[3]	Approved Budget[2]	Actual Costs	Approved Budget[2]	Actual Costs	Approved Budget[2]	Actual Costs
1st Quarter									
BUT	99	Chico Widening/Auxiliary Lane	$ -	$ 4,394	$ 5,405	$ 26,737	$ 26,713	$ 31,131	$ 32,118
SOL	80	Coredelia Truck Scale Relocation	$ -	$ 10,100	$ 9,819	$ 58,178	$ 50,970	$ 68,278	$ 60,790
SOL	80	Ramp Metering and TOS Elements	$ -	$ 7,018	$ 6,971	$ 16,863	$ 16,234	$ 23,881	$ 23,205
ALA	680	Environmental Mitigation	$ -	$ 2,141	$ 1,975	$ 1,641	$ 1,535	$ 3,782	$ 3,510
ALA	24	Caldecott Tunnel Fourth Bore	$ -	$ 104,641	$ 108,788	$ 294,570	$ 285,301	$ 399,211	$ 394,089
SB	101	Santa Maria River Bridge Widening	$ -	$ 12,773	$ 11,506	$ 35,084	$ 34,412	$ 47,857	$ 45,919
TUL	216	SR 216 Widening	$ -	$ 5,103	$ 6,937	$ 7,529	$ 5,896	$ 12,632	$ 12,832
LA	101	Van Nuys Blvd. Off-Ramps	$ -	$ 3,683	$ 4,288	$ 5,478	$ 5,213	$ 9,161	$ 9,501
RIV	215	Rte 60/215 East Junction HOV Connector	$ -	$ 6,900	$ 7,126	$ 28,767	$ 26,152	$ 35,667	$ 33,278
SJ	99	SR 99 Widening Phase 1	$ -	$ 5,000	$ 5,111	$ 30,717	$ 29,522	$ 35,717	$ 34,633
SD	805	I-5/805 North Coast Undercrossing	$ -	$ 24,536	$ 28,583	$ 59,277	$ 59,054	$ 83,813	$ 87,637
ORA	22	Rte 22/I-405 HOV Connector	$ -	$ 19,139	$ 18,409	$ 80,176	$ 77,156	$ 99,315	$ 95,565
ORA	22	I-405/I-605 HOV Connector	$ -	$ 25,113	$ 25,199	$ 125,111	$ 119,333	$ 150,224	$ 144,532
			$ -	$ 230,541	$ 240,117	$ 770,128	$ 737,490	$ 1,000,669	$ 977,607

[1] State Transporation Improvement Program includes projects with one or more components funded from State Transportation Improvement Program funds. Includes all contributor funds on all project components.

[2] Budget information includes only budget information if expenditures are reflected in State data systems. Excludes local budgets for work implemented by local agencies.

[3] New project in 2014 Program Document or later.

(B) Caltrans Fiscal Year 2015-16 State Highway Operations and Protection Program Project Closeout

Project Description			Support ($1,000's)			Capital ($1,000's)		Total ($1,000's)	
			Original Budget[1]	Approved Budget	Actual Costs	Approved Budget	Actual Costs	Approved Budget	Actual Costs
1st Quarter									
MEN	020	ADA Improvements	$ -	$ 85	$ 980	$ 584	$ 552	$ 669	$ 1,532
HUM	101	Hazardous Waste Mitigation	$ -	$ 1,280	$ 810	$ 1,047	$ 992	$ 2,327	$ 1,802
MEN	271	Hazardous Waste Mitigation	$ -	$ 501	$ 628	$ 383	$ 332	$ 884	$ 961
SIS	VAR	Repair Fire Damage	$ 165	$ 165	$ 148	$ 310	$ 188	$ 475	$ 336
SHA	299	Repair Slip Out	$ 210	$ 210	$ 67	$ 802	$ 492	$ 1,012	$ 558
ED	050	Replace Bridge	$ -	$ 1,861	$ 2,355	$ 5,833	$ 4,750	$ 7,694	$ 7,104
SAC	051	Highway Planting	$ -	$ 1,318	$ 1,268	$ 1,611	$ 1,490	$ 2,929	$ 2,759
SUT	099	Shoulder and Centerline Rumble Strips	$ -	$ 870	$ 485	$ 1,752	$ 1,300	$ 2,622	$ 1,785
SAC	VAR	Replace Copper Wires	$ -	$ 210	$ 196	$ 800	$ 463	$ 1,010	$ 659
SAC	VAR	Upgrade Irrigation Controls	$ -	$ 385	$ 233	$ 750	$ 357	$ 1,135	$ 590
GLE	VAR	Landscape improvements	$ -	$ 635	$ 154	$ 2,500	$ 1,119	$ 3,135	$ 1,273
SF	001	Slope Stabilization	$ -	$ 2,499	$ 2,089	$ 4,120	$ 3,742	$ 6,619	$ 5,832
CC	680	Restore Roadway	$ -	$ 913	$ 593	$ 897	$ 722	$ 1,810	$ 1,315
MRN	101	Construct Retaining Wall	$ 425	$ 425	$ 537	$ 1,700	$ 1,014	$ 2,125	$ 1,551
MRN	001	Construct Retaining Wall	$ 825	$ 825	$ 484	$ 2,650	$ 653	$ 3,475	$ 1,136
SON	001	Repair Culvert	$ -	$ 1,600	$ 1,733	$ 418	$ 346	$ 2,018	$ 2,080
ALA	013	Storm Water Mitigation	$ -	$ 497	$ 595	$ 481	$ 447	$ 978	$ 1,042
ALA	580	Repair Traffic Operations Systems	$ -	$ 375	$ 219	$ 1,500	$ 1,500	$ 1,875	$ 1,719
SM	001	Repair Traffic Operations Systems	$ -	$ 140	$ 230	$ 555	$ 209	$ 695	$ 439
NAP	128	Repair Storm Damage	$ -	$ 2,665	$ 2,011	$ 1,330	$ 1,184	$ 3,995	$ 3,195
MRN	001	Construct Retaining Wall	$ -	$ 1,170	$ 1,723	$ 1,046	$ 859	$ 2,216	$ 2,582
SON	001	Construct Retaining Wall	$ -	$ 1,416	$ 1,928	$ 2,432	$ 1,702	$ 3,848	$ 3,629
SLO	001	ADA Curb Ramps	$ -	$ 2,479	$ 2,158	$ 906	$ 807	$ 3,385	$ 2,964
SCR	001	Replace Guardrail	$ -	$ 2,006	$ 1,978	$ 2,125	$ 1,724	$ 4,131	$ 3,702
MON	001	Pavement Overlay	$ -	$ 640	$ 693	$ 535	$ 418	$ 1,175	$ 1,111
FRE	180	Bridge Replacement	$ -	$ 2,649	$ 2,298	$ 2,720	$ 476	$ 5,369	$ 2,775
KER	014	Bridge Replacement	$ -	$ 4,792	$ 4,727	$ 9,540	$ 8,801	$ 14,332	$ 13,528
TUL	245	Reconstruct Embankment	$ -	$ 576	$ 502	$ 313	$ 249	$ 889	$ 751
KIN	000	Upgrade Irrigation Controls	$ -	$ 400	$ 461	$ 2,200	$ 1,858	$ 2,600	$ 2,319
LA	405	ADA Curb Ramp Improvements	$ -	$ 545	$ 780	$ 318	$ 248	$ 863	$ 1,028
LA	005	Rehab Pavement	$ -	$ 13,520	$ 10,209	$ 98,016	$ 95,358	$ 111,536	$ 105,567
LA	005	Soil Stabilization	$ -	$ 1,375	$ 1,294	$ 1,895	$ 1,591	$ 3,270	$ 2,885
LA	090	Storm Water Improvements	$ -	$ 1,576	$ 1,664	$ 2,024	$ 1,864	$ 3,600	$ 3,528
LA	010	Replace Guardrail	$ -	$ 3,315	$ 2,366	$ 2,723	$ 2,865	$ 6,038	$ 5,231
LA	110	Bridge Preservation	$ -	$ 3,239	$ 1,858	$ 1,742	$ 374	$ 4,981	$ 2,233
LA	060	Rehab Roadway	$ -	$ 11,500	$ 7,904	$ 80,371	$ 72,914	$ 91,871	$ 80,818
LA	047	Repair Slope	$ -	$ 400	$ 417	$ 356	$ 208	$ 756	$ 625
LA	002	Construct Debris Wall	$ -	$ 1,365	$ 881	$ 1,555	$ 1,157	$ 2,920	$ 2,039
LA	105	Replace Cooper Wire	$ -	$ 160	$ 330	$ 800	$ 799	$ 960	$ 1,129
SBD	095	Improve Roadway Alignment	$ -	$ 1,839	$ 1,804	$ 2,405	$ 1,985	$ 4,244	$ 3,788
SBD	040	Bridge Replacement	$ -	$ 5,597	$ 4,543	$ 8,667	$ 8,023	$ 14,264	$ 12,566
SBD	210	Grind Pavement	$ -	$ 585	$ 444	$ 57	$ 32	$ 642	$ 477
RIV	086	Bridge Replacement	$ -	$ 680	$ 778	$ 2,300	$ 1,972	$ 2,980	$ 2,751
RIV	074	Repair Roadway	$ -	$ 233	$ 474	$ 1,500	$ 1,063	$ 1,733	$ 1,537

(B) Caltrans Fiscal Year 2015-16 State Highway Operations and Protection Program Project Closeout

Project Description			Support ($1,000's)			Capital ($1,000's)		Total ($1,000's)	
			Original Budget[1]	Approved Budget	Actual Costs	Approved Budget	Actual Costs	Approved Budget	Actual Costs
STA	120	Rehab Pavement	$ -	$ 1,228	$ 697	$ 3,843	$ 3,243	$ 5,071	$ 3,941
MER	165	Rehab Pavement	$ -	$ 4,871	$ 3,072	$ 9,017	$ 7,041	$ 13,888	$ 10,112
SD	VAR	Rehab Materials Lab	$ -	$ 2,447	$ 2,480	$ 2,473	$ 2,204	$ 4,920	$ 4,685
SD	805	Seismic Retrofit	$ -	$ 3,136	$ 3,364	$ 3,295	$ 2,858	$ 6,431	$ 6,222
SD	052	Rehab Roadway	$ -	$ 1,270	$ 1,814	$ 3,661	$ 3,507	$ 4,931	$ 5,320
ORA	039	Safety Improvements	$ -	$ 700	$ 898	$ 606	$ 570	$ 1,306	$ 1,469
ORA	005	Landscape Improvements	$ -	$ 430	$ 578	$ 2,100	$ 1,508	$ 2,530	$ 2,086
ORA	133	Rehab Roadway	$ 93	$ 93	$ 165	$ 450	$ 664	$ 543	$ 830
			$ 1,718	$ 93,691	$ 81,098	$ 282,011	$ 250,796	$ 375,702	$ 331,893

[1] New project in 2014 Program Document or later.

Support Cost Analysis

	Less than 80% of Budget Expended	80% to 120% of Budget Expended	Greater than 120% of Budget Expended	Total
Number of Projects	17	21	14	52
Percentage of Total Projects	33%	40%	27%	
Approved Support Budget ($1,000's)	$ 47,781	$ 36,881	$ 9,029	$ 93,691
Actual Support Costs ($1,000's)	$ 32,488	$ 35,191	$ 13,419	$ 81,098
Savings or (Overrun) ($1,000's)	$ 15,293	$ 1,690	$ (4,390)	$ 12,593