

# 2016

## State Transportation Improvement Program Fund Estimate

Adopted by California Transportation Commission  
August 27, 2015



Prepared by California Department of Transportation  
California State Transportation Agency



## **2016 STATE TRANSPORTATION IMPROVEMENT PROGRAM FUND ESTIMATE**

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*The 2016 State Transportation Improvement Program Fund Estimate Book was prepared by the California Department of Transportation, Division of Budgets, Revenue Forecasting and Financial Analysis Branch, and is available online at <http://www.dot.ca.gov/hq/transprog/ctcliaison.htm>*

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## ACRONYMS AND ABBREVIATIONS

AB	Assembly Bill
ABX	Assembly Bill of an Extraordinary Session
AC	Advanced Construction
ADPE	Advanced Project Development Element
ATP	Active Transportation Program
CMIA	Corridor Mobility Improvement Account
Commission/CTC	California Transportation Commission
Controller/SCO	State Controller's Office
COS	Capital Outlay Support
Department/Caltrans	California Department of Transportation
DOF	Department of Finance
EPA	Environmental Protection Agency
FE	Fund Estimate
FTF	Federal Trust Fund
GARVEE	Grant Anticipation Revenue Vehicle(s)
GC	Government Code
GF	General Fund
GO	General Obligation
HRCSA	Highway-Railroad Crossing Safety Account
HSRPA	Highway, Safety, Rehabilitation and Preservation Account
LA	Local Assistance
LBSRA	Local Bridge Seismic Retrofit Account
MAP-21	Moving Ahead for Progress in the 21st Century Act
NHTSA	National Highway Traffic Safety Agency
OA	Obligation Authority
PTA	Public Transportation Account
PTMISEA	Public Transportation Modernization, Improvement & Service Enhancement Account
PUC	Public Utilities Code
R/W	Right-of-Way
S&HC	Streets & Highways Code



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## ACRONYMS AND ABBREVIATIONS (CONTINUED)

SAFETEA-LU	Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users
SB	Senate Bill
SHA	State Highway Account
SHOPP	State Highway Operation and Protection Program
SHS	State Highway System
SLPP	State-Local Partnership Program
SR 99	State Route 99 Account
STA	State Transit Assistance
STIP	State Transportation Improvement Program
STO	State Treasurer's Office
TCIF	Trade Corridors Improvement Fund
TFA	Transportation Facilities Account
TIF	Transportation Investment Fund

## EXECUTIVE SUMMARY

On August 27, 2015, the California Transportation Commission (Commission) adopted the 2016 State Transportation Improvement Program (STIP) Fund Estimate (FE). The STIP FE is a biennial estimate of all resources available for the state's transportation infrastructure over the next five-year period, and establishes the program funding levels for the STIP and the State Highway Operation and Protection Program (SHOPP). The 2016 STIP FE period covers state fiscal years 2016-17 through 2020-21, with 2015-16 included as the base year.

### STIP Capacity

STIP projects add capacity to the state's transportation infrastructure. The 2016 STIP FE includes a total estimate of \$2.4 billion in program capacity over the five-year FE period. Program capacity represents the total value of projects that can be funded each year, including construction, right-of-way (R/W), and support. Support consists of preliminary engineering, planning, design, and construction engineering. The 2016 STIP FE projects a new, estimated STIP capacity of \$223 million over the FE period. For the six-year period, capacity is reduced to approximately \$46 million due to STIP shortfalls in the base year. In comparison, the 2014 STIP FE forecasted \$1.3 billion in new STIP capacity over the prior five-year and six-year FE periods. As a result of the new STIP capacity forecasted in the 2016 STIP FE, projects currently programmed in the STIP may need to be delayed (reprogrammed into a later year).

<b>2016 STIP FE STIP Program Capacity (\$ in millions)</b>								
	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21	5-Year Total	6-Year Total
<b>2016 STIP FE Target Capacity</b>	\$378	\$405	\$420	\$470	\$540	\$540	\$2,375	\$2,753
2014 STIP Program	554	798	682	673	0	0	2,152	2,707
<b>New STIP Program Capacity</b>	<b>(\$176)</b>	<b>(\$393)</b>	<b>(\$262)</b>	<b>(\$203)</b>	<b>\$540</b>	<b>\$540</b>	<b>\$223</b>	<b>\$46</b>
<b>Cumulative Difference</b>	<b>(\$176)</b>	<b>(\$569)</b>	<b>(\$831)</b>	<b>(\$1,034)</b>	<b>(\$494)</b>	<b>\$46</b>		
<b>Estimated Capital Allocation Capacity</b>	\$280	\$340	\$350	\$390	\$450	\$450		

Note: Individual numbers may not add to total due to independent rounding.

- STIP capacity in the future will continue to depend primarily on retail prices and consumption of gasoline and diesel fuels. Both of these sources are difficult to forecast with any certainty due to the current economic climate.

## SHOPP Capacity

SHOPP projects are funded with federal and state resources, and consist of major rehabilitation work on the State Highway System (SHS). The 2016 STIP FE forecasts SHOPP capacity of \$12 billion over the five-year FE period. Similar to the STIP, SHOPP capacity represents the total value of projects that can be funded each year, and includes construction, R/W, and support. New SHOPP capacity is estimated at \$7.1 billion over the FE period. In comparison, the 2014 STIP FE displayed a forecast of \$7.3 billion in new SHOPP capacity.

2016 STIP FE SHOPP Program Capacity (\$ in millions)								
	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21	5-Year Total	6-Year Total
2016 STIP FE SHOPP Target Capacity	\$2,300	\$2,300	\$2,400	\$2,400	\$2,400	\$2,500	\$12,000	\$14,300
2014 SHOPP Program	2,507	2,440	2,440	0	0	0	4,880	7,387
New SHOPP Program Capacity	(\$207)	(\$140)	(\$40)	\$2,400	\$2,400	\$2,500	\$7,120	\$6,913
Cumulative Difference	(\$207)	(\$347)	(\$387)	\$2,013	\$4,413	\$6,913		
Estimated Capital Allocation Capacity	\$1,700	\$1,700	\$1,750	\$1,750	\$1,750	\$1,800		

Note: Individual numbers may not add to total due to independent rounding.

- The State Highway Account (SHA), which is the primary funding source of the SHOPP, has a cash balance that is highly volatile in nature. The cash balance in this account fluctuates daily.
- The SHOPP is constrained over the entire FE period. While the 2016 STIP FE forecasts an average of \$2.4 billion in SHOPP capacity each year over the FE period, the annual SHOPP goal-based need is roughly \$8 billion as identified in the 2015 Ten-Year SHOPP Plan. As a result of the approximately \$5.6 billion annual shortfall, potential impacts may include: delay of needed projects, an inability to fix new and/or ongoing deterioration of the highways, and cost increases over the FE period.

## Challenges

Various risks exist that may impact the forecasted program capacity for the SHOPP and the STIP, including:

- **Volatility Associated with Fuel Excise Tax Revenue Neutrality.** On July 1, 2015, the excise tax on gasoline decreased six cents per gallon from a rate of 36 cents to 30 cents. Assembly Bill 6 of the Eighth Extraordinary Session (ABX8 6), Chapter 11, of 2009-10, and Senate Bill (SB) 70, Chapter 9 of 2009-10, eliminated the state portion of the sales tax on gasoline and increased the excise tax rate by introducing a price-based component, effective July 1, 2010. Furthermore, it required the annual sales and excise taxes paid on gasoline to remain revenue neutral, ensuring the state

receives the same amount of revenue despite changes in tax laws. Since fuel tax revenues are dependent upon unit price and consumption, any significant increases or decreases in either could impact the revenue and capacity assumptions contained in the 2016 STIP FE.

- **Special Session on Transportation:** On June 16, 2015, the Governor called for a special legislative session to address maintenance and repair shortfalls of the state's transportation infrastructure. The Legislature was requested to work with the Administration in order to establish long term, sustainable funding solutions. The STIP FE projections are required to be based on established law. As a result, any change in statute resulting from the Special Session could dramatically alter the levels and types of resources included in the 2016 STIP FE.
- **Federal Highway Act Expiration.** The Moving Ahead for Progress in the 21st Century (MAP-21) Act was signed into law on July 6, 2012. MAP-21 was intended to fund surface transportation programs for federal fiscal years 2013 and 2014, and expired on September 30, 2014. Since that time, a series of continuing resolutions have maintained the level of transportation funding to California. There is uncertainty regarding when another long term federal funding authorization will be enacted into law. Without a new authorization or continuing resolution, there is no assurance of federal funding levels, which could pose a significant risk of over-programming resources identified in the 2016 STIP FE.
- **Corporate Average Fuel Economy Standards.** The National Highway Traffic Safety Administration and the Environmental Protection Agency issued a joint final rule, establishing a new national program, to regulate model year 2012 through 2025 passenger cars and light trucks. The intent of the new national program is to improve vehicle fuel economy and reduce greenhouse gas emissions. Under the standards, each light vehicle model produced for sale in the United States will have a fuel economy target (increasing over time through model year 2025). Consequently, vehicles will be able to drive greater distances while consuming less fuel over time. Because transportation resources are generated primarily from excise taxes on fuel, this long term trend has the potential to impact program capacity in later years.
- **Alternative Fuel Vehicles.** The state's innovative vehicle standards have progressed to the point where alternative fuel vehicles are emerging in the market. Investments in alternative fuels and vehicle technologies include, but are not limited to, electric drive, hydrogen, natural gas, propane, biofuels, etc. The current fuel tax structure is based on vehicles using petroleum-based fuels. As alternative fuel vehicles gain greater market share, the state will need to explore a tax structure that is equitable to all fuel types in order to maintain current fuel tax revenue levels.



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## INTRODUCTION

Section 14524 of the Government Code (GC) requires the California Department of Transportation (Department) to develop a biennial State Transportation Improvement Program (STIP) Fund Estimate (FE). The FE includes a forecast, in annual increments, of all federal and state funds available for programming in the next STIP and a plan to manage these funds over the subsequent five years. The 2016 STIP FE covers the period from fiscal year 2016-17 through 2020-21, with 2015-16 included as the base year.

Sections 14524 and 14525 of the GC requires the Department to present a FE to the California Transportation Commission (Commission) by July 15th, and the Commission to adopt a FE by August 15th of each odd-numbered year. Section 14525(d) authorizes the Commission to postpone adoption of the FE for up to 90 days. Section 14529(d) of the GC requires the Commission to adopt a STIP based on the funding levels identified in the adopted FE by April 1st of each even-numbered year. On August 27, 2015, the Commission adopted the funding levels indicated in the 2016 STIP FE. Listed below are the dates and milestones used for the development of the 2016 STIP FE.

<u>Date</u>	<u>Milestone</u>
May 28, 2015	The Commission approved the 2016 STIP FE Assumptions.
June 25, 2015	The Department presented the Draft 2016 STIP FE to the Commission.
August 27, 2015	The Commission adopted funding levels as identified in the Proposed 2016 STIP FE for the 2016 STIP.

### **The 2016 STIP Fund Estimate**

The STIP and the State Highway Operation and Protection Program (SHOPP) comprise the major portion of the state's transportation infrastructure programs. The primary source of funding for the STIP is a portion of the price-based excise tax on gasoline (12 cents per gallon for 2015-16). The primary sources of funding for the SHOPP are state excise taxes on fuel and federal excise taxes on motor vehicle fuels. Article XIX of the California Constitution currently protects both state excise tax on fuel and resources in the Public Transportation Account (PTA) that fund transit STIP, from diversions for non-transportation purposes.

## Methodology

The Commission, in consultation with the Department, Regional Transportation Planning Agencies, and county transportation commissions, determined the methodology and assumptions used to develop the 2016 STIP FE. The Commission approved the methodologies and assumptions at its meeting on May 28, 2015. Listed below are significant methodologies included in the 2016 STIP FE. A summary of the approved assumptions are included in Appendix D.

- A cash flow model is used in the development of the FE tables. This model displays a forecast of new target program capacity based on the cash flow required to manage commitments and the allocation of capital projects. The Department developed program expenditure and cash flow estimates by working with each respective Division within the Department.
- Section 14524(c) of the GC requires the FE to display revenues that are based on current statutes and the most recently enacted state budget. Revenue estimates for future periods utilize historical trends and the economic outlook as a basis.
- Section 14525.1 of the GC requires the FE to forecast expenditures using the most recently enacted budget, adjusted for annual inflation. The Department of Finance (DOF) Budget Letter 14-22 assumes a price escalation rate of 2.2 percent for select state operations expenditures, not including capital outlay support (COS), which is recalculated each year. Therefore, the FE reflects a 2.2 percent annual escalation for state operations covering 2016-17 through 2020-21.
- Per Section 47 of the 2016 STIP Guidelines, the Department recommends that local agencies use an escalation rate of 2.2 percent per year for operational expenditures as indicated in the above bullet. The Department recommends that local agencies escalate capital costs by 4.5 percent per year, beginning in 2016-17. This is consistent with the historical trend of the Price Index for Selected California Construction Items, as noted in State Highway Account (SHA) assumption 21 and SHA 28 (see Appendix D).
- SB 45 (Chapter 622, Statutes of 1997) allows the Commission to leave current levels of programmed project development costs (i.e. pre-construction expenditures) unaltered if expenditures are within 20 percent of the amount programmed for this component. These allowances **are not** included in the 2016 STIP FE. The Department recommends that the Commission consider the impact of this allowance when developing the 2016 STIP.

- The FE contains a calculation whereby available cash balances are used to determine program capacity. Program capacity represents the total construction, right-of-way (R/W) and support costs necessary to fund new projects each year. The conversion to capacity optimizes funding based on historical component expenditures for each program, while taking into consideration the prudent cash balance and annual fluctuations of program levels.
  - The FE tables calculate commitments as project phases that are programmed to begin prior to June 30, 2016. The only exception to this rule is for capital outlay support. The 2016 STIP FE methodology assumes that all preliminary engineering components programmed to begin in 2015-16 will have the accompanying construction engineering programmed in future years as well.

The FE tables **do not** display commitments of any other phases included in target (program) capacity for 2016-17 through 2020-21. These costs need to be considered during the programming process to ensure resources are not over-committed.

## Changes to Legislation

Since the 2014 STIP FE cycle, enacted legislation has adjusted funding for state transportation. Below are legislative changes that have impacted the methodology of the 2016 STIP FE.

- **Gasoline Excise Tax Decrease.** On July 1, 2015, the excise tax on gasoline decreased by six cents per gallon from a rate of 36 cents to 30 cents. Assembly Bill 6 of the Eight Extraordinary Session (ABX8 6), Chapter 11, of 2009-10, and Senate Bill (SB) 70, Chapter 9, of 2009-10, eliminated the state sales tax on gasoline and increased the excise tax rate by introducing a price-based component. The laws require the annual sales and excise taxes paid on gasoline to remain revenue neutral, ensuring the state will receive the same amount of revenue despite changes in tax laws. These laws also mandate that the California State Board of Equalization adjust the price-based excise tax rate by March 1st of each year in order to achieve revenue neutrality.

## Revenues

Section 14524(c) of the GC requires the FE to base revenue assumptions on existing state and federal statutes; however, existing law cannot guarantee that the Department will realize and/or retain certain revenues over the FE period, particularly in light of recent budgetary actions and proposals. Without a new Federal Highway Act in place, there is no assurance of federal funding in future years. If revenues fall short of projections, the SHA may be unable to fund the state portion of federally eligible projects, thereby risking a loss of federal funding.

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## STATE TRANSPORTATION IMPROVEMENT PROGRAM FUND ESTIMATE

The STIP FE is a five-year planning document that is adopted every two years and displays commitments of transportation funds for improving operations for rail, mass transportation, local roads, and the State Highway System (SHS). To develop the STIP, the Department is required to prepare a STIP FE to forecast the total federal and state resources available for transportation over the next STIP period. STIP capacity is derived from the FE tables of the SHA and Federal Trust Fund (FTF), and the PTA. The SHA and FTF FE tables also display SHOPP capacity over the same five-year period.

- **State Highway Account and Federal Trust Fund** - The SHA and FTF are the sole funding sources for the constrained SHOPP, which is the Department's highest priority. The two accounts also fund STIP highway projects.
  - **SHOPP funding** – SHA revenues dedicated to SHOPP are derived from the state excise tax on gasoline consumption statewide. The base portion of the excise tax is 18 cents per gallon and the SHA receives approximately 64 percent of the total revenue generated. The price-based portion of the excise tax is 12 cents per gallon, but is statutorily required to be adjusted each year based on revenue neutrality with state sales tax on gasoline. From the price-based excise tax, the SHA first receives a backfill amount equal to projected weight fees. After miscellaneous General Fund (GF) transfers, the SHA also receives 12 percent of the remaining balance (see Appendix A for further detail). In addition, the SHA receives a portion of the state excise tax on diesel fuel (13 cents per gallon for 2015-16), which is also adjusted each year based on revenue neutrality with state sales tax on diesel.

FTF revenues are primarily generated through the state's apportionment of federal excise taxes of 18.4 cents per gallon on gasoline, and 24.4 cents per gallon on diesel fuel. SHA and FTF resources are committed for maintaining and preserving the existing highway system, ensuring efficient operation on the SHS, improving highway safety, and improving the interregional road system.
  - **STIP funding** – After accounting for the weight fee backfill and miscellaneous transfers to the GF, SHA revenues dedicated to the STIP are primarily generated from a 44 percent apportionment of the 12 cents per gallon state price-based excise tax on gasoline (adjusted each year based on consistency with state sales tax on gasoline).
- **Public Transportation Account** - The Department uses the PTA to fund transportation planning, mass transportation, the Intercity Rail program, and transit STIP projects. PTA resources are primarily generated from the sales taxes on diesel fuel.



## 2016 STIP FE Program Capacity (Target Capacity)

**STIP Program Capacity.** The table below displays the total and annual program capacities available for the 2016 STIP. Target Capacity represents the total value of projects, including construction, R/W, and support, that can be funded each year. The 2014 STIP Program line represents the annual amount of projects programmed each year in the 2014 STIP. “New STIP Program Capacity” is the difference between the 2016 STIP FE Target Capacity and the 2014 STIP, which also identifies any excess or shortage of capacity to fund the current program. Detailed information on resources and expenditures are available in the appendices, by fund.

2016 STIP FE STIP Program Capacity (\$ in millions)								
	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21	5-Year Total	6-Year Total
2016 STIP FE Target Capacity	\$378	\$405	\$420	\$470	\$540	\$540	\$2,375	\$2,753
2014 STIP Program	554	798	682	673	0	0	2,152	2,707
New STIP Program Capacity	(\$176)	(\$393)	(\$262)	(\$203)	\$540	\$540	\$223	\$46
Cumulative Difference	(\$176)	(\$569)	(\$831)	(\$1,034)	(\$494)	\$46		
Estimated Capital Allocation Capacity	\$280	\$340	\$350	\$390	\$450	\$450		

Note: Individual numbers may not add to total due to independent rounding.

## STIP Highlights

- The 2016 STIP FE estimates STIP capacity of \$2.4 billion over the five-year FE period. This covers the estimated 2014 STIP program and adds \$223 million in STIP capacity. However, many projects currently programmed in the STIP may need to be delayed (reprogrammed into a later year) until there is additional capacity to cover the shortfall.
- New STIP capacity will continue to depend on the price and the consumption of gasoline and diesel fuels. These factors are difficult to predict with any certainty due to the adjustments of excise tax on gasoline being subject to sales price and economic conditions.

**SHOPP Program Capacity.** The table below displays the total and annual SHOPP capacities over the FE period. Target Capacity represents the total value of SHOPP projects, including construction, R/W, and support, that can be funded each year after funding existing and ongoing commitments. The 2014 SHOPP Program line represents the SHOPP projects currently programmed each year in the four-year 2014 program. “New SHOPP Program Capacity” is the difference between the 2016 STIP FE Target Capacity and the 2014 SHOPP, and identifies any excess or shortage of program capacity to fund the current program.

2016 STIP FE SHOPP Program Capacity (\$ in millions)								
	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21	5-Year Total	6-Year Total
2016 STIP FE SHOPP Target Capacity	\$2,300	\$2,300	\$2,400	\$2,400	\$2,400	\$2,500	\$12,000	\$14,300
2014 SHOPP Program	2,507	2,440	2,440	0	0	0	4,880	7,387
New SHOPP Program Capacity	(\$207)	(\$140)	(\$40)	\$2,400	\$2,400	\$2,500	\$7,120	\$6,913
Cumulative Difference	(\$207)	(\$347)	(\$387)	\$2,013	\$4,413	\$6,913		
Estimated Capital Allocation Capacity	\$1,700	\$1,700	\$1,750	\$1,750	\$1,750	\$1,800		

Note: Individual numbers may not add to total due to independent rounding.

## SHOPP Highlights

- The 2016 STIP FE forecasts a SHOPP capacity of \$12 billion over the five-year FE period. This covers the existing SHOPP and adds \$7.1 billion in new SHOPP capacity. In comparison, the 2014 FE displayed a forecast of \$7.3 billion in new SHOPP capacity.
- The SHOPP capacity does not include the \$500 million provided to the SHOPP from the bond-funded Highway Safety Rehabilitation, and Preservation Account within Proposition 1B. These resources have already been earmarked for specific projects. Information on this bond fund is included in Appendix C.
- The SHOPP will be constrained during the FE period. The target capacity is estimated at approximately \$2.4 billion per year, while the annual SHOPP goal-based need is roughly \$8 billion, as identified in the 2015 Ten-Year SHOPP Plan. The lower SHOPP levels can be attributed to several factors including, but not limited to:
  - Assembly Bill (AB) 115 declared that GF loan repayments made to the SHA were revenues derived from weight fees. As such, loan repayments made to the SHA will be subsequently transferred to the Transportation Debt Service Fund (TDSF).



## COUNTY AND INTERREGIONAL SHARE ESTIMATES

The STIP consists of two broad programs, the regional program funded from 75 percent of new STIP funding and the interregional program funded from 25 percent of new STIP funding. The 75 percent regional program is further subdivided by formula into County Shares. County Shares are available solely for projects nominated by regions in their Regional Transportation Improvement Programs (RTIP).

The 2016 STIP FE indicates that there are negative program capacities for the PTA, and a negligible amount of capacity in 2020-21 for the SHA. This means that the 2016 STIP is basically already fully programmed, and projects currently programmed in the STIP will have to be delayed to the two new years of the five-year period. There are no programming targets in the 2016 STIP due to the lack of new capacity. As a result, County and Interregional shares tables are not included in this FE.

The following table (Table 1 – Reconciliation to County and Interregional Shares) lists the net changes to program capacity from the 2016 STIP FE to the capacity used in the County and Interregional Shares. This table also separates the program capacity by PTA and non-PTA (the SHA and FTF). The table is based on Commission actions through June 30, 2015.

**Table 1. Reconciliation to County and Interregional Shares**  
(\$ in millions)

	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21	5-Year Total	6-Year Total
<b>Public Transportation Account (PTA)</b>								
2016 FE PTA Target Capacity	\$50	\$40	\$40	\$40	\$40	\$40	\$200	\$250
<b>Total 2016 STIP FE PTA Target Capacity</b>	<b>\$50</b>	<b>\$40</b>	<b>\$40</b>	<b>\$40</b>	<b>\$40</b>	<b>\$40</b>	<b>\$200</b>	<b>\$250</b>
2014 STIP Program <sup>1</sup>	\$86	\$83	\$129	\$118	\$0	\$0	\$330	\$416
<b>Net PTA STIP Program</b>	<b>\$86</b>	<b>\$83</b>	<b>\$129</b>	<b>\$118</b>	<b>\$0</b>	<b>\$0</b>	<b>\$330</b>	<b>\$416</b>
PTA Capacity for County Shares	(\$36)	(\$43)	(\$89)	(\$78)	\$40	\$40	(\$130)	(\$166)
<b>Cumulative</b>	<b>(\$36)</b>	<b>(\$79)</b>	<b>(\$168)</b>	<b>(\$246)</b>	<b>(\$206)</b>	<b>(\$166)</b>		
<b>State Highway Account (SHA)</b>								
2016 FE Non-PTA Target Capacity	\$328	\$365	\$380	\$430	\$500	\$500	\$2,175	\$2,503
<b>Total 2016 STIP FE Non-PTA Capacity</b>	<b>\$328</b>	<b>\$365</b>	<b>\$380</b>	<b>\$430</b>	<b>\$500</b>	<b>\$500</b>	<b>\$2,175</b>	<b>\$2,503</b>
2014 STIP Program - hwy <sup>1</sup>	\$451	\$685	\$539	\$550	\$0	\$0	\$1,774	\$2,225
2014 STIP Program - bike/ped <sup>1</sup>	\$16	\$30	\$14	\$5	\$0	\$0	\$48	\$65
<b>Net Non-PTA STIP Program</b>	<b>\$467</b>	<b>\$715</b>	<b>\$553</b>	<b>\$554</b>	<b>\$0</b>	<b>\$0</b>	<b>\$1,822</b>	<b>\$2,290</b>
Non-PTA Capacity for County Shares	(\$140)	(\$350)	(\$173)	(\$124)	\$500	\$500	\$353	\$213
<b>Cumulative</b>	<b>(\$140)</b>	<b>(\$490)</b>	<b>(\$663)</b>	<b>(\$787)</b>	<b>(\$287)</b>	<b>\$213</b>		
<b>Total Capacity</b>	<b>(\$176)</b>	<b>(\$393)</b>	<b>(\$622)</b>	<b>(\$203)</b>	<b>\$540</b>	<b>\$540</b>	<b>\$223</b>	<b>\$46</b>

**Notes:**

General note: Numbers may not add due to rounding.

<sup>1</sup> 2015 Orange Book

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## APPENDICES

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## **APPENDIX A – STATE HIGHWAY ACCOUNT AND FEDERAL TRUST FUND**

The SHA is the primary funding source for California’s highway transportation programs. Historically, the main sources of revenue for the SHA have been state excise taxes on motor vehicle fuels and truck weight fees. However, AB 105 (Statutes of 2011) authorized the diversion of weight fee revenues from the SHA to the GF for debt service and loan purposes in 2010-11 and thereafter.

In order to replace this loss of funding, AB 105 also requires the State Controller’s Office (Controller) to allocate a portion from the price-based excise tax on gasoline (12 cents per gallon in 2015-16) to backfill the diversion of weight fees. These funds are allocated to the SHA for the maintenance program and the SHOPP. In addition, after accounting for the weight fee backfill and miscellaneous transfers to the GF, 12 percent of the remaining price-based excise tax revenues are transferred to the SHA for the maintenance program and the SHOPP.

The enactment of ABX8 6 and 9 eliminated the state portion of sales tax on gasoline and swapped it with an increase to excise tax on gasoline. This legislation eliminated the only revenue source for the Transportation Investment Fund (TIF) that had been used to fund the highway and transit STIP. However, ABX8 9 and AB 105, required that after accounting for the annual estimate of weight fee backfill and miscellaneous transfers to the GF, 44 percent of the increase to excise tax on gasoline would be transferred to the SHA for highway STIP, thus mitigating the impact of the loss of the state portion of sales tax on gasoline. Since 2010-11, the SHA has been used as the funding source for new STIP projects.

Federal funds are also used to reimburse the SHA for expenditures on federally eligible projects. Both resources constitute the primary funding sources for the maintenance program and the SHOPP, which is a program that rehabilitates, improves safety, and preserves lane miles on the SHS. In addition, federal resources are dedicated to pay for existing Grant Anticipation Revenue Vehicle(s) (GARVEE) debt service payments programmed in the SHOPP.

The FTF is a major source of funding for the SHOPP. The state receives appropriations set by the Federal Highway Act in the form of Obligation Authority (OA). This is based in part on a percentage of California’s total contribution (federal excise tax on gasoline and diesel of 18.4 cents and 24.4 cents per gallon, respectively) into the FTF.



## Resources Available for Programming

The table below lists the total and annual program capacity available for highway STIP and the SHOPP. Target Capacity represents the total level of projects the SHA can fund, including construction, R/W, and support, while attempting to maintain a prudent operating cash balance. The target program levels are reduced by SHA program commitments to determine the amount of SHA capacity available for new SHOPP and highway STIP.

2016 STIP FE SHOPP Program Capacity (\$ in millions)								
	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21	5-Year Total	6-Year Total
2016 STIP FE SHOPP Target Capacity	\$2,300	\$2,300	\$2,400	\$2,400	\$2,400	\$2,500	\$12,000	\$14,300
2014 SHOPP Program	2,507	2,440	2,440	0	0	0	4,880	7,387
New SHOPP Program Capacity	(\$207)	(\$140)	(\$40)	\$2,400	\$2,400	\$2,500	\$7,120	\$6,913
Cumulative Difference	(\$207)	(\$347)	(\$387)	\$2,013	\$4,413	\$6,913		
Estimated Capital Allocation Capacity	\$1,700	\$1,700	\$1,750	\$1,750	\$1,750	\$1,800		

Note: Individual numbers may not add to total due to independent rounding.

2016 STIP FE STIP Program Capacity (\$ in millions)								
	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21	5-Year Total	6-Year Total
2016 STIP FE Target Capacity	\$378	\$405	\$420	\$470	\$540	\$540	\$2,375	\$2,753
2014 STIP Program	554	798	682	673	0	0	2,152	2,707
New STIP Program Capacity	(\$176)	(\$393)	(\$262)	(\$203)	\$540	\$540	\$223	\$46
Cumulative Difference	(\$176)	(\$569)	(\$831)	(\$1,034)	(\$494)	\$46		
Estimated Capital Allocation Capacity	\$280	\$340	\$350	\$390	\$450	\$450		

Note: Individual numbers may not add to total due to independent rounding.

The SHA and FTF table on page 16 displays \$12 billion in SHOPP capacity, which funds the 2014 SHOPP and adds approximately \$7.1 billion in new SHOPP target capacity. The SHA and FTF table includes approximately \$223 million in new STIP program capacity, which is only available for highway STIP projects. Detailed resource and expenditure information are included in the FE for the SHA and FTF in the chart on pages 18-19.

## SHA Highlights

- SHA resources remaining, after existing commitments have been deducted, will be used to fund the SHOPP and highway STIP in the 2016 STIP FE. In addition, the SHOPP will be constrained in the FE, with annual target capacity of approximately \$2.4 billion per year falling well below SHOPP annual needs of roughly \$8.0 billion.
- Per assumption SHA 2, annual price-based excise tax revenues are projected to increase from 2015-16 through 2020-21.

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- Per assumption SHA 9, federal resources are based on the estimated amount of 2013-14 OA received and escalated annually based on the approximately 1.4 percent inflationary funding adjustment from the federal fiscal year 2012-13 Safe Accountable Flexible Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) authorization to Moving Ahead for Progress in the 21st Century Act (MAP-21).
  - Per assumption SHA 13 and 14, transportation loan repayments will occur in the year consistent with state statute.



**2016 STIP FUND ESTIMATE**  
**STATE HIGHWAY AND FEDERAL TRUST FUND ACCOUNTS**  
(\$ millions)

	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21	5-Year Total	6-Year Total
<b>RESOURCES</b>								
Beginning Balance	\$1,158							\$1,158
Fuel Excise Taxes (Base)	\$1,894	\$1,894	\$1,894	\$1,894	\$1,894	\$1,894	\$9,469	\$11,362
Fuel Excise Taxes (Price-Based)	1,393	1,583	1,745	1,844	1,936	1,947	9,055	10,449
Net Weight Fees	0	0	0	0	0	0	0	0
Miscellaneous Revenues	85	80	81	82	80	80	402	487
Transportation Loans	0	78	54	0	0	0	132	132
Net Transfers - Others	2	(236)	(213)	(160)	(160)	(160)	(928)	(926)
Expenditures - Other Agencies	(130)	(138)	(135)	(138)	(140)	(141)	(691)	(821)
<b>Total State Resources</b>	<b>\$4,402</b>	<b>\$3,261</b>	<b>\$3,426</b>	<b>\$3,522</b>	<b>\$3,611</b>	<b>\$3,620</b>	<b>\$17,439</b>	<b>\$21,842</b>
Obligation Authority (OA)	\$3,242	\$3,287	\$3,333	\$3,380	\$3,427	\$3,475	\$16,903	\$20,145
August Redistribution	147	147	147	147	147	147	735	882
Other Federal Resources	(177)	(177)	(177)	(177)	(177)	(177)	(884)	(1,061)
<b>Total Federal Resources</b>	<b>\$3,212</b>	<b>\$3,257</b>	<b>\$3,303</b>	<b>\$3,350</b>	<b>\$3,397</b>	<b>\$3,445</b>	<b>\$16,753</b>	<b>\$19,965</b>
<b>TOTAL STATE &amp; FED RESOURCES</b>	<b>\$7,614</b>	<b>\$6,519</b>	<b>\$6,729</b>	<b>\$6,872</b>	<b>\$7,008</b>	<b>\$7,065</b>	<b>\$34,193</b>	<b>\$41,807</b>
<b>COMMITMENTS</b>								
<b>STATE OPERATIONS</b>	<b>(\$978)</b>	<b>(\$1,005)</b>	<b>(\$1,032)</b>	<b>(\$1,059)</b>	<b>(\$1,087)</b>	<b>(\$1,116)</b>	<b>(\$5,299)</b>	<b>(\$6,278)</b>
<b>MAINTENANCE</b>	<b>(\$1,307)</b>	<b>(\$1,335)</b>	<b>(\$1,365)</b>	<b>(\$1,395)</b>	<b>(\$1,426)</b>	<b>(\$1,457)</b>	<b>(\$6,977)</b>	<b>(\$8,284)</b>
<b>LOCAL ASSISTANCE (LA)</b>								
Oversight (Partnership)	(\$108)	(\$102)	(\$89)	(\$82)	(\$80)	(\$79)	(\$432)	(\$540)
State & Federal LA	(1,242)	(1,258)	(1,276)	(1,288)	(1,303)	(1,320)	(6,445)	(7,688)
<b>TOTAL LA</b>	<b>(\$1,350)</b>	<b>(\$1,360)</b>	<b>(\$1,364)</b>	<b>(\$1,370)</b>	<b>(\$1,384)</b>	<b>(\$1,399)</b>	<b>(\$6,877)</b>	<b>(\$8,227)</b>
<b>SHOPP CAPITAL OUTLAY SUPPORT (COS)</b>								
SHOPP Major	(\$602)	(\$564)	(\$264)	(\$105)	(\$59)	(\$30)	(\$1,022)	(\$1,624)
SHOPP Minor	(56)	(56)	(56)	(56)	(56)	(56)	(279)	(335)
Stormwater	(48)	(48)	(48)	(48)	(48)	(48)	(240)	(288)
<b>TOTAL SHOPP COS</b>	<b>(\$705)</b>	<b>(\$668)</b>	<b>(\$368)</b>	<b>(\$209)</b>	<b>(\$163)</b>	<b>(\$134)</b>	<b>(\$1,541)</b>	<b>(\$2,247)</b>
<b>SHOPP CAPITAL OUTLAY</b>								
Major capital	(\$1,665)	(\$135)	(\$52)	(\$15)	(\$6)	\$0	(\$208)	(\$1,873)
Minor capital	(86)	(77)	(68)	(68)	(68)	(68)	(350)	(435)
R/W Project Delivery	(49)	(43)	(28)	(17)	(10)	(8)	(106)	(155)
Unprogrammed R/W	(2)	(7)	(10)	(10)	(10)	(10)	(47)	(49)
GARVEE Debt Service	(11)	(11)	(11)	(11)	(11)	0	(46)	(57)
<b>TOTAL SHOPP CAPITAL OUTLAY</b>	<b>(\$1,813)</b>	<b>(\$273)</b>	<b>(\$170)</b>	<b>(\$122)</b>	<b>(\$105)</b>	<b>(\$86)</b>	<b>(\$756)</b>	<b>(\$2,570)</b>
<b>TOTAL NON-STIP COMMITMENTS</b>	<b>(\$6,154)</b>	<b>(\$4,641)</b>	<b>(\$4,299)</b>	<b>(\$4,155)</b>	<b>(\$4,164)</b>	<b>(\$4,193)</b>	<b>(\$21,452)</b>	<b>(\$27,606)</b>
<b>STIP LA</b>								
STIP Off-System	(\$35)	(\$30)	(\$25)	(\$10)	(\$1)	(\$1)	(\$67)	(\$102)
Oversight (Partnership)	(21)	(19)	(17)	(16)	(15)	(15)	(83)	(103)
<b>TOTAL STIP LA</b>	<b>(\$56)</b>	<b>(\$49)</b>	<b>(\$42)</b>	<b>(\$26)</b>	<b>(\$17)</b>	<b>(\$16)</b>	<b>(\$150)</b>	<b>(\$205)</b>
<b>STIP COS</b>	<b>(\$181)</b>	<b>(\$99)</b>	<b>(\$69)</b>	<b>(\$30)</b>	<b>(\$17)</b>	<b>(\$12)</b>	<b>(\$227)</b>	<b>(\$408)</b>
<b>STIP CAPITAL OUTLAY</b>								
STIP On-System	(\$536)	(\$387)	(\$192)	(\$74)	(\$15)	\$0	(\$668)	(\$1,204)
R/W Project Delivery	(86)	(83)	(23)	(21)	(15)	(12)	(154)	(240)
Unprogrammed R/W	(7)	(9)	(4)	(4)	(3)	(3)	(23)	(30)
<b>TOTAL STIP CAPITAL OUTLAY</b>	<b>(\$629)</b>	<b>(\$479)</b>	<b>(\$219)</b>	<b>(\$99)</b>	<b>(\$33)</b>	<b>(\$15)</b>	<b>(\$845)</b>	<b>(\$1,474)</b>
<b>TOTAL STIP COMMITMENTS</b>	<b>(\$866)</b>	<b>(\$627)</b>	<b>(\$330)</b>	<b>(\$156)</b>	<b>(\$67)</b>	<b>(\$43)</b>	<b>(\$1,222)</b>	<b>(\$2,088)</b>
<b>TOTAL RESOURCES AVAILABLE</b>	<b>\$595</b>	<b>\$1,250</b>	<b>\$2,100</b>	<b>\$2,561</b>	<b>\$2,777</b>	<b>\$2,830</b>	<b>\$11,519</b>	<b>\$12,114</b>
<b>SHOPP TARGET CAPACITY</b>	<b>\$2,300</b>	<b>\$2,300</b>	<b>\$2,400</b>	<b>\$2,400</b>	<b>\$2,400</b>	<b>\$2,500</b>	<b>\$12,000</b>	<b>\$14,300</b>
<b>STIP TARGET CAPACITY</b>	<b>\$328</b>	<b>\$365</b>	<b>\$380</b>	<b>\$430</b>	<b>\$500</b>	<b>\$500</b>	<b>\$2,173</b>	<b>\$2,502</b>

Note: Individual numbers may not add to total due to independent rounding.

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**The following two pages contain expanded detail of the  
State Highway Account and Federal Trust Fund table on  
page 18.**



**2016 STIP FUND ESTIMATE**  
**STATE HIGHWAY ACCOUNT & FEDERAL TRUST FUND DETAILS**  
(\$ in millions)

	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21	5-Year Total	6-Year Total
<b>RESOURCES</b>								
<b>BEGINNING BALANCE</b>	\$1,158							\$1,158
<b>FUEL EXCISE TAXES</b>								
State Base Excise Taxes on Fuel	\$1,894	\$1,894	\$1,894	\$1,894	\$1,894	\$1,894	\$9,469	\$11,362
Price-Based Excise Taxes on Gasoline	1,096	1,181	1,250	1,306	1,337	1,358	6,432	7,529
Price-Based Excise Taxes on Gasoline (STIP)	297	403	495	537	599	589	2,623	2,920
<b>Total Fuel Excise Taxes</b>	<b>\$3,287</b>	<b>\$3,477</b>	<b>\$3,639</b>	<b>\$3,737</b>	<b>\$3,830</b>	<b>\$3,841</b>	<b>\$18,524</b>	<b>\$21,811</b>
<b>NET WEIGHT FEES</b>								
Weight Fees	\$1,015	\$1,071	\$1,115	\$1,160	\$1,174	\$1,197	\$5,717	\$6,732
Less Weight Fee Debt Service	(1,015)	(1,071)	(1,115)	(1,160)	(1,174)	(1,197)	(5,717)	(6,732)
<b>Net Weight Fees</b>	<b>\$0</b>	<b>\$0</b>						
<b>MISCELLANEOUS REVENUES</b>								
SMIF	\$2	\$2	\$2	\$2	\$0	\$0	\$5	\$7
Other Regulatory Licenses & Permits	12	11	11	11	11	11	55	67
Rentals of State Property	46	45	46	46	46	46	230	276
Misc. Revenues	25	22	22	23	23	23	112	137
<b>Total Miscellaneous Revenues</b>	<b>\$85</b>	<b>\$80</b>	<b>\$81</b>	<b>\$82</b>	<b>\$80</b>	<b>\$80</b>	<b>\$402</b>	<b>\$487</b>
<b>Loans and Loan Repayments</b>								
From Pre-Proposition 42 (Tribal Gaming)	\$0	\$78	\$54	\$0	\$0	\$0	\$132	\$132
<b>Total Loans and Loan Repayments</b>	<b>\$0</b>	<b>\$78</b>	<b>\$54</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$132</b>	<b>\$132</b>
<b>NET TRANSFERS - OTHERS</b>								
Public Transportation Account per Sec 194 of the S&HC	(\$25)	(\$25)	(\$25)	(\$25)	(\$25)	(\$25)	(\$125)	(\$150)
Transportation Debt Service Fund per Sec 183 of the S&HC	(83)	(78)	(79)	(80)	(80)	(80)	(397)	(480)
Transportation Debt Service Fund per Sec 63048.67 of the GC	0	(78)	(54)	0	0	0	(132)	(132)
RSTP Exchange	(58)	(58)	(58)	(58)	(58)	(58)	(289)	(347)
MVA per Sec 16475 of the GC	0	0	0	0	0	0	1	1
MVA per Sec 42273 of the MVC	10	10	10	10	10	10	50	60
Environmental Enhancement & Mitigation	(7)	(7)	(7)	(7)	(7)	(7)	(35)	(42)
Transportation Investment Fund Closure	165	0	0	0	0	0	0	165
<b>Total Net Transfers - Others</b>	<b>\$2</b>	<b>(\$236)</b>	<b>(\$213)</b>	<b>(\$160)</b>	<b>(\$160)</b>	<b>(\$160)</b>	<b>(\$928)</b>	<b>(\$926)</b>
<b>OTHER DEPARTMENT EXPENDITURES</b>								
Active Transportation Program Set-Aside	(\$34)	(\$34)	(\$34)	(\$34)	(\$34)	(\$34)	(\$171)	(\$205)
DMV State Operations - Weight Fee Collection	(11)	(11)	(12)	(12)	(12)	(12)	(59)	(70)
CHP State Operations	(73)	(75)	(76)	(78)	(80)	(82)	(391)	(464)
State Controller	0	(3)	(2)	(2)	(1)	(1)	(9)	(9)
California Transportation Commission	(1)	(1)	(1)	(1)	(1)	(1)	(4)	(6)
Fi\$Cal	(5)	(9)	(4)	(6)	(6)	(6)	(31)	(36)
Miscellaneous Departments	(5)	(5)	(5)	(5)	(5)	(5)	(25)	(30)
<b>Total Expenditures (Other Departments)</b>	<b>(\$130)</b>	<b>(\$138)</b>	<b>(\$135)</b>	<b>(\$138)</b>	<b>(\$140)</b>	<b>(\$141)</b>	<b>(\$520)</b>	<b>(\$821)</b>
<b>TOTAL STATE RESOURCES</b>	<b>\$4,402</b>	<b>\$3,261</b>	<b>\$3,426</b>	<b>\$3,522</b>	<b>\$3,611</b>	<b>\$3,620</b>	<b>\$17,439</b>	<b>\$21,842</b>
<b>OBLIGATION AUTHORITY</b>	<b>\$3,242</b>	<b>\$3,287</b>	<b>\$3,333</b>	<b>\$3,380</b>	<b>\$3,427</b>	<b>\$3,475</b>	<b>\$16,903</b>	<b>\$20,145</b>
<b>AUGUST REDISTRIBUTION</b>	<b>\$147</b>	<b>\$147</b>	<b>\$147</b>	<b>\$147</b>	<b>\$147</b>	<b>\$147</b>	<b>\$735</b>	<b>\$882</b>
<b>OTHER FEDERAL RESOURCES</b>								
Active Transportation Program	(\$86)	(\$86)	(\$86)	(\$86)	(\$86)	(\$86)	(\$428)	(\$513)
Section 164 Penalties	(47)	(47)	(47)	(47)	(47)	(47)	(235)	(281)
FTA Metro Planning	(44)	(44)	(44)	(44)	(44)	(44)	(222)	(267)
<b>Total Other Federal Resources</b>	<b>(\$177)</b>	<b>(\$177)</b>	<b>(\$177)</b>	<b>(\$177)</b>	<b>(\$177)</b>	<b>(\$177)</b>	<b>(\$884)</b>	<b>(\$1,061)</b>
<b>TOTAL FEDERAL RESOURCES</b>	<b>\$3,212</b>	<b>\$3,257</b>	<b>\$3,303</b>	<b>\$3,350</b>	<b>\$3,397</b>	<b>\$3,445</b>	<b>\$16,753</b>	<b>\$19,965</b>
<b>TOTAL STATE &amp; FEDERAL RESOURCES</b>	<b>\$7,614</b>	<b>\$6,519</b>	<b>\$6,729</b>	<b>\$6,872</b>	<b>\$7,008</b>	<b>\$7,065</b>	<b>\$34,193</b>	<b>\$41,807</b>

Note: Individual number may not add to total due to independent rounding.



	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21	5-Year Total	6-Year Total
<b>COMMITMENTS</b>								
<b>STATE OPERATIONS</b>								
State Planning and Research	(\$48)	(\$49)	(\$50)	(\$52)	(\$53)	(\$54)	(\$258)	(\$306)
Traffic Operations	(184)	(188)	(192)	(196)	(200)	(205)	(981)	(1,165)
Local Assistance	(35)	(36)	(36)	(37)	(38)	(39)	(186)	(220)
Program Development	(30)	(30)	(31)	(32)	(32)	(33)	(158)	(188)
Legal	(115)	(118)	(120)	(123)	(126)	(129)	(616)	(731)
Mass Transportation	(0)	(0)	(0)	(0)	(0)	(0)	(0)	(0)
Rail	(1)	(1)	(1)	(1)	(1)	(1)	(3)	(4)
Transportation Planning	(52)	(53)	(54)	(55)	(56)	(58)	(276)	(328)
Administration	(503)	(514)	(525)	(537)	(548)	(560)	(2,684)	(3,187)
BCP Reservation	0	(5)	(10)	(15)	(20)	(25)	(75)	(75)
PIDS	(12)	(12)	(12)	(12)	(13)	(13)	(62)	(74)
<b>Total State Operations</b>	<b>(\$978)</b>	<b>(\$1,005)</b>	<b>(\$1,032)</b>	<b>(\$1,059)</b>	<b>(\$1,087)</b>	<b>(\$1,116)</b>	<b>(\$5,299)</b>	<b>(\$6,278)</b>
<b>MAINTENANCE</b>								
State Maintenance	(\$1,188)	(\$1,214)	(\$1,241)	(\$1,268)	(\$1,296)	(\$1,324)	(\$6,343)	(\$7,531)
Federal Maintenance and Bridge	(119)	(121)	(124)	(127)	(130)	(132)	(634)	(753)
<b>Total Maintenance</b>	<b>(\$1,307)</b>	<b>(\$1,335)</b>	<b>(\$1,365)</b>	<b>(\$1,395)</b>	<b>(\$1,426)</b>	<b>(\$1,457)</b>	<b>(\$6,977)</b>	<b>(\$8,284)</b>
<b>LOCAL ASSISTANCE (LA)</b>								
State LA	(\$163)	(\$161)	(\$143)	(\$131)	(\$127)	(\$125)	(\$687)	(\$850)
Federal LA	(1,245)	(1,257)	(1,279)	(1,297)	(1,314)	(1,332)	(6,479)	(7,725)
RSTP Exchange	58	58	58	58	58	58	289	347
<b>Total LA State</b>	<b>(\$1,350)</b>	<b>(\$1,360)</b>	<b>(\$1,364)</b>	<b>(\$1,370)</b>	<b>(\$1,384)</b>	<b>(\$1,399)</b>	<b>(\$6,877)</b>	<b>(\$8,227)</b>
<b>SHOPP CAPITAL OUTLAY SUPPORT (COS)</b>								
SHOPP Major	(\$153)	(\$137)	(\$60)	(\$24)	(\$15)	(\$9)	(\$245)	(\$397)
SHOPP Minor	(56)	(56)	(56)	(56)	(56)	(56)	(279)	(335)
SHOPP Stormwater	(48)	(48)	(48)	(48)	(48)	(48)	(240)	(288)
Federal	(449)	(427)	(204)	(81)	(44)	(21)	(778)	(1,227)
<b>Total SHOPP COS</b>	<b>(\$705)</b>	<b>(\$668)</b>	<b>(\$368)</b>	<b>(\$209)</b>	<b>(\$163)</b>	<b>(\$134)</b>	<b>(\$1,541)</b>	<b>(\$2,247)</b>
<b>SHOPP CAPITAL OUTLAY</b>								
State R/W Project Delivery	(\$28)	(\$21)	(\$15)	(\$9)	(\$6)	(\$5)	(\$56)	(\$84)
Unprogrammed R/W	(2)	(7)	(10)	(10)	(10)	(10)	(47)	(49)
Federal Right-of-Way (Project Delivery)	(21)	(22)	(13)	(8)	(4)	(3)	(50)	(71)
Fed SHOPP GARVEE Debt Service	(11)	(11)	(11)	(11)	(11)	0	(46)	(57)
State Minor Capital	(72)	(65)	(57)	(57)	(57)	(57)	(292)	(364)
State Major Capital	(248)	(135)	(52)	(15)	(6)	0	(208)	(456)
Federal Minor Capital	(14)	(11)	(11)	(11)	(11)	(11)	(57)	(71)
Federal Major Capital	(1,417)	0	0	0	0	0	0	(1,417)
<b>Total SHOPP Capital Outlay</b>	<b>(\$1,813)</b>	<b>(\$273)</b>	<b>(\$170)</b>	<b>(\$122)</b>	<b>(\$105)</b>	<b>(\$86)</b>	<b>(\$756)</b>	<b>(\$2,570)</b>
<b>TOTAL NON-STIP COMMITMENTS</b>	<b>(\$6,154)</b>	<b>(\$4,641)</b>	<b>(\$4,299)</b>	<b>(\$4,155)</b>	<b>(\$4,164)</b>	<b>(\$4,193)</b>	<b>(\$21,452)</b>	<b>(\$27,606)</b>
<b>STIP LA</b>								
Oversight (Partnership)	(\$21)	(\$19)	(\$17)	(\$16)	(\$15)	(\$15)	(\$83)	(\$103)
STIP Off-System	(35)	(30)	(25)	(10)	(1)	(1)	(67)	(102)
<b>Total STIP LA</b>	<b>(\$56)</b>	<b>(\$49)</b>	<b>(\$42)</b>	<b>(\$26)</b>	<b>(\$17)</b>	<b>(\$16)</b>	<b>(\$150)</b>	<b>(\$205)</b>
<b>STIP COS</b>								
	<b>(\$181)</b>	<b>(\$99)</b>	<b>(\$69)</b>	<b>(\$30)</b>	<b>(\$17)</b>	<b>(\$12)</b>	<b>(\$227)</b>	<b>(\$408)</b>
<b>STIP CAPITAL OUTLAY</b>								
State R/W Project Delivery	(\$58)	(\$69)	(\$19)	(\$17)	(\$13)	(\$10)	(\$128)	(\$186)
Unprogrammed R/W	(7)	(9)	(4)	(4)	(3)	(3)	(23)	(30)
Federal R/W Project Delivery	(28)	(14)	(4)	(4)	(2)	(2)	(26)	(54)
STIP On-System	(536)	(387)	(192)	(74)	(15)	0	(668)	(1,204)
<b>Total STIP Capital Outlay</b>	<b>(\$629)</b>	<b>(\$479)</b>	<b>(\$219)</b>	<b>(\$99)</b>	<b>(\$33)</b>	<b>(\$15)</b>	<b>(\$845)</b>	<b>(\$1,474)</b>
<b>TOTAL STIP COMMITMENTS</b>	<b>(\$866)</b>	<b>(\$627)</b>	<b>(\$330)</b>	<b>(\$156)</b>	<b>(\$67)</b>	<b>(\$43)</b>	<b>(\$1,222)</b>	<b>(\$2,088)</b>
<b>TOTAL CASH AVAILABLE</b>	<b>\$595</b>	<b>\$1,250</b>	<b>\$2,100</b>	<b>\$2,561</b>	<b>\$2,777</b>	<b>\$2,830</b>	<b>\$11,519</b>	<b>\$12,114</b>

Note: Individual numbers may not add due to independent rounding.



## APPENDIX B - PUBLIC TRANSPORTATION ACCOUNT

PTA resources are primarily derived from the sales taxes on diesel fuel. The PTA funds the Department's transportation planning, airport planning activities, mass transportation, Intercity Rail programs, and STIP transit projects.

### Resources Available for Programming

The table below lists the total and annual transit STIP capacities available for the 2016 STIP. After funding planning, operations, and program commitments, the PTA will not be able to fund \$166 million of programming identified in the 2014 PTA STIP for the six-year period covering 2015-16 through 2020-21. Further details of the resources and expenditures are presented in the PTA FE table on page 21.

<b>2016 STIP FE</b>								
<b>PTA Capacity - Included in Overall STIP Program Capacity</b>								
(\$ in millions)								
	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21	5-Year Total	6-Year Total
<b>2016 STIP FE PTA Target Capacity</b>	\$50	\$40	\$40	\$40	\$40	\$40	\$200	\$250
2014 PTA STIP Program	86	83	129	118	0	0	330	416
<b>New PTA STIP Capacity</b>	<b>(\$36)</b>	<b>(\$43)</b>	<b>(\$89)</b>	<b>(\$78)</b>	<b>\$40</b>	<b>\$40</b>	<b>(\$130)</b>	<b>(\$166)</b>

Note: Individual numbers may not add to total due to independent rounding.

### PTA Highlights

- Per assumption PTA 2, the FE projects that diesel fuel sales tax revenues will increase by 1 percent each year over the FE period.
- Per assumption PTA 4, the FE will include an annual transfer of approximately 63 percent of the revenue from the sales tax on diesel from the PTA to State Transit Assistance (STA).
- A loan of \$29 million was transferred in 2009-10 to the GF from the PTA. Pursuant to state statute, the loan repayment to the PTA is expected in fiscal year 2020-21.
- Expenditures for Intercity Rail operations are based on estimates from the Division of Rail and include Amtrak shared operating and capital costs.
- There are no AB 3090 cash reimbursements for PTA.



**2016 STIP FUND ESTIMATE  
PUBLIC TRANSPORTATION ACCOUNT  
(\$ in thousands)**

	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21	5-Year Total	6-Year Total
<b>RESOURCES</b>								
Beginning Balance	\$498,261							\$498,261
Adjustment for STA Transfer Timing	(99,232)							(99,232)
Sales Tax on Diesel	559,420	565,014	570,664	576,371	582,135	587,956	2,882,140	3,441,560
SMIF Interest Earned	1,164	926	709	545	393	296	2,869	4,033
Transfer from Aeronautics Account	30	30	30	30	30	30	150	180
Transfer from SHA (S&HC 194)	25,046	25,046	25,046	25,046	25,046	25,046	125,230	150,276
Loan Repayment from General Fund	0	0	0	0	0	0	29,081	29,081
<b>TOTAL RESOURCES</b>	<b>\$984,689</b>	<b>\$591,016</b>	<b>\$596,449</b>	<b>\$601,992</b>	<b>\$607,604</b>	<b>\$642,409</b>	<b>\$3,039,470</b>	<b>\$4,024,159</b>
State Transit Assistance (STA)	(351,316)	(354,829)	(358,377)	(361,961)	(365,581)	(369,236)	(1,809,984)	(2,161,300)
<b>SUBTOTAL AVAILABLE RESOURCES</b>	<b>\$633,373</b>	<b>\$236,187</b>	<b>\$238,072</b>	<b>\$240,031</b>	<b>\$242,023</b>	<b>\$273,173</b>	<b>\$1,229,486</b>	<b>\$1,862,859</b>
<b>COMMITMENTS</b>								
<b>STATE OPERATIONS</b>								
Rail and Mass Transportation Support	(\$31,126)	(\$31,811)	(\$32,511)	(\$33,226)	(\$33,957)	(\$34,704)	(\$166,208)	(\$197,334)
Planning Staff and Support	(22,673)	(23,172)	(23,682)	(24,203)	(24,735)	(25,279)	(121,070)	(143,743)
California Transportation Commission	(1,713)	(1,751)	(1,789)	(1,829)	(1,869)	(1,910)	(9,147)	(10,860)
Institute of Transportation Studies	(980)	(980)	(980)	(980)	(980)	(980)	(4,900)	(5,880)
Public Utilities Commission	(5,991)	(6,123)	(6,258)	(6,395)	(6,536)	(6,680)	(31,991)	(37,982)
State Controller's Office	(19)	(19)	(20)	(20)	(21)	(21)	(101)	(120)
Secretary for Transportation Agency	(6)	(6)	(6)	(6)	(6)	(6)	(30)	(36)
<b>TOTAL STATE OPERATIONS</b>	<b>(\$62,508)</b>	<b>(\$63,861)</b>	<b>(\$65,245)</b>	<b>(\$66,658)</b>	<b>(\$68,103)</b>	<b>(\$69,580)</b>	<b>(\$333,418)</b>	<b>(\$395,920)</b>
<b>INTERCITY RAIL</b>								
Intercity Rail and Bus Operations	(\$119,487)	(\$123,072)	(\$126,764)	(\$130,567)	(\$134,484)	(\$138,518)	(\$653,404)	(\$772,891)
Amtrak Funding Adjustment	(8,500)	(8,755)	(9,018)	(9,288)	(9,567)	(9,854)	(46,481)	(54,981)
Amtrak Adjustment (Release of Rented Equipment)	0	0	1,514	12,093	12,456	12,830	38,893	38,893
San Joaquin Service Change: 7th Round Trip	(4,600)	(6,100)	(6,283)	(6,471)	(6,666)	(6,866)	(32,386)	(36,986)
San Joaquin Service Change: 8th Round Trip	0	0	0	0	(7,725)	(7,957)	(15,682)	(15,682)
San Joaquin Service: High Speed Rail Integration	0	0	0	0	0	(24,800)	(24,800)	(24,800)
Pacific Surfliner Service Change: 12th Round Trip	0	0	0	(5,500)	(5,665)	(5,835)	(17,000)	(17,000)
Heavy Equipment Overhaul: Existing	(15,800)	(16,274)	(16,762)	(17,265)	(17,783)	(18,317)	(86,401)	(102,201)
Equipment Overhaul: New Railcars and Locomotives	0	0	0	0	(635)	(1,144)	(1,779)	(1,779)
<b>TOTAL INTERCITY RAIL</b>	<b>(\$148,387)</b>	<b>(\$154,201)</b>	<b>(\$157,313)</b>	<b>(\$156,998)</b>	<b>(\$170,068)</b>	<b>(\$200,460)</b>	<b>(\$839,040)</b>	<b>(\$987,427)</b>
<b>LOCAL ASSISTANCE</b>								
Bay Area Ferry Operations/Waterborne	(\$3,211)	(\$3,243)	(\$3,276)	(\$3,308)	(\$3,341)	(\$3,375)	(\$16,543)	(\$19,754)
<b>TOTAL LOCAL ASSISTANCE</b>	<b>(\$3,211)</b>	<b>(\$3,243)</b>	<b>(\$3,276)</b>	<b>(\$3,308)</b>	<b>(\$3,341)</b>	<b>(\$3,375)</b>	<b>(\$16,543)</b>	<b>(\$19,754)</b>
<b>CAPITAL PROJECTS</b>								
STIP - Mass Transportation*	(\$58,990)	(\$55,497)	(\$15,947)	(\$7,414)	(\$3,430)	(\$348)	(\$82,636)	(\$141,626)
STIP - Rail*	(19,156)	(38,972)	(27,989)	(24,980)	(7,166)	(1,828)	(100,936)	(120,092)
<b>TOTAL CAPITAL PROJECTS</b>	<b>(\$78,146)</b>	<b>(\$94,469)</b>	<b>(\$43,936)</b>	<b>(\$32,394)</b>	<b>(\$10,596)</b>	<b>(\$2,176)</b>	<b>(\$183,572)</b>	<b>(\$261,718)</b>
<b>CASH AVAILABLE FOR PROGRAMMING</b>	<b>\$341,121</b>	<b>(\$79,587)</b>	<b>(\$31,697)</b>	<b>(\$19,328)</b>	<b>(\$10,086)</b>	<b>(\$2,418)</b>	<b>(\$143,086)</b>	<b>\$198,005</b>
<b>PTA STIP TARGET CAPACITY</b>	<b>\$50,000</b>	<b>\$40,000</b>	<b>\$40,000</b>	<b>\$40,000</b>	<b>\$40,000</b>	<b>\$40,000</b>	<b>\$200,000</b>	<b>\$250,000</b>

Note: Individual numbers may not add to total due to independent rounding.  
\* Cash flow adjusted for unliquidated encumbrances.



## APPENDIX C – PROPOSITION 1A & 1B BONDS

### Proposition 1A – Safe, Reliable, High-Speed, Passenger Train Bond Act for the 21<sup>st</sup> Century

[Section 2704.095 of the Streets and Highways Code]

Proposition 1A, approved by voters in November 2008 (not related to Proposition 1A of 2006) and codified as the Safe, Reliable, High-Speed, Passenger Train Bond Act for the 21st Century [Chapter 267, Statutes of 2008, (AB 3034)], authorized the issuance of \$9.95 billion in general obligation (GO) bonds to fund the construction of a high-speed train system that connects the state’s major rail terminals and links the state’s major population centers. Of the \$9.95 billion in proceeds, \$9.00 billion will fund the planning and engineering for the high-speed train system, and capital costs to be funded according to the High-Speed Rail Authority’s certified environmental impact reports.

The remaining \$950 million, less bond administration costs, will be allocated by the California Transportation Commission (CTC) to eligible recipients for capital improvements to intercity and commuter rail lines, and urban rail systems that provide direct connectivity to the high-speed train system and its facilities, or that are part of the construction of the high-speed train.

#### REMAINING CAPACITY (\$ in thousands)

DESCRIPTION	INTERCITY RAIL TOTAL
<b>Resources:</b>	
Bond Authorization	\$950,000
Less Administrative Costs <sup>1</sup>	(1,867)
<b>Commitments<sup>2</sup>:</b>	(931,000)
<b>Total Commitments:</b>	(932,867)
<b>REMAINING CAPACITY:</b>	<b>\$17,133</b>

#### ALLOCATIONS (\$ in thousands)

Description	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	Total
Capital	\$0	\$62,490	\$20,810	\$40,750	\$0	\$0	\$124,050
Local Assistance	0	38,500	7,000	636,101	0	0	681,601
Capital Outlay Support	0	0	0	0	0	0	0
<b>Total Allocations<sup>3</sup></b>	<b>\$0</b>	<b>\$100,990</b>	<b>\$27,810</b>	<b>\$676,851</b>	<b>\$0</b>	<b>\$0</b>	<b>\$805,651</b>

#### ADMINISTRATIVE EXPENDITURES (\$ in thousands)

Description	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	Total
Caltrans	\$0	\$0	\$4	\$59	\$0	\$0	\$63
CTC	0	0	0	0	0	0	0
Other Admin Expenses	0	0	0	0	0	0	0
<b>Total Expenditures<sup>4</sup></b>	<b>\$0</b>	<b>\$0</b>	<b>\$4</b>	<b>\$59</b>	<b>\$0</b>	<b>\$0</b>	<b>\$63</b>

**Notes:**

Individual numbers may not add to total due to independent rounding.

Remaining capacity represents estimated savings from 2% administrative set-aside.

<sup>1</sup> Estimated total cost of administration, subject to 2% limit of authorized bond amount, for Caltrans and CTC support; costs of bond issuance; PMIA loan administration; and STO, SCO, and DOF accounting-related fees.

<sup>2</sup> Total amounts programmed through June 30, 2015.

<sup>3</sup> Total amounts allocated by CTC through June 30, 2015.

<sup>4</sup> Actual expenditures charged against resources in footnote #1 above.

**Proposition 1B – Highway Safety, Traffic, Reduction, Air Quality, and Port Security  
Bond Act of 2006**

Proposition 1B, approved by voters in November 2006, authorized the issuance of approximately \$19.9 billion in state general obligation bonds under the Highway Safety, Traffic Reduction, Air Quality, and Port Security Bond Act of 2006 [Chapter 181, Statutes of 2007 (SB 88)]. Of this amount, the California Department of Transportation (Caltrans) administers \$15.6 billion, of which \$12 billion is allocated by the CTC and \$3.6 billion by the Controller. The objectives of Proposition 1B are to improve transportation, air quality, and port security through the creation of new transportation accounts and programs, and by providing new funding for existing programs.

Pages 24-34 display the status through June 30, 2015, of the following Proposition 1B accounts:

- Corridor Mobility Improvement Account
- Trade Corridors Improvement Fund
- Transportation Facilities Account
- Public Transit Modernization, Improvement & Service Enhancement Account
  - Intercity Rail Improvements
  - Local Transit
- State-Local Partnership Program Account
- Local Bridge Seismic Retrofit Account
- Highway-Railroad Crossing Safety Account
- Highway Safety, Rehabilitation, and Preservation Account
  - State Highway Operation and Protection Program
  - Traffic Light Synchronization Program
- State Route 99 Corridor Account



## CORRIDOR MOBILITY IMPROVEMENT ACCOUNT

[Section 8879.23(a)(1), 8879.23(a)(6)(b), and 8879.50 of the Government Code]

The Corridor Mobility Improvement Account (CMIA) was established to fund performance improvements on the state highway system, or major access routes to the state highway system on the local road system that relieve congestion by expanding capacity, enhancing operations, or otherwise improving travel times within these high-congestion travel corridors. Projects were identified by Caltrans and regional or local transportation agencies and allocated by the CTC. The program had a December 31, 2012 deadline for allocating all project funds.

### REMAINING CAPACITY (\$ in thousands)

DESCRIPTION	CMIA TOTAL
<b>Resources:</b>	
Bond Authorization	\$4,500,000
Less Administrative Costs <sup>1</sup>	(23,000)
<b>Commitments<sup>2</sup>:</b>	(4,476,618)
<b>Total Commitments:</b>	(4,499,618)
<b>REMAINING CAPACITY:</b>	<b>\$382</b>

### ALLOCATIONS (\$ in thousands)

Description	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	Total
Capital <sup>3,4</sup>	\$470,573	\$935,553	\$622,252	\$497,566	\$1,141,009	\$279,911	\$0	\$71,956	\$4,018,820
Local Assistance	1,200	1,770	1,000	11,875	0	0	0	0	15,845
Capital Outlay Support	0	105,177	62,739	55,696	218,341	0	0	0	441,953
<b>Total Allocations<sup>5</sup></b>	<b>\$471,773</b>	<b>\$1,042,500</b>	<b>\$685,991</b>	<b>\$565,137</b>	<b>\$1,359,350</b>	<b>\$279,911</b>	<b>\$0</b>	<b>\$71,956</b>	<b>\$4,476,618</b>

### ADMINISTRATIVE EXPENDITURES (\$ in thousands)

Description	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	Total
Caltrans	\$1,144	\$1,385	\$1,251	\$1,301	\$1,654	\$1,414	\$1,166	\$1,015	\$10,330
CTC	134	192	192	197	172	134	58	15	1,095
Other Admin Expenses	0	351	284	318	99	454	599	186	2,291
<b>Total Expenditures<sup>6</sup></b>	<b>\$1,278</b>	<b>\$1,928</b>	<b>\$1,727</b>	<b>\$1,816</b>	<b>\$1,924</b>	<b>\$2,002</b>	<b>\$1,823</b>	<b>\$1,216</b>	<b>\$13,715</b>

**Notes:**

Individual numbers may not add to total due to independent rounding.

<sup>1</sup> Estimated total cost of administration, subject to 2% limit of authorized bond amount, for Caltrans and CTC support; costs of bond issuance; PMIA loan administration; and STO, SCO, and DOF accounting-related fees.

<sup>2</sup> Total amounts programmed through June 30, 2015.

<sup>3</sup> Includes AB3x-20 American Recovery and Reinvestment Act loan of \$214,459,000 from the SHA to fund Proposition 1B projects in 2009-10.

<sup>4</sup> Allocated amount for 2014-15 represents administrative and project savings in accordance with the Proposition 1B savings policy established by the CTC in January 2014.

<sup>5</sup> Total amounts allocated by CTC through June 30, 2015.

<sup>6</sup> Actual expenditures charged against resources in footnote #1 above.

## TRADE CORRIDORS IMPROVEMENT FUND

[Section 8879.23(c)(1)(A), 8879.50, and 8879.52 of the Government Code]

The Trade Corridors Improvement Fund (TCIF) was established to fund infrastructure improvements along federally-designated “Trade Corridors of National Significance” in the state, and along other corridors within the state that have a high volume of freight movement, as allocated by the CTC.

### REMAINING CAPACITY (\$ in thousands)

DESCRIPTION	TCIF TOTAL
<b>Resources:</b>	
Bond Authorization	\$2,000,000
Less Administrative Costs <sup>1</sup>	(15,000)
<b>Commitments<sup>2</sup>:</b>	(1,918,117)
<b>Total Commitments:</b>	(1,933,117)
<b>REMAINING CAPACITY:</b>	<b>\$66,883</b>

### ALLOCATIONS (\$ in thousands)

Description	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	Total
Capital <sup>3</sup>	\$0	\$24,031	\$102,926	\$56,041	\$578,550	\$101,496	\$35,960	\$33,111	\$932,115
Local Assistance	0	47,507	49,649	153,948	450,312	112,243	115,459	1,700	930,818
Capital Outlay Support	0	7,567	7,000	0	170	19,068	8,460	3,511	45,776
<b>Total Allocations<sup>4</sup></b>	<b>\$0</b>	<b>\$79,105</b>	<b>\$159,575</b>	<b>\$209,989</b>	<b>\$1,029,032</b>	<b>\$232,807</b>	<b>\$159,879</b>	<b>\$38,322</b>	<b>\$1,908,709</b>

### ADMINISTRATIVE EXPENDITURES (\$ in thousands)

Description	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	Total
Caltrans	\$0	\$752	\$721	\$746	\$948	\$516	\$526	\$1,127	\$5,336
CTC	220	163	141	141	136	98	56	15	970
Other Admin Expenses	0	8	10	31	8	82	446	295	880
<b>Total Expenditures<sup>5</sup></b>	<b>\$220</b>	<b>\$923</b>	<b>\$872</b>	<b>\$918</b>	<b>\$1,093</b>	<b>\$696</b>	<b>\$1,028</b>	<b>\$1,437</b>	<b>\$7,187</b>

**Notes:**

Individual numbers may not add to total due to independent rounding.

<sup>1</sup> Estimated total cost of administration, subject to 2% limit of authorized bond amount, for Caltrans and CTC support; costs of bond issuance; PMIA loan administration; and STO, SCO, and DOF accounting-related fees.

<sup>2</sup> Total amounts programmed through June 30, 2015.

<sup>3</sup> Includes AB3x-20 American Recovery and Reinvestment Act loan of \$66,804,000 from the SHA to fund Proposition 1B projects in 2009-10.

<sup>4</sup> Total amounts allocated by CTC through June 30, 2015.

<sup>5</sup> Actual expenditures charged against resources in footnote #1 above.



**TRANSPORTATION FACILITIES ACCOUNT**  
 [Section 8879.23(e), 8879.50, and 8879.54 of the Government Code]

The Transportation Facilities Account (TFA) was established to augment funding for the STIP. Funds are made available to the Caltrans based on Legislative appropriation and allocation by the CTC, in the same manner as funds allocated for STIP projects under existing law.

**REMAINING CAPACITY**  
 (\$ in thousands)

DESCRIPTION	TFA TOTAL
<b>Resources:</b>	
Bond Authorization	\$2,000,000
Less Administrative Costs <sup>1</sup>	(17,000)
<b>Commitments<sup>2</sup>:</b>	(1,918,354)
<b>Total Commitments:</b>	(1,935,354)
<b>REMAINING CAPACITY:</b>	<b>\$64,646</b>

**ALLOCATIONS**  
 (\$ in thousands)

Description	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	Total
Capital	\$828,957	\$243,535	\$0	\$358,548	\$0	\$15,517	\$0	\$0	\$1,446,557
Local Assistance	7,131	181,399	0	6,889	0	0	0	0	195,419
Capital Outlay Support <sup>3</sup>	156,401	74,201	10,930	17,802	22,250	1,473	8,500	(15,180)	276,378
<b>Total Allocations<sup>4</sup></b>	<b>\$992,489</b>	<b>\$499,135</b>	<b>\$10,930</b>	<b>\$383,239</b>	<b>\$22,250</b>	<b>\$16,990</b>	<b>\$8,500</b>	<b>(\$15,180)</b>	<b>\$1,918,354</b>

**ADMINISTRATIVE EXPENDITURES**  
 (\$ in thousands)

Description	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	Total
Caltrans	\$1,850	\$2,082	\$1,546	\$725	\$1,072	\$1,056	\$977	\$593	\$9,902
CTC	37	10	0	129	156	85	52	14	482
Other Admin Expenses	0	442	82	151	28	64	92	30	890
<b>Total Expenditures<sup>5</sup></b>	<b>\$1,888</b>	<b>\$2,534</b>	<b>\$1,628</b>	<b>\$1,005</b>	<b>\$1,256</b>	<b>\$1,205</b>	<b>\$1,122</b>	<b>\$637</b>	<b>\$11,275</b>

**Notes:**

Individual numbers may not add to total due to independent rounding.

<sup>1</sup> Estimated total cost of administration, subject to 2% limit of authorized bond amount, for Caltrans and CTC support; costs of bond issuance; PMIA loan administration; and STO, SCO, and DOF accounting-related fees.

<sup>2</sup> Total amounts programmed through June 30, 2015.

<sup>3</sup> There was no COS allocated in 2014-15. The negative number represents savings recorded at close-out of projects allocated in previous years.

<sup>4</sup> Total amounts allocated by CTC through June 30, 2015.

<sup>5</sup> Actual expenditures charged against resources in footnote #1 above.

**PUBLIC TRANSPORTATION MODERNIZATION, IMPROVEMENT  
AND SERVICE ENHANCEMENT ACCOUNT  
INTERCITY RAIL PORTION (IRI)**

[Sections 8879.23(f)(2), 8879.23(f)(3), 8879.50, and 8879.55 of the Government Code]

The Public Transportation Modernization, Improvement and Service Enhancement Account (PTMISEA) was established to fund intercity rail improvements, including the procurement of additional intercity railcars and locomotives, as allocated by the CTC.

**REMAINING CAPACITY  
(\$ in thousands)**

DESCRIPTION	IRI TOTAL
<b>Resources:</b>	
Bond Authorization	\$400,000
Less Administrative Costs <sup>1</sup>	(7,843)
<b>Commitments<sup>2</sup>:</b>	(392,157)
<b>Total Commitments:</b>	(400,000)
<b>REMAINING CAPACITY:</b>	<b>\$0</b>

**ALLOCATIONS  
(\$ in thousands)**

Description	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	Total
Capital	\$53,530	\$35,492	\$3,750	\$0	\$93,204	\$0	\$13,123	\$108,000	\$307,099
Local Assistance	0	0	0	0	0	0	0	0	0
Capital Outlay Support	0	0	0	0	0	0	0	0	0
<b>Total Allocations<sup>3</sup></b>	<b>\$53,530</b>	<b>\$35,492</b>	<b>\$3,750</b>	<b>\$0</b>	<b>\$93,204</b>	<b>\$0</b>	<b>\$13,123</b>	<b>\$108,000</b>	<b>\$307,099</b>

**ADMINISTRATIVE EXPENDITURES  
(\$ in thousands)**

Description	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	Total
Caltrans	\$121	\$319	\$524	\$216	\$286	\$364	\$320	\$263	\$2,412
CTC	2	11	11	29	36	24	15	4	132
Other Admin Expenses	0	6	23	3	2	12	31	34	111
<b>Total Expenditures<sup>4</sup></b>	<b>\$123</b>	<b>\$336</b>	<b>\$557</b>	<b>\$248</b>	<b>\$324</b>	<b>\$400</b>	<b>\$366</b>	<b>\$300</b>	<b>\$2,655</b>

**Notes:**

Individual numbers may not add to total due to independent rounding.

<sup>1</sup> Estimated total cost of administration, subject to 2% limit of authorized bond amount, for Caltrans and CTC support; costs of bond issuance; PMIA loan administration; and STO, SCO, and DOF accounting-related fees.

<sup>2</sup> Total amounts programmed through June 30, 2015.

<sup>3</sup> Total amounts allocated by CTC through June 30, 2015.

<sup>4</sup> Actual expenditures charged against resources in footnote #1 above.



**PUBLIC TRANSPORTATION MODERNIZATION, IMPROVEMENT  
AND SERVICE ENHANCEMENT ACCOUNT  
LOCAL TRANSIT PORTION (TRANSIT)**

[Sections 8879.23(f)(1), 8879.23(f)(3), 8879.50, and 8879.55 of the Government Code]

The PTIMSEA was established for intercity rail projects, commuter or urban rail operators, bus operators, waterborne transit operators and other transit operators for rehabilitation, safety or modernization improvements, capital service enhancements or expansions, new capital projects, bus or rapid transit improvements, rolling stock procurement, rehabilitation, or replacement. Administered by Caltrans, the Transit portion of \$3.6 billion is to be allocated by formula to eligible agencies by the State Controller's Office - \$1.8 billion pursuant to Public Utilities Code (PUC) section 99313 and \$1.8 billion pursuant to PUC section 99314.

**REMAINING CAPACITY  
(\$ in thousands)**

DESCRIPTION	TRANSIT TOTAL
<b>Resources:</b>	
Bond Authorization	\$3,600,000
Less Administrative Costs <sup>1</sup>	(12,240)
<b>Commitments<sup>2</sup>:</b>	<b>(3,587,760)</b>
<b>Total Commitments:</b>	<b>(3,600,000)</b>
<b>REMAINING CAPACITY:</b>	<b>\$0</b>

**ALLOCATIONS<sup>3</sup>  
(\$ in thousands)**

Description	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	Total
Capital	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Local Assistance	390,735	419,559	381,189	305,131	402,675	556,032	330,019	651,000	3,436,340
Capital Outlay Support	0	0	0	0	0	0	0	0	0
<b>Total Allocations<sup>4</sup></b>	<b>\$390,735</b>	<b>\$419,559</b>	<b>\$381,189</b>	<b>\$305,131</b>	<b>\$402,675</b>	<b>\$556,032</b>	<b>\$330,019</b>	<b>\$651,000</b>	<b>\$3,436,340</b>

**ADMINISTRATIVE EXPENDITURES  
(\$ in thousands)**

Description	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	Total
Caltrans	\$399	\$621	\$562	\$583	\$684	\$669	\$589	\$782	\$4,888
CTC	0	0	0	0	0	0	0	0	0
Other Admin Expenses	106	89	212	38	329	363	21	459	1,617
<b>Total Expenditures<sup>5</sup></b>	<b>\$504</b>	<b>\$709</b>	<b>\$774</b>	<b>\$621</b>	<b>\$1,013</b>	<b>\$1,033</b>	<b>\$610</b>	<b>\$1,240</b>	<b>\$6,505</b>

**Notes:**

Individual numbers may not add to total due to independent rounding.

<sup>1</sup> Estimated total cost of administration, subject to 2% limit of authorized bond amount, for Caltrans and CTC support; costs of bond issuance; PMIA loan administration; and STO, SCO, and DOF accounting-related fees.

<sup>2</sup> Total authorized bond amount available for local transit projects as of June 30, 2015.

<sup>3</sup> PTMISEA-Local Transit funds are not allocated by the CTC. They are allocated by Caltrans to local agencies based on a formula in statute.

<sup>4</sup> Total amounts allocated to local transit projects through June 30, 2015.

<sup>5</sup> Actual expenditures charged against resources in footnote #1 above.

**STATE-LOCAL PARTNERSHIP PROGRAM**  
 [Section 8879.23(g) 8879.50, and Sections 8879.66 through 8879.76  
 of the Government Code]

The State-Local Partnership Program (SLPP) provides dollar-for-dollar matching funds for eligible transportation projects nominated by applicant transportation agencies and allocated by the CTC.

**REMAINING CAPACITY**  
 (\$ in thousands)

DESCRIPTION	SLPP TOTAL
<b>Resources:</b>	
Bond Authorization	\$1,000,000
Less Administrative Costs <sup>1</sup>	(19,008)
<b>Commitments<sup>2</sup>:</b>	(980,992)
<b>Total Commitments:</b>	(1,000,000)
<b>REMAINING CAPACITY:</b>	<b>\$0</b>

**ALLOCATIONS**  
 (\$ in thousands)

Description	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	Total
Capital	\$0	\$40,000	\$30,171	\$0	\$59,542	\$149,645	\$0	\$0	\$279,358
Local Assistance	0	9,138	13,839	209,005	104,157	355,045	0	0	691,184
Capital Outlay Support	0	0	0	0	0	10,450	0	0	10,450
<b>Total Allocations<sup>3</sup></b>	<b>\$0</b>	<b>\$49,138</b>	<b>\$44,010</b>	<b>\$209,005</b>	<b>\$163,699</b>	<b>\$515,140</b>	<b>\$0</b>	<b>\$0</b>	<b>\$980,992</b>

**ADMINISTRATIVE EXPENDITURES**  
 (\$ in thousands)

Description	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	Total
Caltrans	\$0	\$238	\$280	\$312	\$715	\$534	\$657	\$1,100	\$3,835
CTC	0	30	0	58	78	64	27	7	265
Other Admin Expenses	0	0	19	34	10	123	168	92	447
<b>Total Expenditures<sup>4</sup></b>	<b>\$0</b>	<b>\$268</b>	<b>\$300</b>	<b>\$403</b>	<b>\$803</b>	<b>\$722</b>	<b>\$851</b>	<b>\$1,199</b>	<b>\$4,546</b>

**Notes:**

Individual numbers may not add to total due to independent rounding.

<sup>1</sup> Estimated total cost of administration, subject to 2% limit of authorized bond amount, for Caltrans and CTC support; costs of bond issuance; PMIA loan administration; and STO, SCO, and DOF accounting-related fees.

<sup>2</sup> Total amounts programmed through June 30, 2015. The deadline for allocating all project funds was June 30, 2013. The deadline was met and future expenditures will be for ongoing support activities.

<sup>3</sup> Total amounts allocated by CTC through June 30, 2015.

<sup>4</sup> Actual expenditures charged against resources in footnote #1 above.



**LOCAL BRIDGE SEISMIC RETROFIT ACCOUNT**  
 [Sections 8879.23(i), 8879.50, and 8879.62 of the Government Code]

The Local Bridge Seismic Retrofit Account (LSBRA) was established to provide the funds needed to match federal Highway Bridge Replacement and Rehabilitation funds available to the state for seismic work on local bridges, ramps, and overpasses, as identified by Caltrans.

**REMAINING CAPACITY**  
 (\$ in thousands)

DESCRIPTION	LBSRA TOTAL
<b>Resources:</b>	
Bond Authorization	\$125,000
Less Administrative Costs <sup>1</sup>	(3,750)
<b>Commitments<sup>2</sup>:</b>	(121,250)
<b>Total Commitments:</b>	(125,000)
<b>REMAINING CAPACITY:</b>	<b>\$0</b>

**ALLOCATIONS**  
 (\$ in thousands)

Description	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	Total
Capital	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Local Assistance	13,326	4,424	12,200	0	5,151	4,041	11,201	7,137	57,480
Capital Outlay Support	0	0	0	0	0	0	0	0	0
<b>Total Allocations<sup>3</sup></b>	<b>\$13,326</b>	<b>\$4,424</b>	<b>\$12,200</b>	<b>\$0</b>	<b>\$5,151</b>	<b>\$4,041</b>	<b>\$11,201</b>	<b>\$7,137</b>	<b>\$57,480</b>

**ADMINISTRATIVE EXPENDITURES<sup>4</sup>**  
 (\$ in thousands)

Description	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	Total
Caltrans <sup>4</sup>	\$43	\$83	\$96	\$1,260	\$1,646	\$496	\$688	\$354	\$4,666
CTC	0	0	0	7	8	5	2	1	24
Other Admin Expenses	0	5	2	8	1	7	6	2	31
<b>Total Expenditures<sup>5</sup></b>	<b>\$43</b>	<b>\$88</b>	<b>\$99</b>	<b>\$1,275</b>	<b>\$1,655</b>	<b>\$508</b>	<b>\$696</b>	<b>\$357</b>	<b>\$4,721</b>

**Notes:**

Individual numbers may not add to total due to independent rounding.

<sup>1</sup> Estimated total cost of administration, subject to 3% limit of authorized bond amount, for Caltrans and CTC support; costs of bond issuance; PMIA loan administration; and STO, SCO, and DOF accounting-related fees.

<sup>2</sup> Total amounts programmed through June 30, 2015.

<sup>3</sup> Total amounts allocated by CTC through June 30, 2015.

<sup>4</sup> These costs include project engineering work that will be counted as part of the 98% of program funds available for projects as it is project-related work, rather than administrative. Administrative costs will not exceed the amount of bond funds available for program administration.

<sup>5</sup> Actual expenditures charged against resources in footnote #1 above.

## HIGHWAY-RAILROAD CROSSING SAFETY ACCOUNT

[Sections 8879.23(j)(1), 8879.23(j)(2), 8879.50, and 8879.63 of the Government Code]

The Highway-Railroad Crossing Safety Account (HRCSA) was established to fund the completion of high-priority grade separation and railroad crossing safety improvements pursuant to Chapter 10 (Sections 2450 through 2461) of Division Three of the Streets and Highways Code (S&HC), except that a dollar-for-dollar matching of non-state funds shall be provided for each project.

### REMAINING CAPACITY

(\$ in thousands)

DESCRIPTION	HRCSA TOTAL
<b>Resources:</b>	
Bond Authorization	\$250,000
Less Administrative Costs <sup>1</sup>	(5,000)
<b>Commitments<sup>2</sup>:</b>	(243,470)
<b>Total Commitments:</b>	(248,470)
<b>REMAINING CAPACITY:</b>	<b>\$1,530</b>

### ALLOCATIONS

(\$ in thousands)

Description	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	Total
Capital	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Local Assistance	83,144	33,649	0	69,140	0	39,232	0	0	225,164
Capital Outlay Support	0	0	0	0	0	0	0	0	0
<b>Total Allocations<sup>3</sup></b>	<b>\$83,144</b>	<b>\$33,649</b>	<b>\$0</b>	<b>\$69,140</b>	<b>\$0</b>	<b>\$39,232</b>	<b>\$0</b>	<b>\$0</b>	<b>\$225,164</b>

### ADMINISTRATIVE EXPENDITURES

(\$ in thousands)

Description	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	Total
Caltrans	\$158	\$304	\$464	\$350	\$254	\$637	\$403	\$369	\$2,940
CTC	2	18	11	30	26	19	9	2	119
Other Admin Expenses	0	2	18	21	2	10	25	17	95
<b>Total Expenditures<sup>4</sup></b>	<b>\$160</b>	<b>\$325</b>	<b>\$493</b>	<b>\$401</b>	<b>\$282</b>	<b>\$666</b>	<b>\$437</b>	<b>\$389</b>	<b>\$3,153</b>

**Notes:**

Individual numbers may not add to total due to independent rounding.

<sup>1</sup> Estimated total cost of administration, subject to 2% limit of authorized bond amount, for Caltrans and CTC support; costs of bond issuance; PMIA loan administration; and STO, SCO, and DOF accounting-related fees.

<sup>2</sup> Total amounts programmed through June 30, 2015.

<sup>3</sup> Total amounts allocated by CTC through June 30, 2015.

<sup>4</sup> Actual expenditures charged against resources in footnote #1 above.



**HIGHWAY SAFETY, REHABILITATION, AND PRESERVATION ACCOUNT**  
 [Sections 8879.23 (k)(1), 8879.50, and 8879.64 of the Government Code]

The Highway Safety, Rehabilitation, and Preservation Account (HSRPA) was established to fund the SHOPP as described in Section 14526.5 of the GC.

**REMAINING CAPACITY**  
 (\$ in thousands)

DESCRIPTION	HSRPA TOTAL
<b>Resources:</b>	
Bond Authorization	\$500,000
Less Administrative Costs <sup>1</sup>	(10,000)
<b>Commitments<sup>2</sup>:</b>	(490,000)
<b>Total Commitments:</b>	(500,000)
<b>REMAINING CAPACITY:</b>	<b>\$0</b>

**ALLOCATIONS**  
 (\$ in thousands)

Description	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	Total
Capital	\$209,638	\$6,389	\$13,365	\$18,730	\$40,470	\$43,165	\$500	\$0	\$332,256
Local Assistance	0	0	0	0	0	0	0	0	0
Capital Outlay Support <sup>3</sup>	62,454	8,958	12,484	19,607	1,900	3,656	0	(32,284)	76,776
<b>Total Allocations<sup>4</sup></b>	<b>\$272,092</b>	<b>\$15,347</b>	<b>\$25,848</b>	<b>\$38,337</b>	<b>\$42,370</b>	<b>\$46,822</b>	<b>\$500</b>	<b>(\$32,284)</b>	<b>\$409,032</b>

**ADMINISTRATIVE EXPENDITURES**  
 (\$ in thousands)

Description	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	Total
Caltrans	\$181	\$239	\$299	\$784	\$746	\$510	\$1,337	\$462	\$4,557
CTC	0	0	0	0	0	0	0	0	0
Other Admin Expenses	0	98	33	37	1	12	25	11	218
<b>Total Expenditures<sup>5</sup></b>	<b>\$181</b>	<b>\$337</b>	<b>\$332</b>	<b>\$821</b>	<b>\$747</b>	<b>\$522</b>	<b>\$1,362</b>	<b>\$473</b>	<b>\$4,775</b>

**Notes:**

Individual numbers may not add to total due to independent rounding.

<sup>1</sup> Estimated total cost of administration, subject to 2% limit of authorized bond amount, for Caltrans and CTC support; costs of bond issuance; PMIA loan administration; and STO, SCO, and DOF accounting-related fees.

<sup>2</sup> Total amounts programmed through June 30, 2015.

<sup>3</sup> There was no COS allocated in 2014-15. The negative number represents savings recorded at close-out of projects allocated in previous years.

<sup>4</sup> Total amounts allocated by CTC through June 30, 2015.

<sup>5</sup> Actual expenditures charged against resources in footnote #1 above.

**HIGHWAY SAFETY, REHABILITATION, AND PRESERVATION ACCOUNT  
TRAFFIC LIGHT SYNCHRONIZATION PROGRAM PORTION**  
[Sections 8879.23 (k)(2), 8879.50, and 8879.64 of the Government Code]

The HSRPA was established to fund the SHOPP, as described in Section 14526.5 of the GC, for the Traffic Light Synchronization Program and be used on other technology-based projects; and to improve safety, operations, and the effective capacity of local streets and roads.

**REMAINING CAPACITY**  
(\$ in thousands)

DESCRIPTION	TLSP TOTAL
<b>Resources:</b>	
Bond Authorization	\$250,000
Less Administrative Costs <sup>1</sup>	(5,000)
<b>Commitments<sup>2</sup>:</b>	(245,000)
<b>Total Commitments:</b>	(250,000)
<b>REMAINING CAPACITY:</b>	<b>\$0</b>

**ALLOCATIONS**  
(\$ in thousands)

Description	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	Total
Capital	\$0	\$0	\$0	\$4,545	\$0	\$6,970	\$0	\$0	\$11,515
Local Assistance	50,648	41,847	0	105,410	0	12,291	0	13,541	223,737
Capital Outlay Support	0	0	0	0	1,000	530	0	0	1,530
<b>Total Allocations<sup>3</sup></b>	<b>\$50,648</b>	<b>\$41,847</b>	<b>\$0</b>	<b>\$109,955</b>	<b>\$1,000</b>	<b>\$19,791</b>	<b>\$0</b>	<b>\$13,541</b>	<b>\$236,782</b>

**ADMINISTRATIVE EXPENDITURES**  
(\$ in thousands)

Description	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	Total
Caltrans	\$214	\$418	\$291	\$223	\$381	\$311	\$318	\$296	\$2,451
CTC	0	6	0	26	56	41	24	6	158
Other Admin Expenses	0	20	16	17	5	16	14	11	99
<b>Total Expenditures<sup>4</sup></b>	<b>\$214</b>	<b>\$444</b>	<b>\$306</b>	<b>\$266</b>	<b>\$441</b>	<b>\$368</b>	<b>\$357</b>	<b>\$313</b>	<b>\$2,709</b>

**Notes:**

Individual numbers may not add to total due to independent rounding.

<sup>1</sup> Estimated total cost of administration, subject to 2% limit of authorized bond amount, for Caltrans and CTC support; costs of bond issuance; PMIA loan administration; and STO, SCO, and DOF accounting-related fees.

<sup>2</sup> Total amounts programmed through June 30, 2015.

<sup>3</sup> Total amounts allocated by CTC through June 30, 2015.

<sup>4</sup> Actual expenditures charged against resources in footnote #1 above.



## STATE ROUTE 99 ACCOUNT

[Sections 8879.23(b), 8879.50, and 8879.51 of the Government Code]

The State Route 99 Account (SR 99) was established to provide funding for safety, operational enhancements, rehabilitation, or capacity improvements for the SR 99 corridor that traverses approximately 400 miles of the California's Central Valley.

### REMAINING CAPACITY (\$ in thousands)

DESCRIPTION	SR 99 TOTAL
<b>Resources:</b>	
Bond Authorization	\$1,000,000
Less Administrative Costs <sup>1</sup>	(6,000)
<b>Commitments<sup>2</sup>:</b>	(966,967)
<b>Total Commitments:</b>	(972,967)
<b>REMAINING CAPACITY:</b>	<b>\$27,033</b>

### ALLOCATIONS (\$ in thousands)

Description	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	Total
Capital <sup>3</sup>	\$2,379	\$20,935	\$155,705	\$60,711	\$489,520	\$67,968	\$38,618	\$0	\$835,836
Local Assistance	0	0	0	0	0	0	0	0	0
Capital Outlay Support <sup>4</sup>	0	10,150	29,863	7,476	83,650	(8)	0	0	131,131
<b>Total Allocations<sup>5</sup></b>	<b>\$2,379</b>	<b>\$31,085</b>	<b>\$185,568</b>	<b>\$68,187</b>	<b>\$573,170</b>	<b>\$67,960</b>	<b>\$38,618</b>	<b>\$0</b>	<b>\$966,967</b>

### ADMINISTRATIVE EXPENDITURES (\$ in thousands)

Description	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	Total
Caltrans	\$567	\$620	\$425	\$339	\$353	\$229	\$253	\$348	\$3,134
CTC	0	0	0	0	0	0	0	0	0
Other Admin Expenses	0	4	84	56	6	51	160	78	440
<b>Total Expenditures<sup>6</sup></b>	<b>\$567</b>	<b>\$624</b>	<b>\$509</b>	<b>\$395</b>	<b>\$359</b>	<b>\$281</b>	<b>\$413</b>	<b>\$426</b>	<b>\$3,574</b>

**Notes:**

Individual numbers may not add to total due to independent rounding.

<sup>1</sup> Estimated total cost of administration, subject to 2% limit of authorized bond amount, for Caltrans and CTC support; costs of bond issuance; PMIA loan administration; and STO, SCO, and DOF accounting-related fees.

<sup>2</sup> Total amounts programmed through June 30, 2015.

<sup>3</sup> Includes AB3x-20 American Recovery and Reinvestment Act loan of \$19,061,000 from the SHA to fund Proposition 1B projects in 2009-10.

<sup>4</sup> Negative number is the result of de-allocations because of savings exceeding the amount allocated in 2012-13.

<sup>5</sup> Total amounts allocated by CTC through June 30, 2015.

<sup>6</sup> Actual expenditures charged against resources in footnote #1 above.

## **APPENDIX D – 2016 STIP FUND ESTIMATE ASSUMPTIONS BY FUND**

The Commission adopted the assumptions used in the development of the 2016 STIP FE on May 28, 2015. A summary of the adopted assumptions are listed below.

### **State Highway Account (SHA):**

#### ***Operating Cash Balance***

- SHA 1.** Based on an updated analysis of monthly SHA receipts, less expenditures, a minimum level of operating cash of \$415 million would sufficiently cover 95 percent of the monthly volatility in the SHA.

#### ***SHA Revenues & Transfers***

- SHA 2.** Assume price-based excise tax revenue on gasoline will increase each year from 2015-16 through 2020-21.
- SHA 3.** Assume weight fee revenues will increase annually based upon a projection provided by the Department of Finance.
- SHA 4.** Revenues from Other Regulatory Licenses and Permits will total approximately \$55 million over the FE period based on revenue model projections.
- SHA 5.** S&HC Section 183.1 revenues, not subject to Article XIX of the State Constitution, will be transferred from the SHA to the TDSF in perpetuity.
- SHA 6.** Section 194 transfers are based on PTA state operations expenditures, and are projected to remain constant at approximately \$25 million a year over the FE period.
- SHA 7.** Assume the Controller will transfer \$10 million from the Motor Vehicle Account to the SHA each year from 2015-16 through 2020-21.

#### ***Advanced Project Development Element (APDE)***

- SHA 8.** The 2016 FE will not include the APDE because the FE is expected to show the need for the reprogramming of STIP projects.

### *Federal Revenues*

- SHA 9.** Assume OA is equal to the actual 2013-14 level of \$3.24 billion, and escalated 1.4% each year over the FE period.
- SHA 10.** The 2016 FE assumes an August Redistribution of \$147 million per year based on the average amount received by California from 2009-10 through 2013-14. The Redistribution will be split approximately \$90 million (61 percent) to the state, and \$57 million (39 percent) to the locals.
- SHA 11.** The 2016 FE does not include any supplemental funding received under the Federal-aid Highway Emergency Relief Program. This program, commonly referred to as the Emergency Relief Program, supplements the commitment of resources by States, their political subdivisions, or other Federal agencies to help pay for unusually heavy expenses resulting from extraordinary conditions.

### *Advanced Construction (AC)*

- SHA 12.** The Department will gradually accumulate an AC level that is equivalent to one year's worth of OA by the end of the FE period. AC will be used as a cash management tool and as a reservation of federally eligible projects to hedge against increases to available federal resources.

### *Loan Repayments*

- SHA 13.** The 2016 FE will display that Pre-Proposition 42 loan repayments are scheduled to occur in installments over the FE period, beginning in 2016-17.
- SHA 14.** The 2016 FE will display that loan repayments will occur in the year consistent with state statute.

### *State Expenditures*

- SHA 15.** The 2016 FE will include a total budget change proposal reservation of \$75 million over the five-year FE period.

### *Local Assistance (LA)*

- SHA 16.** State expenditures assume allocations of approximately \$105 million per year over the FE period, consistent with the Commission's 2014-15 lump sum allocation for Local Assistance (Resolution FM-13-03).

### *STIP*

- SHA 17.** COS expenditures are based on a continuation of all STIP components allocated prior to 2015-16 and all STIP components programmed to begin in 2015-16.
- SHA 18.** Capital expenditures are based on a continuation of all existing SHA STIP project allocations prior to 2014-15, allocations in 2014-15, and projects programmed to begin in 2015-16.
- SHA 19.** Prior R/W is defined as all R/W projects in the 2014 STIP that are programmed for 2015-16 and prior years.
- SHA 20.** Non-programmed SHA STIP R/W includes an annual estimate based on forecasted R/W lump sum allocations of non-programmed R/W components for post-certification, and project development costs.
- SHA 21.** Capital project costs shall be escalated at 4.5 percent annually, consistent with the historical trend of the Price Index for Selected California Construction Items.

### *GARVEE*

- SHA 22.** The 2016 FE displays GARVEE debt service payments of about \$46 million for SHOPP for the entire FE period. GARVEE debt service payments for SHOPP will end in 2019-20. GARVEE debt service payments for STIP ended in 2014-15.

### *SHOPP*

- SHA 23.** COS expenditures are based on a continuation of all SHOPP components allocated prior to 2015-16, SHOPP preliminary engineering components programmed in 2015-16 and later, and SHOPP construction engineering components programmed to begin in 2015-16.
- SHA 24.** Prior R/W commitments are defined as R/W projects in the SHOPP that are programmed for 2015-16 and prior years.
- SHA 25.** Non-programmed SHOPP R/W includes an annual estimate based on forecasted R/W lump sum allocations of non-programmed R/W components for inverse condemnation and post-certification costs.
- SHA 26.** Capital expenditures are based on a continuation of all SHOPP projects allocated in 2014-15 and prior, all programmed 2015-16 SHOPP projects, and SHOPP GARVEE debt service payments.

**SHA 27.** Total program capacity of the 2016 FE SHOPP will be based on total SHA resources remaining after existing commitments.

**SHA 28.** Capital project costs shall be escalated at 4.5 percent annually, consistent with the historical trend of the Price Index for Selected California Construction Items.

***Active Transportation Program (ATP)***

**SHA 29.** The ATP divides approximately \$120 million annually, and is consistent with the 2015 ATP FE adopted by the Commission in March 2015. ATP funding is not available for SHOPP or STIP capacity.

## **Public Transportation Account:**

### ***Operating Cash Balance***

- PTA 1.** Based on historical data and projected expenditures from updated analysis of monthly PTA receipts less expenditures, a minimum level of operating cash of \$100 million would sufficiently cover 95 percent of the monthly volatility in the PTA.

### ***Revenues***

- PTA 2.** Consumption of diesel fuel is assumed to experience slight growth from 2015-16 through 2020-21, and will increase by less than 1 percent each year. The FE projects that retail diesel fuel revenues will increase by 1 percent each year over the FE period.

### ***Transfers***

- PTA 3.** Section 21682.5 of the Public Utilities Code requires an annual transfer equal to the pro rata share of transportation duties attributable to aviation planning and research from the Aeronautics Account. This amount is projected to remain constant at \$30,000 in each year of the FE.
- PTA 4.** Starting in 2014-15, revenue from the sales tax on diesel fuel will be split approximately 63 percent to STA and 37 percent will stay in the PTA, based on applicable laws. The 2016 FE will include a transfer of approximately 63 percent of the revenue from the sales tax on diesel from the PTA to STA.

### ***State Operations***

- PTA 5.** Assume no reservations for budget change proposals or finance letters over the FE period due to the implementation of zero-based budgeting.
- PTA 6.** Intercity Rail is part of state operations expenditures in the PTA.
- A. Intercity rail and bus operations base expenditures for existing services are forecast at \$119 million for 2015-16 and will increase by 3 percent annually through 2020-21, with a funding adjustment based upon current estimates for Amtrak's base funding adjustment, incorporating Section 209 costs. Pursuant to Section 209 of the Passenger Rail Investment and Improvement Act of 2008 (PRIIA), Amtrak and affected states developed a single, nationwide standardized methodology for establishing and distributing the operating and capital costs associated with the trains operated on state-supported Amtrak routes. Amtrak assumed an annual escalation of 3 percent per year through 2020-21. Beginning in 2017-18, funding adjustment reflects Department's release of rented Amtrak equipment.

- B. The Department's estimated need for Rail heavy equipment, maintenance, and overhaul over the FE period is \$104 million.
- C. San Joaquin Service-7th Round Trip 2015-16 reflects 6 months of service, 2016-17 reflects 1 year of service, with a 3 percent annual escalation.
- D. San Joaquin Service-8th Round Trip 2019-20 reflects 1 year of service including mid-route service improvements, with a 3 percent annual escalation.
- E. San Joaquin Program Integration 2020-21 through the FE period reflect service support and coordination with the California High Speed Rail Program.
- F. Pacific Surfliner Service 12th Round Trip 2018-19 reflects 1 year of service, with a 3 percent annual escalation.

### ***Local Assistance***

- PTA 7.** Bay Area Ferry operations expenditures will escalate by one percent per year based on historical expenditures.
- PTA 8.** Capital expenditures are based on a continuation of all STIP components allocated prior to 2015-16, all STIP components programmed to begin in 2015-16, and non-highway AB 3090s.

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## **Bonds**

### *Allocations*

- Bond 1.** The 2016 FE will display remaining capacity and a history of allocations and expenditures for all Proposition 1A and Proposition 1B general obligation bond funds administered by the Department. Bond funding is expected to be received semi-annually as the Treasurer's practice is to sell GO bonds in the Spring and Fall. It is assumed that the Department will continue to receive bond proceeds from future sales on an as needed basis, with the amount of proceeds received being based on projected cash needs for the ensuing six months.

## APPENDIX E – STATUTES REGARDING THE STIP FUND ESTIMATE

### Government Code

**§14524.** (a) Not later than July 15, 2001, and July 15 of each odd-numbered year thereafter, the department shall submit to the commission a five-year estimate pursuant to Section 164 of the Streets and Highways Code, in annual increments, of all federal and state funds reasonably expected to be available during the following five fiscal years.

(b) The estimate shall specify the amount that may be programmed in each county for regional improvement programs pursuant to paragraph (2) of subdivision (a) of Section 164 of the Streets and Highways Code and shall identify any statutory restriction on the use of particular funds.

(c) For the purpose of estimating revenues, the department shall assume that there will be no changes in existing state and federal statutes. Federal funds available for demonstration projects that are not subject to federal obligational authority, or are accompanied with their own dedicated obligational authority, shall not be considered funds that would otherwise be available to the state and shall not be included in the fund estimate.

(d) The method by which the estimate is determined shall be determined by the commission, in consultation with the department, transportation planning agencies, and county transportation commissions.

*(Amended by Stats. 2000, Ch. 91, Sec. 1. Effective July 7, 2000.)*

**§14525.** (a) Not later than August 15, 2001, and August 15 of each odd-numbered year thereafter, the commission shall adopt a five-year estimate pursuant to Section 164 of the Streets and Highways Code, in annual increments, of all state and federal funds reasonably expected to be available during the following five fiscal years.

(b) The estimate shall specify the amount that may be programmed in each county for regional improvement programs under paragraph (2) of subdivision (a) of Section 164 of the Streets and Highways Code and shall identify any statutory restriction on the use of particular funds.

(c) For the purpose of estimating revenues, the commission shall assume that there will be no change in existing state and federal statutes. Federal funds available for demonstration projects that are not subject to federal obligational authority, or are accompanied with their own dedicated obligational authority, shall not be considered funds that would otherwise be available to the state and shall not be included in the fund estimate.

(d) If the commission finds that legislation pending before the Legislature or the United States Congress may have a significant impact on the fund estimate, the commission may postpone the adoption of the fund estimate for no more than 90 days. Prior to March 1 of each even-numbered year, the commission may amend the estimate following consultation with the department, transportation planning agencies, and county transportation commissions to account for unexpected revenues or other unforeseen circumstances. In the event the fund estimate is amended, the commission shall extend the dates for the submittal

of improvement programs as specified in Sections 14526 and 14527 and for the adoption of the state transportation improvement program pursuant to Section 14529.

*(Amended by Stats. 2000, Ch. 91, Sec. 2. Effective July 7, 2000.)*

**§14525.1.** The department and the commission shall use an inflation rate that has been established by the Department of Finance. The Department of Finance shall consult with the Legislative Analyst and the Department of Transportation when calculating the inflation rate for this purpose.

*(Repealed and added by Stats. 1989, Ch. 105, Sec. 7. Effective July 10, 1989.)*

**§14529.** (a) The state transportation improvement program shall include a listing of all capital improvement projects that are expected to receive an allocation of state transportation funds under Section 164 of the Streets and Highways Code, including revenues from transportation bond acts, from the commission during the following five fiscal years. It shall include, and be limited to, the projects to be funded with the following:

(1) Interregional improvement funds.

(2) Regional improvement funds.

(b) For each project, the program shall specify the allocation or expenditure amount and the allocation or expenditure year for each of the following project components:

(1) Completion of all permits and environmental studies.

(2) Preparation of plans, specifications, and estimates.

(3) The acquisition of rights-of-way, including, but not limited to, support activities.

(4) Construction and construction management and engineering, including surveys and inspection.

(c) Funding for right-of-way acquisition and construction for a project may be included in the program only if the commission makes a finding that the sponsoring agency will complete the environmental process and can proceed with right-of-way acquisition or construction within the five-year period. No allocation for right-of-way acquisition or construction shall be made until the completion of the environmental studies and the selection of a preferred alternative.

(d) The commission shall adopt and submit to the Legislature and the Governor, not later than April 1 of each even-numbered year thereafter, a state transportation improvement program. The program shall cover a period of five years, beginning July 1 of the year it is adopted, and shall be a statement of intent by the commission for the allocation or expenditure of funds during those five years. The program shall include projects which are expected to receive funds prior to July 1 of the year of adoption, but for which the commission has not yet allocated funds.

(e) The projects included in the adopted state transportation improvement program shall be limited to those projects submitted or recommended pursuant to Sections 14526 and 14527. The total amount programmed in each fiscal year for each program category shall not exceed the amount specified in the fund estimate adopted under Section 14525.

(f) The state transportation improvement program is a resource management document to assist the state and local entities to plan and implement transportation improvements and to utilize available resources in a cost-effective manner. It is a document for each county and each region to declare their intent to use available state and federal funds in a timely and cost-effective manner.

(g) Prior to the adoption of the state transportation improvement program, the commission shall hold not less than one hearing in northern California and one hearing in southern California to reconcile any objections by any county or regional agency to the department's program or the department's objections to any regional program.

(h) The commission shall incorporate projects that are included in the regional transportation improvement program and are to be funded with regional improvement funds, unless the commission finds that the regional transportation improvement program is not consistent with the guidelines adopted by the commission or is not a cost-effective expenditure of state funds, in which case the commission may reject the regional transportation improvement program in its entirety. The finding shall be based on an objective analysis, including, but not limited to, travel forecast, cost, and air quality. The commission shall hold a public hearing in the affected county or region prior to rejecting the program, or not later than 60 days after rejecting the program. When a regional transportation improvement program is rejected, the regional entity may submit a new regional transportation improvement program for inclusion in the state transportation improvement program. The commission shall not reject a regional transportation improvement program unless, not later than 60 days after the date it received the program, it provided notice to the affected agency that specified the factual basis for its proposed action.

(i) A project may be funded with more than one of the program categories listed in Section 164 of the Streets and Highways Code.

(j) Notwithstanding any other provision of law, no local or regional matching funds shall be required for projects that are included in the state transportation improvement program.

(k) The commission may include a project recommended by a regional transportation planning agency or county transportation commission pursuant to subdivision (c) of Section 14527, if the commission makes a finding, based on an objective analysis, that the recommended project is more cost-effective than a project submitted by the department pursuant to Section 14526.

*(Amended by Stats. 2000, Ch. 91, Sec. 5. Effective July 7, 2000.)*

**§14529.01.** (a) It is the intent of the Legislature to facilitate project development work on needed transportation projects to produce a steady flow of construction projects by adding an advance project development element to the state transportation improvement program, beginning with the 2000 State Transportation Improvement Program.

(b) The advance project development element shall include only project development activities for projects that are eligible for inclusion in a state transportation improvement program.

(c) The fund estimate for each state transportation improvement program shall designate an amount to be available for the advance project development element, which shall be not more than 25 percent of the programmable resources estimated to be available for the first and second years following the period of the state transportation improvement program, subject to the formulas in Sections 164, 188, and 188.8 of the Streets and Highways Code.

(d) The department, transportation planning agencies, and county transportation commissions may nominate projects to the commission for inclusion in the advance project development element through submission of the regional transportation improvement program and the interregional transportation improvement program.

(e) The funds programmed in the advance project development element may be allocated within the period of the state transportation improvement program without regard to fiscal year.

(f) The commission may develop guidelines to implement this section.

*(Amended by Stats. 2010, Ch. 478, Sec. 3. Effective January 1, 2011.)*

## Streets and Highways Code

**§163.** The Legislature, through the enactment of this section, intends to establish a policy for the use of all transportation funds that are available to the state, including the State Highway Account, the Public Transportation Account, and federal funds. For the purposes of this section, “federal funds” means any obligational authority to be provided under annual federal transportation appropriations acts. The department and the commission shall prepare fund estimates pursuant to Sections 14524 and 14525 of the Government Code based on the following:

- (a) Annual expenditures for the administration of the department shall be the same as the most recent Budget Act, adjusted for inflation.
- (b) Annual expenditures for the maintenance and operation of the state highway system shall be the same as the most recent Budget Act, adjusted for inflation and inventory, or, when a maintenance plan has been enacted pursuant to Section 164.6, maintenance expenditures shall be based on planned expenditures in that plan.
- (c) Annual expenditure for the rehabilitation of the state highway system shall be the same as the most recent Budget Act, or, when a long-range rehabilitation plan has been enacted pursuant to Section 164.6, shall be based on planned expenditures in that long-range plan.
- (d) Annual expenditures for local assistance shall be the amount required to fund local assistance programs required by state or federal law or regulations, including, but not limited to, railroad grade crossing maintenance, bicycle transportation account, congestion mitigation and air quality, regional surface transportation programs, local highway bridge replacement and rehabilitation, local seismic retrofit, local hazard elimination and safety, and local emergency relief.
- (e) After deducting expenditures for administration, operation, maintenance, local assistance, safety, and rehabilitation pursuant to subdivisions (a), (b), (c), and (d), and for expenditures pursuant to Section 164.56, the remaining funds shall be available for capital improvement projects to be programmed in the state transportation improvement program.

*(Amended by Stats. 2004, Ch. 212, Sec. 5. Effective August 11, 2004.)*

**§164.** (a) Funds made available for transportation capital improvement projects under subdivision (e) of Section 163 shall be programmed and expended for the following program categories:

- (1) Twenty-five percent for interregional improvements.
  - (2) Seventy-five percent for regional improvements.
- (b) Sixty percent of the funds available for interregional improvements under paragraph (1) of subdivision (a) shall be programmed and expended for improvements to state highways that are specified in Sections 164.10 to 164.20, inclusive, and that are outside the boundaries of an urbanized area with a population of more than 50,000, and for intercity rail improvements.

(c) Not less than 15 percent of the amount of funds programmed under subdivision (b) shall be programmed for intercity rail improvement projects, including separation of grade projects.

(d) Funds made available under paragraph (1) of subdivision (a) shall be used for transportation improvement projects that are needed to facilitate interregional movement of people and goods. The projects may include state highway, intercity passenger rail, mass transit guideway, or grade separation projects.

(e) Funds made available under paragraph (2) of subdivision (a) shall be used for transportation improvement projects that are needed to improve transportation within the region. The projects may include, but shall not be limited to, improving state highways, local roads, public transit, intercity rail, pedestrian, and bicycle facilities, and grade separation, transportation system management, transportation demand management, soundwall projects, intermodal facilities, safety, and providing funds to match federal funds.

*(Amended by Stats. 1998, Ch. 596, Sec. 5. Effective September 21, 1998.)*

**APPENDIX F – RESOLUTION TO ADOPT  
THE 2016 STIP FUND ESTIMATE**

**PASSED BY**

**CTC**

**AUG 27 2015**

**CALIFORNIA  
TRANSPORTATION COMMISSION**

**CALIFORNIA TRANSPORTATION COMMISSION**

**ADOPTION OF THE 2016 FUND ESTIMATE**

**RESOLUTION G-15-19**

- 1.1. WHEREAS, Sections 14524 and 14525 of the Government Code require the California Department of Transportation (Department) to present, and the California Transportation Commission (Commission) to adopt, a biennial fund estimate to include and estimate all state and federal funds reasonably expected to be available for the biennial State Transportation Improvement Program (STIP), including the amount that may be programmed in each county for regional improvement programs; and
- 1.2. WHEREAS, on January 22, 2015, the Department presented an overview of the fund estimate process and schedule; and
- 1.3. WHEREAS, on May 28, 2015, the Department presented, and the Commission approved the 2016 Fund Estimate assumptions; and
- 1.4. WHEREAS, on June 25, 2015, the Department presented to the Commission the Draft 2016 Fund Estimate; and
- 1.5. WHEREAS, on July 23, 2015, the Commission held a workshop on the Proposed 2016 Fund Estimate to consider public comment, and indicated that the adoption of the 2016 Fund Estimate would be scheduled for August 27, 2015; and
- 1.6. WHEREAS, on August 27, 2015, the Department will present to the Commission an updated, Proposed 2016 Fund Estimate; and
- 1.7. WHEREAS, the Proposed 2016 Fund Estimate identifies new program capacity of approximately \$223 million in new highway STIP capacity for the five-year period covering 2016-17 through 2020-21; and

- 1.8 WHEREAS, the Proposed 2016 Fund Estimate includes annual programming targets, adjusted for STIP amendments and allocations through June 2015.
- 2.1 NOW THEREFORE BE IT RESOLVED that the California Transportation Commission does hereby adopt the 2016 STIP Fund Estimate, as presented by the Department on August 27, 2015, with programming in the 2016 STIP to be based on the statutory funding identified; and
- 2.2 BE IT FURTHER RESOLVED that the Commission requests that the Department, in cooperation with Commission staff, distribute copies of the 2016 Fund Estimate to each regional agency and county transportation commission.

## Front and Back Cover

A first for California: the innovative Four Level Interchange in Downtown Los Angeles (1954)



## Mission

**Provide a safe, sustainable, integrated and efficient transportation system to enhance California's economy and livability**

## Vision

**A performance-driven, transparent and accountable organization that values its people, resources and partners, and meets new challenges through leadership, innovation and teamwork**

## Values

*Integrity • Commitment • Teamwork • Innovation*

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California State Transportation Agency  
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