



*Caltrans*

**CALIFORNIA DEPARTMENT OF  
TRANSPORTATION**

**QUARTERLY REPORT  
4TH QUARTER  
FY 2000/01**



**for the  
CALIFORNIA TRANSPORTATION COMMISSION**

**CTC QUARTERLY REPORT - Q4 FY 00/01**  
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# STIP, SHOPP PROGRAM AND ADDITIONAL DELIVERY

## CTC Quarterly Report - Q4 FY 00/01

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## DELIVERED (RTL/VOTE)	<u>Current Yr</u>	<u>Prior Yr</u>	% Actual	Annual Plan	Advanced*
	YTD Actual	YTD Actual			
STIP Program	26	14	98%	41	5
STIP Time Extensions	0	5	125%	4	
SHOPP Program	<u>153</u>	<u>31</u>	94%	<u>195</u>	<u>23</u>
Subtotal Program Delivery	179	50	95%	240	28

### ## ADDITIONAL DELIVERY

Toll + Seismic	9
Minor - Maintenance	334
Emergency	<u>44</u>

**## TOTAL DELIVERY** 616

(Dollars in Millions)

\$\$ DELIVERED (RTL/VOTE)	<u>Current Yr</u>	<u>Prior Yr</u>	% Actual	Annual Plan
	YTD Actual	YTD Actual		
STIP Program	\$ 224	\$ 89	106%	\$ 296
STIP Time Extensions	0	74	137%	54
SHOPP Program	<u>690</u>	<u>207</u>	108%	<u>833</u>
Subtotal Program Delivery	\$ 914	\$ 370	109%	\$ 1,183

### \$\$ ADDITIONAL DELIVERY

Toll + Seismic	\$ 808
Minor - Maintenance	186
Emergency	<u>27</u>

**\$\$ TOTAL DELIVERY** \$ 2,305

\$\$ DELIVERY BY FISCAL YEAR	<u>1998/99</u>	<u>1999/00</u>	<u>2000/01</u>
Total Program	\$2.14B	\$2.83B	\$2.3B

YTD is Voted or RTL accomplished

Annual Plan number includes projects with approved time extensions

\* Future year advanced projects not included in YTD Actual number

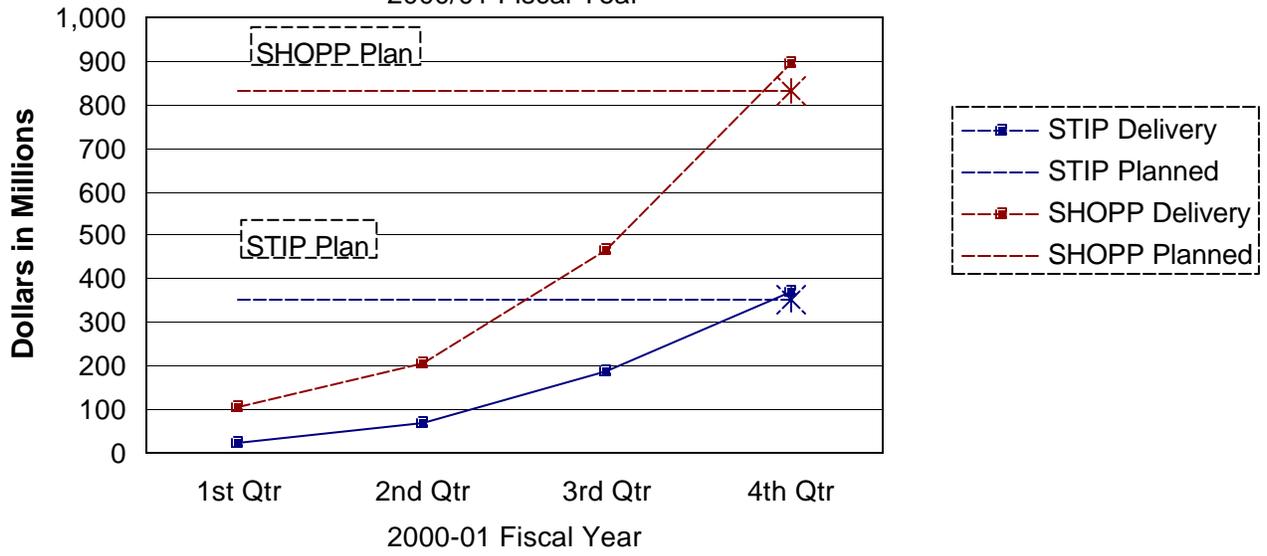
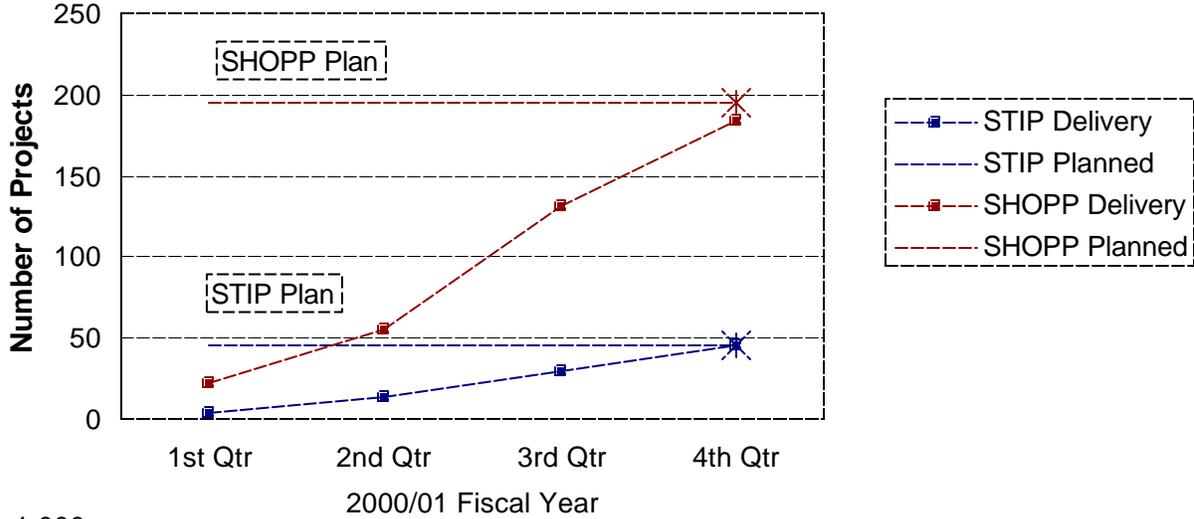
Current Yr = Originally programmed in Current Year

Prior Yr = Originally Programmed in Prior Year

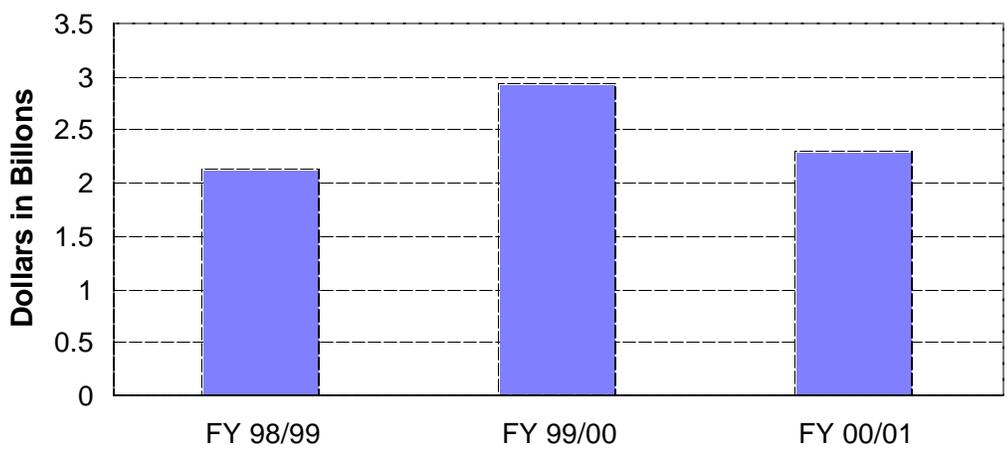


# STIP, SHOPP PROGRAM CTC Quarterly Report - Q4 FY 00/01

## Actual versus Planned Delivery



## Comparative Delivery by Fiscal Year





**RIGHT OF WAY**  
**CTC Quarterly Report - Q4 FY 00/01**

**SUMMARY OF FY 00/01 RIGHT OF WAY ALLOCATION**

**(Expenditures thru 4th Quarter)**

*(Dollars in Millions)*

	Total Fiscal Year Budgeted	Planned Thru 4th Qtr	Expended Thru 4th Qtr
Major Capital Projects Total	\$153	153	\$136
Fund Reservation			
Minor Project, etc.	5	5	6
Post-Certification	20	20	20
Hardships	7	7	2
Damage to property	10	10	4
<b>TOTALS</b>	<b>\$195</b>	<b>\$195</b>	<b>\$168</b>

**CAPITAL OUTLAY**

	<u>FYTD Planned</u>	<u>FYTD Actual</u>
Allocation	\$195	\$195
Expenditures to Date	\$195	168
Remaining Allocation	\$0	\$27
% Expenditures to Allocation	100.0%	86%

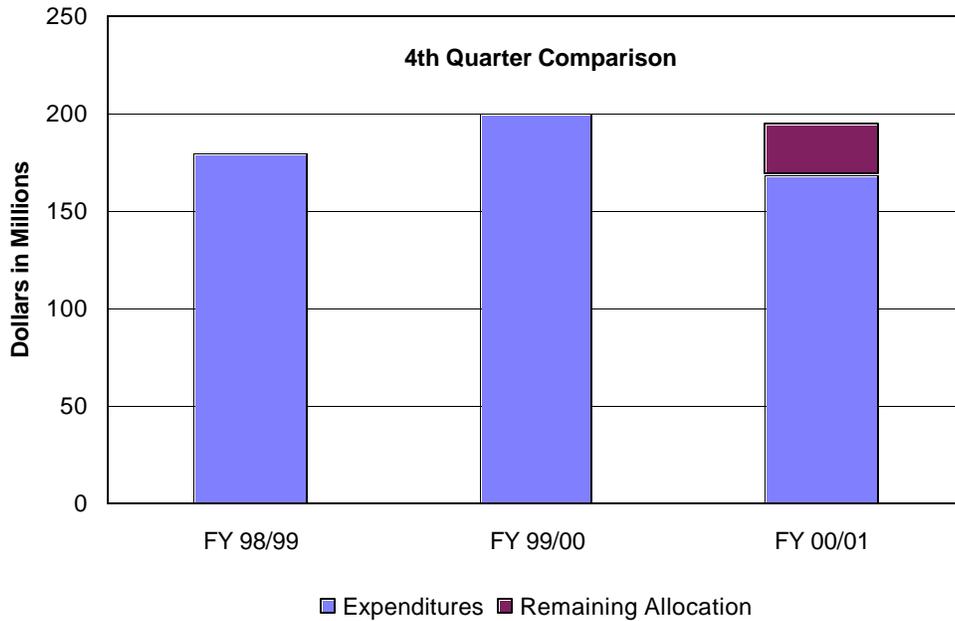
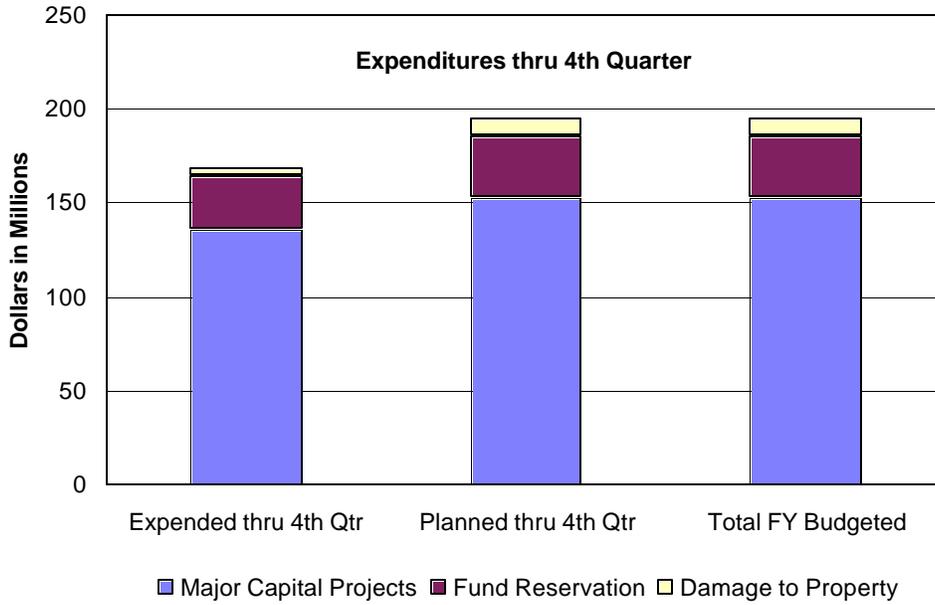
**4th QTR COMPARISON**

	<u>FY 98/99</u>	<u>FY 99/00</u>	<u>FY 00/01</u>
Allocation	\$180	\$200	\$195
Expenditures to Date	180	200	\$168
Remaining Allocation	\$0	\$0	\$27
% Expenditures to Allocation	100%	100.0%	86%



**RIGHT OF WAY  
CTC Quarterly Report - Q4 FY 00/01**

**Summary of Right of Way Allocations**





**SEISMIC SAFETY RETROFIT PROGRAM**  
**CTC Quarterly Report - Q4 FY 00/01**

**SEISMIC RETROFIT OF HIGHWAY BRIDGES**

<i>(Dollars in Millions)</i>	Contract <u>Awarded</u>	Retrofit <u>Completed</u>	Total		Total <u>Planned</u> **
			Capital <u>Planned</u>	Percent <u>Awarded</u> *	
<b>VALUE OF PROJECTS</b>					
Phase 2 Bridges	704	616	1,000	70%	1,350

<b>NUMBER OF BRIDGES</b>	Contract <u>Awarded</u>	Retrofit <u>Completed</u>	Total	
			Planned	Percent <u>Completed</u>
Phase 2 Bridges	1138*	1,133	1,155	98.1%

**SEISMIC RETROFIT OF TOLL FACILITIES**

<b>Toll Bridge Facility</b>	Number of <u>Projects</u>	Current <u>Status</u>	Begin Construction <u>Planned</u>	Current	Retrofit Complete <u>Planned</u>	Current	Total Cost <i>(In Millions)</i>
<b>SF-Oakland Bay (SFOBB) :</b>							
-- New East Bay Spans**** WB Roadway EB Roadway	4	Design	Wnt-01	Fall-01	Wnt-04	see below Fall-05**** Spr-07****	\$2,602
-- West Bay Spans, Appr. & Yerba Buena Island	8	UC/Design	Spr-94	Spr-94	Fall-03	Sum-08	704
	TBD = To be determined				<b>Subtotal SFOBB</b>		<b>\$3,306</b>
Benicia-Martinez	2	UC	Spr-97	Spr-98	Sum-99	Wnt-02	\$190
San Mateo-Hayward***	3	Complete	Spr-97	Sum-97	Fall-99	Spr 00	190
Richmond-San Rafael	1	UC	Fall-97	Fall-00	Fall-00	Spr-05	665
Carquinez (Eastbound)	1	UC	Sum-97	Spr-98	Wnt-99	Fall-01	125
Vincent Thomas	1	Complete	Spr-97	Spr-97	Wnt-99	Spr 00	62
San Diego-Coronado	4	UC	Sum-97	Fall-97	Fall-99	Wn-02	105
	UC = Under construction				<b>Subtotal Non-SFOBB</b>		<b>\$1,337</b>
	<b>Total Cost Estimate</b>						<b>\$4,643</b>

\* Measure of retrofit contracts, excluding mitigation contracts

\*\* Includes support cost

\*\*\* Data does not include landscape mitigation contract.

\*\*\*\* East span roadway - dates open to traffic.

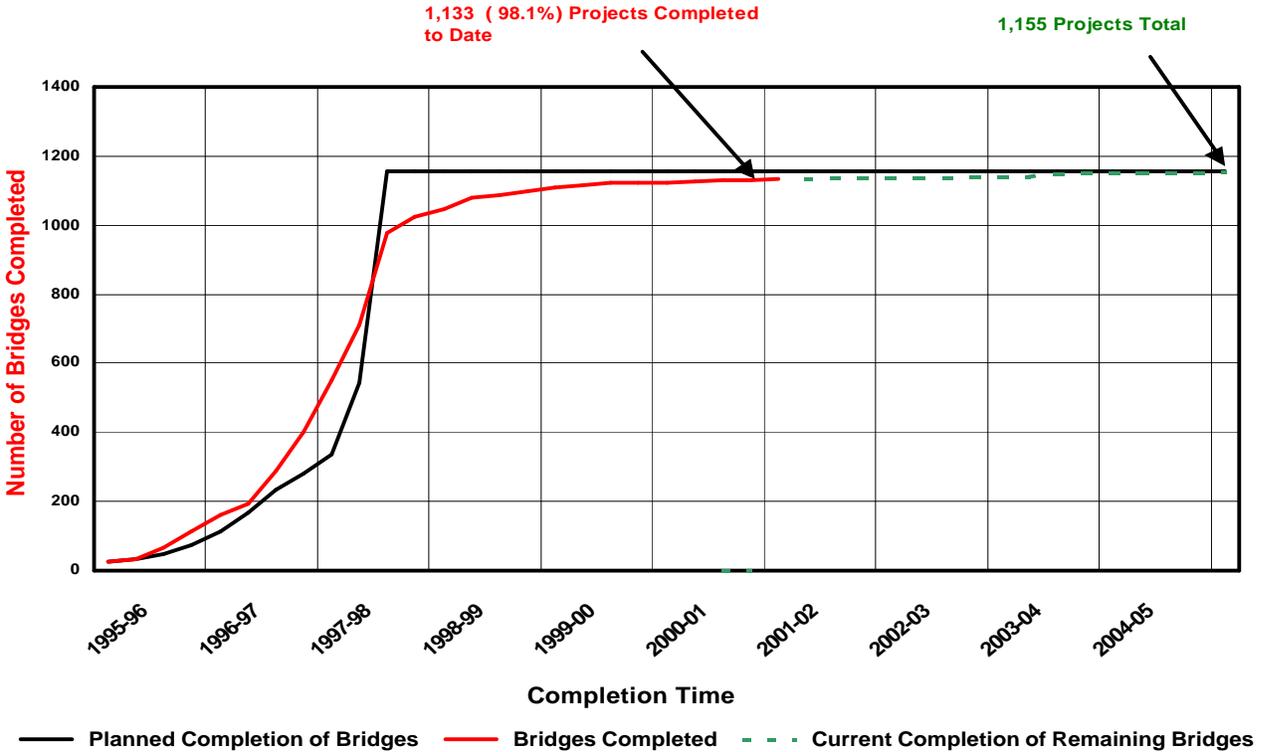
**NOTES:**

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



# SEISMIC SAFETY RETROFIT PROGRAM CTC Quarterly Report - Q4 FY 00/01

## PHASE 2 SEISMIC RETROFIT SUMMARY



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

For the toll bridge program, there are twelve retrofit and one mitigation contract on non-SFOBB toll bridges. Of the twelve retrofit contracts, eight are completed, and four are under construction.

The SFOBB consists of the West and East spans. The SFOBB West span currently has a total of eight contracts. Four contracts are completed, three are under construction, and one in design.

The SFOBB East span received a "Record of Decision" on July 11, 2001 approving the environmental document for replacing the East span. The East span has three major construction contracts. Of the three contracts, one was advertised on July 16, 2001 and the others are in design.



**AB1740 RETROFIT SOUNDWALL PROGRAM**  
**CTC Quarterly Report - Q4 FY 00/01**

**RETROFIT SOUNDWALL PROGRAM SUMMARY**

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

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

**00/01 FY RETROFIT SOUNDWALL MILESTONES COMPLETED**

<u>Milestones Completed</u>	<u>Year to Date</u>		<u>%</u>	<u>Annual</u>	<u>Advanced</u>
	<u>Actual</u>	<u>Planned</u>			
Environmental (PAED)	25	27	93%	27	7
Right of Way Certification	3	3	100%	3	7
Ready to List (RTL)	2	2	100%	2	8
<u>Construction Completion (CCA)</u>	<u>0</u>	<u>0</u>	na	<u>0</u>	<u>0</u>
<b>Soundwall Milestones</b>	30	32	94%	32	22

To date, a total of twelve locations ( 19%) have been delivered. A total of \$35 million in funds ( 16%) have been allocated. Two locations have been completed.

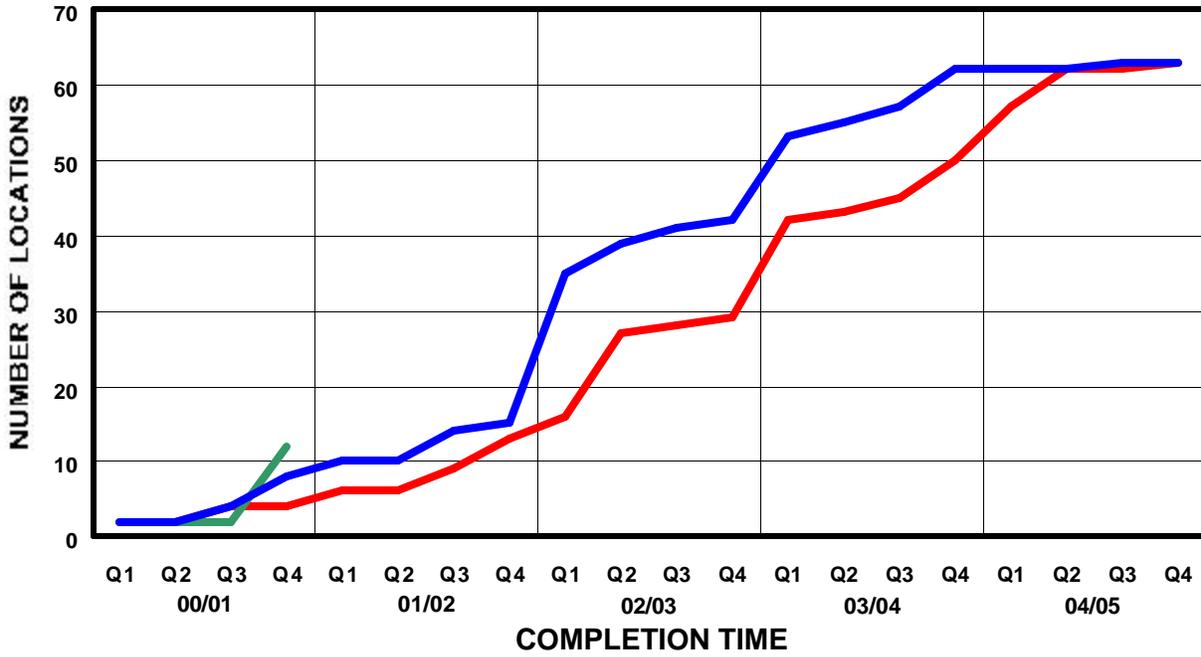
In the 4th quarter, 10 locations were delivered. 7 in D-7, and 1 each in D's 4, 10 and 12.

It is anticipated that another 25 locations will be delivered in the 01/02 fiscal year.

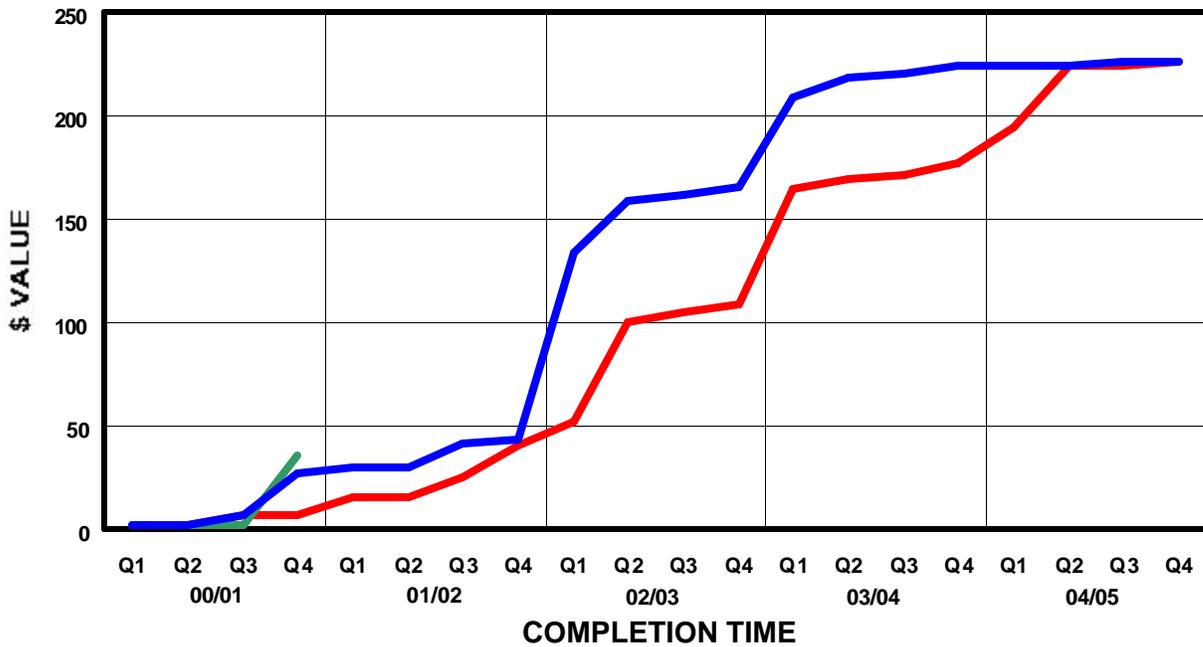


# RETROFIT SOUNDWALL DELIVERY

## CTC Quarterly Report – Q4 FY 00/01



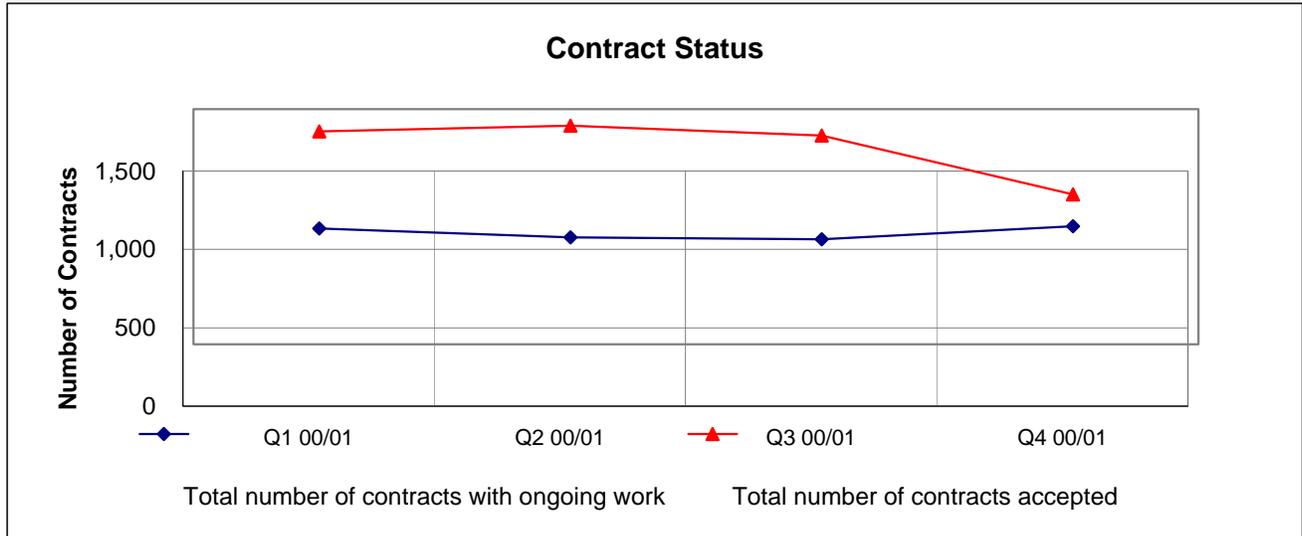
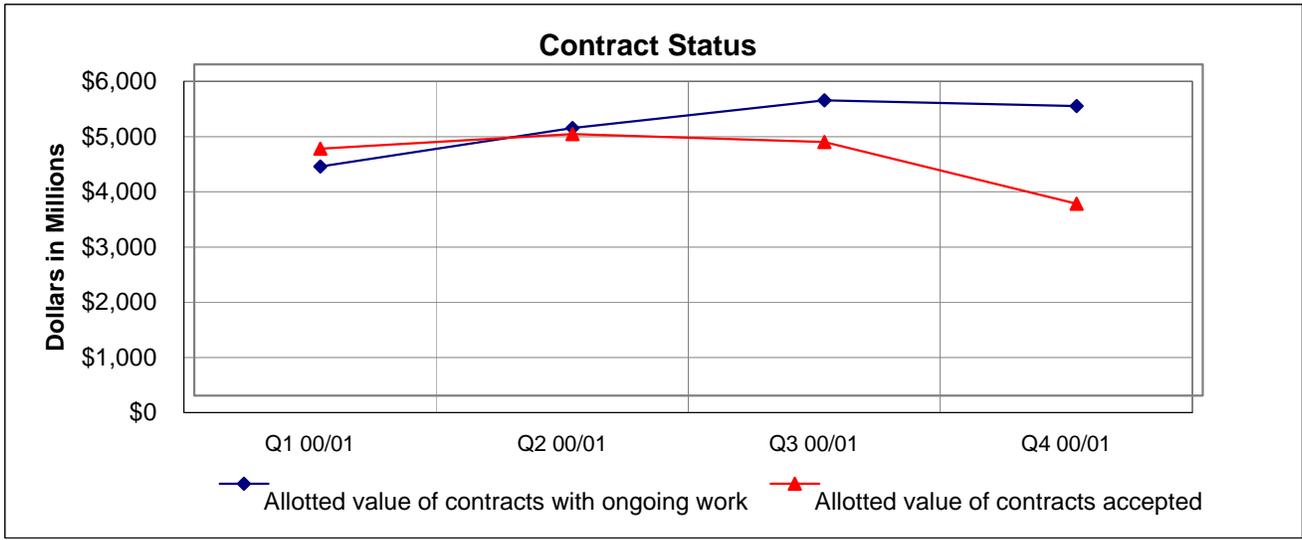
— Planned Baseline Delivery     
 — Actually Delivered     
 — Planned Accelerated Delivery



— Planned Baseline Delivery     
 — Actually Delivered     
 — Planned Accelerated Delivery



Division of Construction  
**CONTRACT ADMINISTRATION**  
CTC Quarterly Report - Q4 FY 00/01





## CAPITAL SUPPORT

### CTC Quarterly Report - Q4 FY 00/01

(Dollars in Thousands)

	Year To Date			Annual
	<u>Actual**</u>	<u>Plan</u>	<u>Earned</u>	<u>Plan</u>
<b><u>STIP Support Expenditures*</u></b>				
Environmental	\$ 65,946	\$ 52,604	\$ 50,960	\$ 52,604
Design	76,054	137,191	83,395	137,191
Right of Way	22,746	35,711	12,867	35,711
Construction	<u>76,178</u>	<u>69,642</u>	<u>58,346</u>	<u>69,642</u>
<b>STIP Support Expenditures</b>	<b>\$ 240,924</b>	<b>\$ 295,148</b>	<b>\$ 205,568</b>	<b>\$ 295,148</b>

(Dollars in Thousands)

	Year To Date			Annual
	<u>Actual**</u>	<u>Plan</u>	<u>Earned</u>	<u>Plan</u>
<b><u>SHOPP Support Expenditures*</u></b>				
Environmental	\$ 23,513	\$ 20,171	\$ 21,009	\$ 20,171
Design	107,797	160,553	130,927	160,553
Right of Way	8,185	14,981	12,861	14,981
Construction	<u>118,739</u>	<u>143,998</u>	<u>116,063</u>	<u>143,998</u>
<b>SHOPP Support Expenditures</b>	<b>\$ 258,234</b>	<b>\$ 339,703</b>	<b>\$ 280,860</b>	<b>\$ 339,703</b>

(Dollars in Thousands)

	Year To Date			Annual
	<u>Actual**</u>	<u>Plan</u>	<u>Earned</u>	<u>Plan</u>
<b><u>Combined STIP/SHOPP Support*</u></b>				
Environmental	\$ 89,459	\$ 72,775	\$ 71,969	\$ 72,775
Design	183,851	297,744	214,322	297,744
Right of Way	30,931	50,692	25,728	50,692
Construction	<u>194,917</u>	<u>213,640</u>	<u>174,409</u>	<u>213,640</u>
<b>Combined STIP/SHOPP Support</b>	<b>\$ 499,158</b>	<b>\$ 634,851</b>	<b>\$ 486,428</b>	<b>\$ 634,851</b>

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

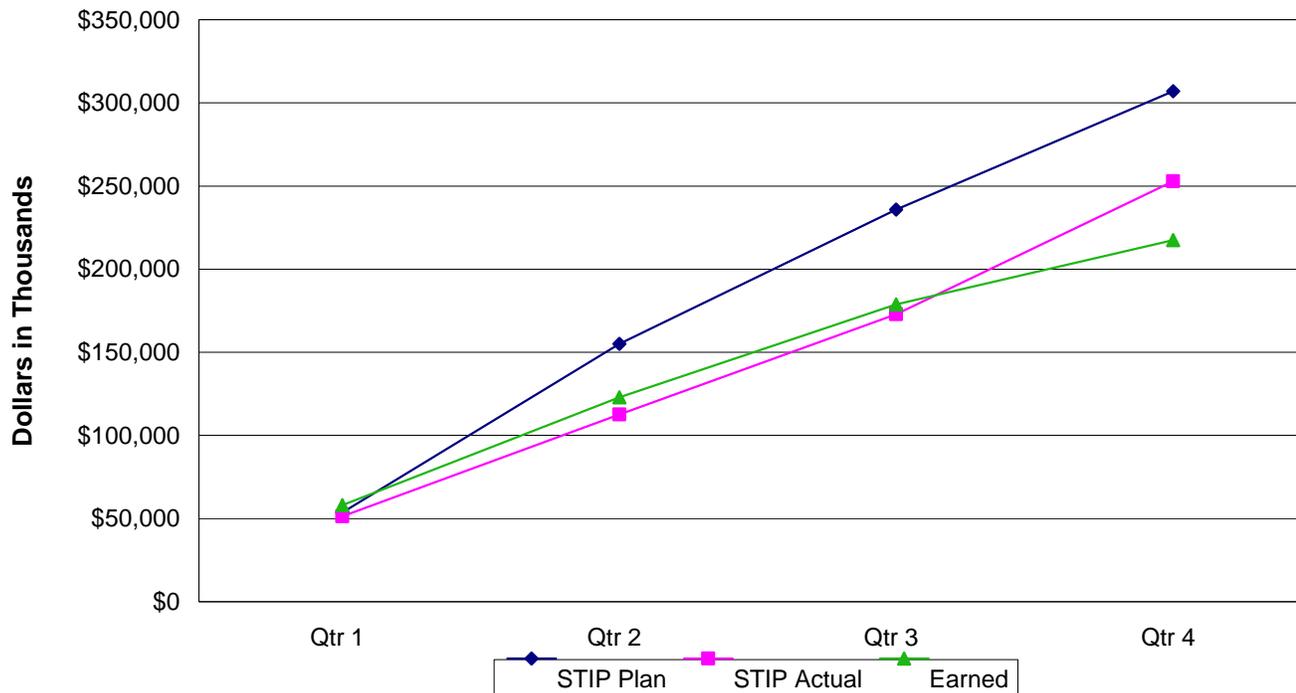
\*\* Lag between planned and actual expenditures due, in part, to staffing up issues and ramping up of contracting out. Additionally, planned number includes contracting out PYEs.



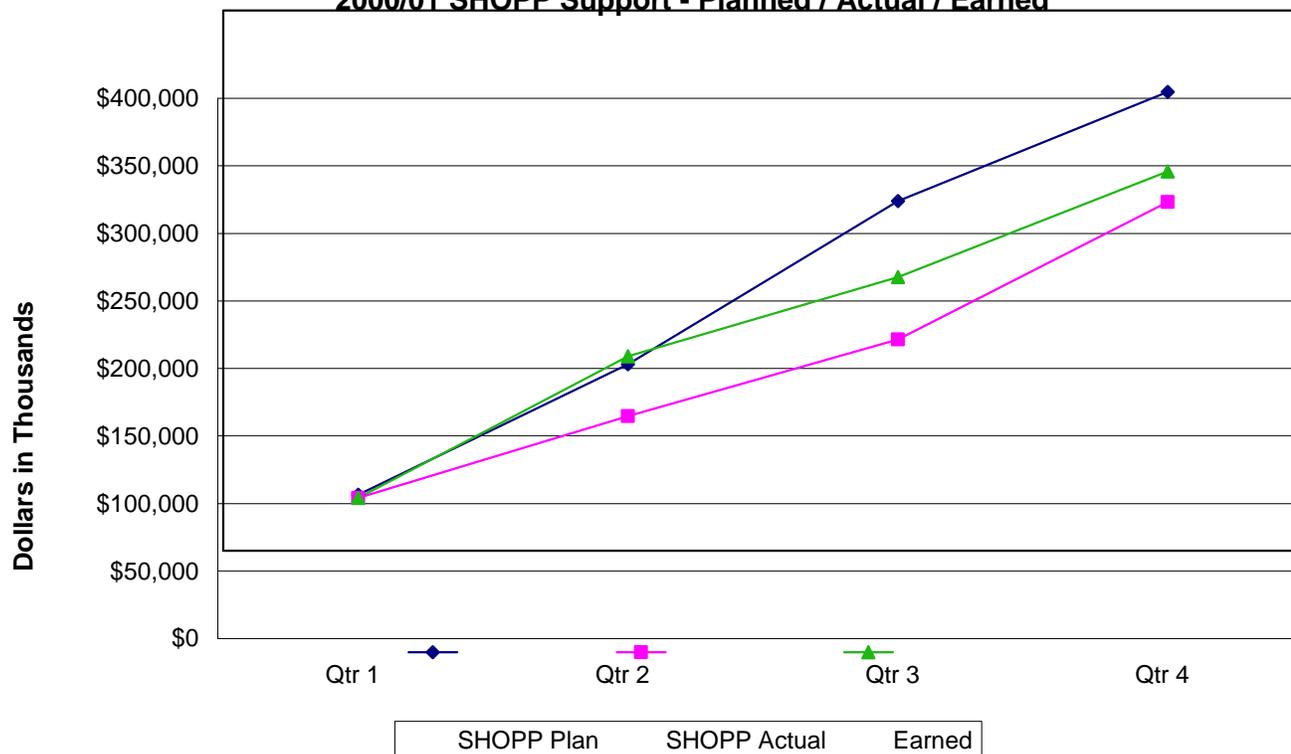
# CAPITAL SUPPORT

## CTC Quarterly Report - Q4 FY 00/01

### 2000/01 STIP Support - Planned / Actual / Earned



### 2000/01 SHOPP Support - Planned / Actual / Earned





**CAPITAL SUPPORT**  
**CTC Quarterly Report - Q4 FY 00/01**

	Year To Date		Advanced	Annual
	<u>Actual</u>	<u>Plan</u>	<u>Deliveries</u>	<u>Plan</u>
<b><u>## STIP Milestones Achieved</u></b>				
Environmental Document	54	89	5	89
Ready to List (RTL)**	45	47	5	47
RW Certification	36	51	9	51
Construction Contract Acceptance	<u>21</u>	<u>28</u>	<u>5</u>	<u>28</u>
<b>STIP Milestones Achieved</b>	156	215	24	215

	Year To Date		Advanced	Annual
	<u>Actual</u>	<u>Plan</u>	<u>Deliveries</u>	<u>Plan</u>
<b><u>## SHOPP Milestones Achieved</u></b>				
Environmental Document	101	150	12	150
Ready to List (RTL)**	117	135	13	135
RW Certification	110	128	8	128
Construction Contract Acceptance	<u>146</u>	<u>187</u>	<u>18</u>	<u>187</u>
<b>SHOPP Milestones Achieved</b>	474	600	51	600

	Year To Date		Advanced	Annual
	<u>Actual</u>	<u>Plan</u>	<u>Deliveries</u>	<u>Plan</u>
<b><u>## Combined Milestones Achieved</u></b>				
Environmental Document	155	239	17	239
Ready to List (RTL)**	162	182	18	182
RW Certification	146	179	17	179
Construction Contract Acceptance	<u>167</u>	<u>215</u>	<u>23</u>	<u>215</u>
<b>Combined Milestones Achieved</b>	630	815	75	815

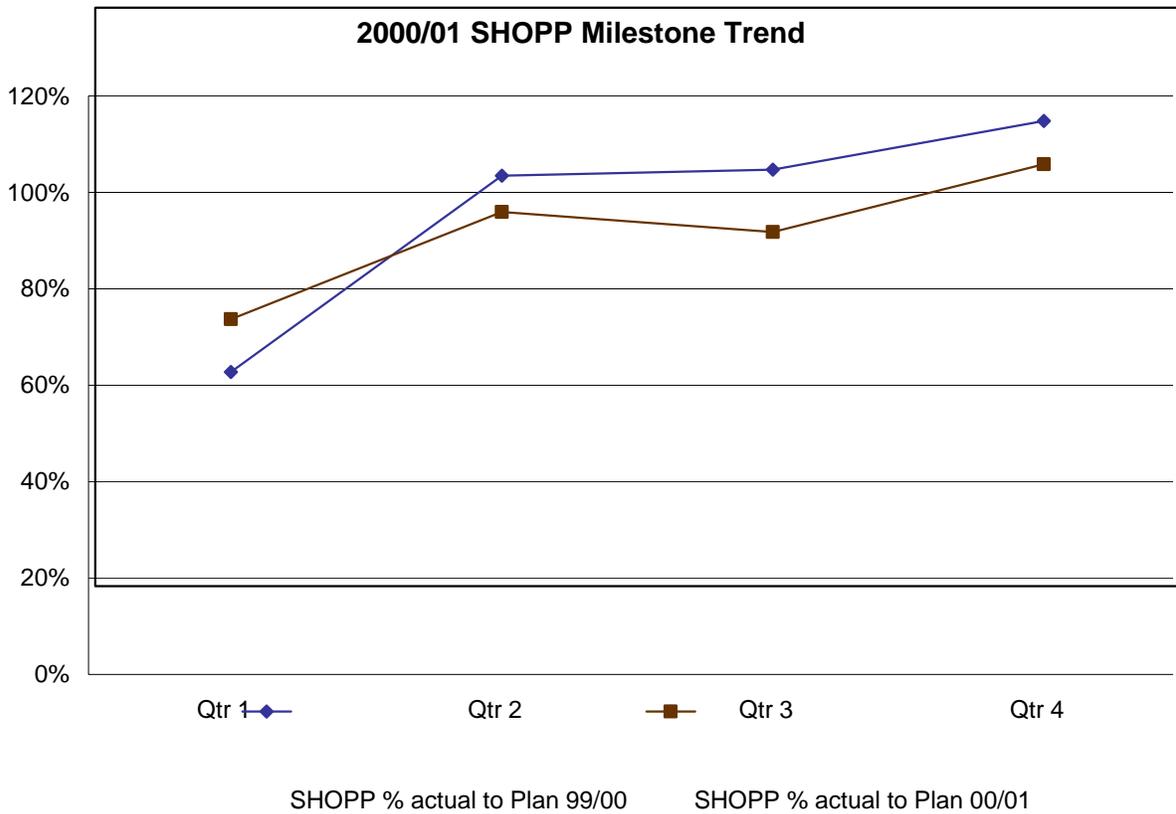
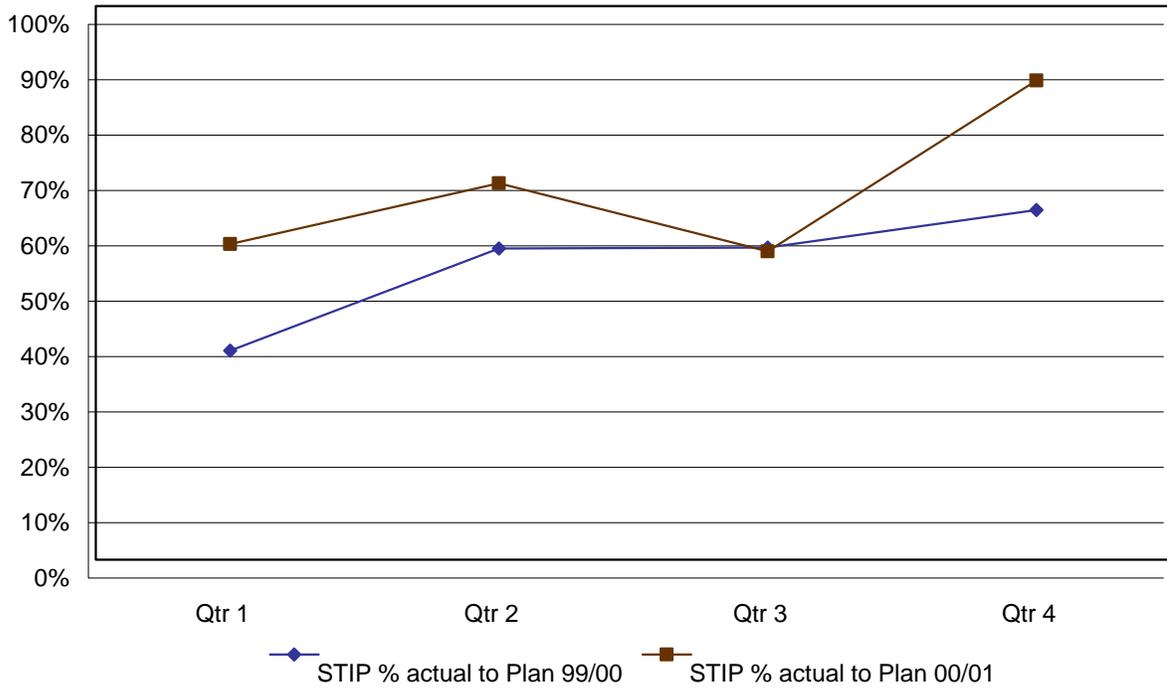
\*\* This number represents the capital improvement projects that Caltrans is developing to deliver the programmed commitments.



# CAPITAL SUPPORT

## CTC Quarterly Report - Q4 FY 00/01

### 2000/01 STIP Milestone Trend





## INTERCITY RAIL

### CTC Quarterly Report - Q4 FY 00/01

RIDERSHIP	Actual	Average Daily	Plan Projection	Percent Difference
<b>July 2000 thru June 2001</b>				
CAPITOL	1,030,837	2,824	800,050	29%
PACIFIC SURFLINER (all service)	1,661,704	4,553	1,751,612	-5%
SAN JOAQUIN	710,833	1,947	717,236	-1%
<b>00/01 Totals</b>	<b>3,403,374</b>	<b>9,324</b>		
<b>July 1999 thru June 2000</b>				
CAPITOL	684,334	1,875		
PACIFIC SURFLINER (all service)	1,567,318	4,294		
SAN JOAQUIN	671,295	1,839		
<b>99/00 Totals</b>	<b>2,922,947</b>	<b>8,008</b>		

FINANCIAL PERFORMANCE (Dollars in Thousands)	Actual Results			Business Plan Projection		
	Revenues	Expenses	Farebox Ratio **	Revenues	Percent Difference	Farebox Ratio
<b>July 2000 thru May 2001</b>						
CAPITOL	\$ 10,159	\$ 25,016	41%	\$ 8,963	13%	34%
PACIFIC SURFLINER (all service)	27,401	51,929	53%	25,521	7%	45%
SAN JOAQUIN	17,902	39,824	45%	17,404	3%	42%
<b>00/01 Totals</b>	<b>\$ 55,462</b>	<b>\$ 116,769</b>	<b>47%</b>			
<b>July 1999 thru May 2000</b>						
CAPITOL	\$ 7,703	\$ 23,135	33%			
PACIFIC SURFLINER (all service)	24,380	51,356	47%			
SAN JOAQUIN	16,273	38,285	43%			
<b>99/00 Totals</b>	<b>\$ 48,356</b>	<b>\$ 112,776</b>	<b>43%</b>			

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

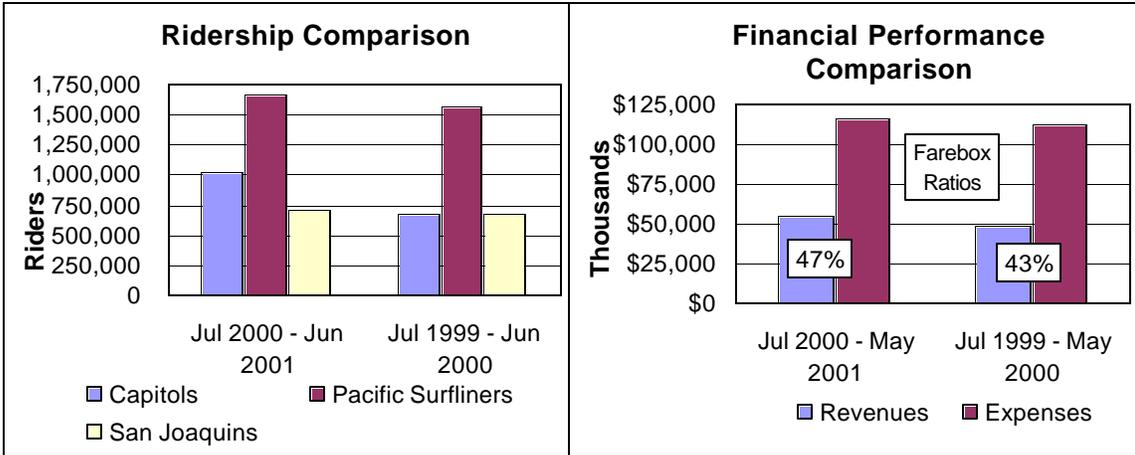
\*\* Total Farebox (revenue/expense) Ratio is the average for all three corridors

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



# INTERCITY RAIL

## CTC Quarterly Report - Q4 FY 00/01

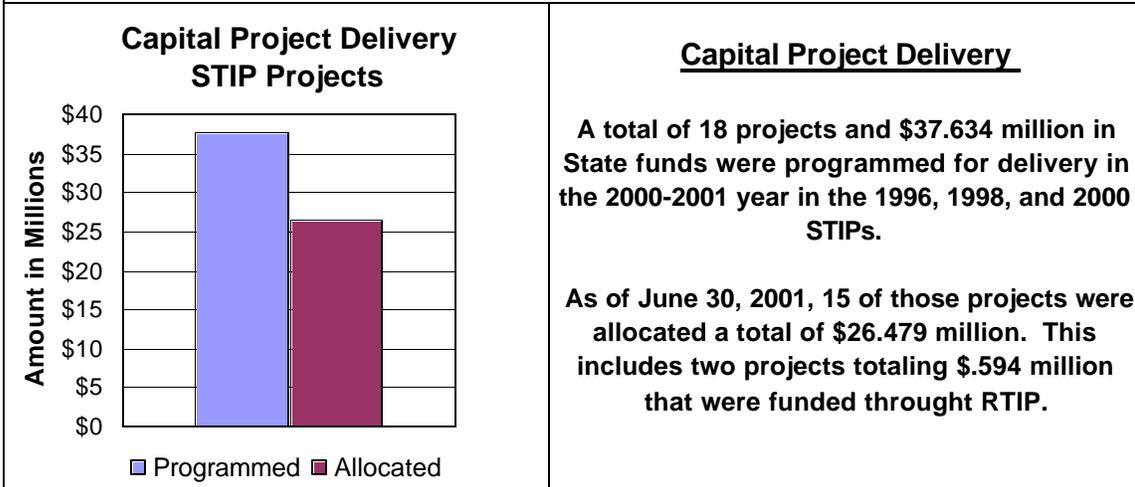


### Ridership and Financial Performance

**Capitol Corridor** - May 2001, with ridership of 96,961 passengers, set a new single-month high for the third consecutive month. Overall, fourth quarter ridership was up 31.3% over the previous year. Total ridership for FY 2000/01 exceeded one million for the first time, with an increase of 50.6% over FY 1999/2000. This exceeded the business plan projection for the year by 29%. Through May 2001, fiscal year revenues and expenses were up 31.9% and 8.1% respectively, resulting in a farebox ratio of 40.6%, up from 33.3% the year before.

**Pacific Surfliner Route** - Total ridership for FY 2000/01 increased 6.0% over the prior year, but it fell short of the plan projection by 5%. Fiscal year revenues through May were up 12.4%, while expenses only increased 1.1%. The resulting FY to-date farebox ratio of 52.8% is a substantial improvement over the 47.5% ratio during the same period last year.

**San Joaquin Route** - After a long period of stagnation, San Joaquin ridership finally began showing significant gains in December 2000. From December through June ridership increased by 9.6%, and total ridership for FY 2000/01 increased 5.9% over the prior year, coming within one percent of the plan projection. Fiscal year revenues through May 2001 were up 10.0%, while expenses were up only 4.0%, resulting in a farebox ratio increase to 45.0% from 42.5% the previous year.





## **BUDGETS PROGRAM**

### **CTC Quarterly Report - Q4 FY 00/01**

### **Appropriation vs. Program/Allocation**

#### **Objective:**

- To evaluate the effectiveness in allocating available funding. To measure and compare the actual allocations to the planned program and to available funding.

#### **Measure:**

- The appropriation level is consistent with the enacted 2000/2001 Budget. Allocations represent CTC votes, emergency project funding (G-11), and project allocations processed under the Department's delegated authority.

#### **Result:**

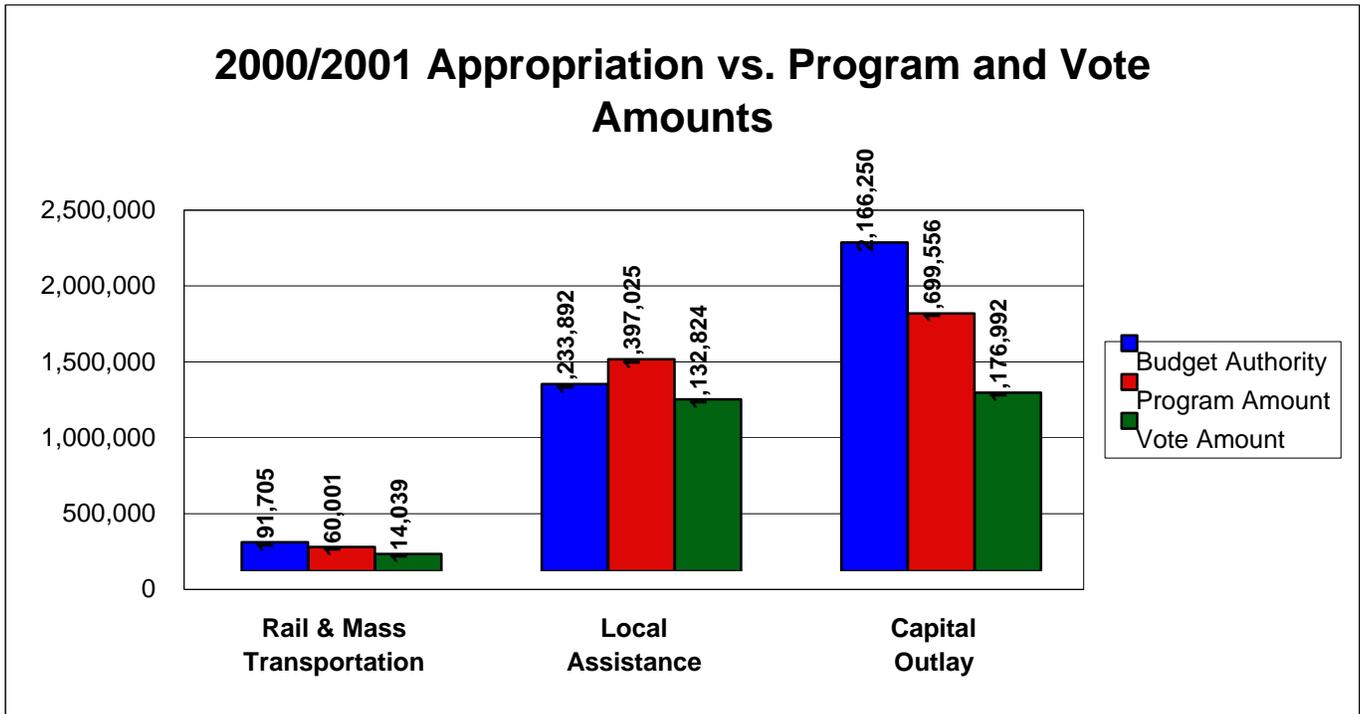
- The 2000/01 program level was delivered within the existing budget authority.

#### **Background:**

- Due to the timing of the Governor's Budget, appropriation levels are built nine months prior to the enactment of the budget. Therefore, discrepancies between the appropriation and program levels may exist.
- The charts for Capital Outlay and Local Assistance reflect highway transportation projects only.
- Rail and Mass Transportation includes Local Mass Transit and Intercity Rail Capital Projects.
- The Local Assistance allocation includes \$952 million for non-STIP projects.
- For Capital Outlay, \$195 million of Right-of-Way is included in the budgeted, programmed, and voted totals.



**BUDGETS PROGRAM**  
**CTC Quarterly Report - Q4 FY 00/01**



**Analysis:**

- CTC Resolution FM-01-01, approved at the July 2001 meeting, moved \$35 million in state funds from Local Assistance to Mass Transportation. CTC Resolution FM-01-02 moved \$17 million in federal funds from Mass Transportation to Local Assistance.
- For the Rail Program, the allocation amount was increased during the May CTC vote by \$38 million because of the Santa Barbara/Cupertino Siding, the San Luis Obispo Centralized Traffic Control, and the San Jose/Oakland Improvement Projects.
- During the fourth quarter, there were only minimal changes to the voted and programmed amounts for current year because Local Assistance projects were allocated from prior year funding. Prior year funding is being used to better align the Program with the current year's Local Assistance budget. Prior year allocations total \$230 million.
- The Capital Outlay vote amount is \$523 million less than the programmed amount for the year. SHOPP Amendment 00H-109 dated June 29, 2001 removed approximately \$ 250 million state and federal programmed projects from FY 2001/02 to future FYs.