CALIFORNIA DEPARTMENT OF TRANSPORTATION

Fourth Quarter
Fiscal Year 2015-16
Project Delivery Report

Quarterly Report to the California Transportation Commission

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Executive Summary

Purpose of Report

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

Performance Measures

Our Commitment to Delivery

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

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

Measures – 4th Quarter Fiscal Year 2015-16

Measure	Year-To-Date thru 4th Quarter			Annual Commitment		Goal	Status
	Completed	Plan	Percent	Plan	Percent	Percent	
Project Approval, Environmental Documents							
Draft Environmental Documents Completed	62	82	76	82	76	80	☒
Projects Approved	223	263	85	263	85	90	☒
Right of Way: Projects Certified							
Projects Certified	251	260	97	260	97	100	☒
Allocation Funds Committed (millions)	$144	NA	NA	$144	100	100	✓
Delivery: Projects Designed and Ready for Construction							
Projects Designed and Ready for Construction	239	244	98	244	98	100	☒
Capital Value Ready for Allocation (millions)	$1,721	$2,052	84	$2,052	84	100	☒
Construction: Projects Constructed							
Contracts Accepted	183	209	88	209	88	95	☒

Measure	Year-To-Date thru 4th Quarter			Annual Commitment		Goal	Status
	Completed	Plan	Percent	Plan	Percent	Percent	
Closeout Costs							
State Transportation Improvement Program Costs (millions)	$1,851	$1,918	96	NA	NA	< 100	✓
State Highway Operation and Protection Program Costs (millions)	$1,436	$1,615	89	NA	NA	< 100	✓
Legend							
✓ Caltrans met the delivery goal.							
☒ Caltrans did not meet the delivery goal.							

Goals

In FY 2015-16, Caltrans met the goal for three of the nine project delivery performance measures. As shown in the table below, this follows the same trend over the last five years; Caltrans consistently meets the goal for three to four performance measures every year. The five-year trend also highlights where Caltrans has performed well but, for various reasons, has not met the performance goal. It should be noted that the goals are aggressive, but we also need to balance this with taking intelligent and agreed upon risk to drive faster and more efficient project delivery.

Five-Year Trend Analysis for Performance Measures						
Measure	11-12	12-13	13-14	14-15	15-16	Goal
Project Approval, Environmental Documents						
Draft Environmental Documents Completed	70%	74%	79%	**80%**	76%	80%
Projects Approved	**93%**	87%	88%	87%	85%	90%
Right of Way: Projects Certified						
Projects Certified	98%	94%	96%	97%	97%	100%
Allocation Funds Committed	**100%**	**100%**	**100%**	**100%**	**100%**	100%
Delivery: Projects Designed and Ready for Construction						
Projects Designed and Ready for Construction	99%	98%	98%	98%	98%	100%
Capital Value Ready for Allocation	95%	99%	84%	94%	84%	100%
Construction: Projects Constructed						
Contracts Accepted	89%	83%	**95%**	89%	88%	95%
Closeout Costs						
State Transportation Improvement Program Costs	**96%**	**94%**	**91%**	**94%**	**96%**	< 100%
State Highway Operation and Protection Program Costs	**75%**	**74%**	**80%**	**91%**	**89%**	< 100 %
Goals Achieved per Fiscal Year	**4**	**3**	**4**	**4**	**3**	

Project Watch List

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

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

Budget Risks (Supplemental Funds)

In managing construction capital budgets, Caltrans balances risk in project budgeting with the need to ensure that an appropriate mix of projects are brought forward in sufficient quantities to use our annual federal obligation authority. Complete and reasonable estimates are necessary to avoid undesired consequences, including loss of federal or local funds. Before presenting budget change requests to the Commission, Caltrans robustly examines each request to validate costs and evaluate options. In fiscal year 2015-16, 99 percent of construction projects were completed within the Commission's capital allocation and Caltrans' delegated funding authority.

As of July 1, 2016, Caltrans had 817 projects valued at $8.8 billion under construction. We have identified risks below on 20, or 2.4 percent of the projects in construction. The categorized risks and potential for supplemental funds requests by projects in construction is as follows:

Status	Projects	Construction Capital	Construction Support	Risk	Approved Budget	Notes
Construction Projects Completed or Nearly Complete	4	4		$15-18 million	Construction Capital $ 145 million	If supplemental funds are needed, this will occur in the next 6 months.
			1	$37-42 million	Construction Support $ 125 million	If supplemental funds are needed, this will occur in 6 months to 2 years (or more).
Construction Projects in Progress	16		7			
		12		$100-110 million	Construction Capital $ 762 million	If supplemental funds are needed, this will occur in 6 months to 2 years (or more).
TOTALS	20	16	8			

Note: Projects shown as dropped are excluded from project counts

Last Updated: 10/04/16

Risks of needing supplemental funds are categorized as:

VH Very High | H High | M Moderate | L Low

Category trends are defined as:

↑ Higher, ═ Same, or ↓ Lower than last report
A Project added
D Project to be dropped

Notes: ★ STIP - State Transportation Improvement Program, SHOPP - State Highway Operation and Protection Program, CMAQ - Congestion Management and Air Quality Program, Bond - Proposition 1B
◊ Costs are in millions. Capital budgets include right of way and construction. Support budgets include preliminary engineering support and construction support.

Construction Projects Completed or Nearly Complete

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk	Component
Sol	80	Relocate Cordelia Truck Scales	Bond, SHOPP	$49.2	$9.7	H ═	Construction Capital
Supplemental funds may be needed to settle a remaining claim which is in arbitration.							
Son	101	MSN Contract B2	Bond, STIP, Local, SLPP	$100.1	$17.7	H A	Construction Capital
Supplemental funds are needed to settle claims and close-out contract.							
Ora	74	SR-74/I-5 Interchange	Bond, STIP, Local	$59.0	$20.6	M A	Construction Capital
						M A	Construction Support
Additional funds may be needed to address claims that were recently submitted and to close-out construction contract. Caltrans is evaluating merits for claims. All roadwork has been completed and project is in plant establishment period.							
SBd	62	Colorado Bridge Replacement	SHOPP	$29.9	$10.5	L ↓	Construction Capital
~~*Additional funds may be needed to close-out construction contract. Currently, project has a forecasted positive balance. Caltrans is evaluating claims and is negotiating with contractor to minimize potential supplemental amount. All roadwork has been completed and project is in plant establishment period. Project should be accepted after final ADA certification is approved.*~~ *Project completed construction in June 2016 with sufficient funds. Project Final Estimate (PFE) was sent to contractor and we are awaiting response if he intends to file a claim (we are in 30 day waiting period).*							
SM	1	Devil's Slide Environmental Commitments	STIP, SHOPP	$5.9	$5.0	D	Construction Capital
~~*Additional funds are needed to resolve environmental requirements. There is an environmental obligation for mitigation requirements. The project will be delayed one year due to lack of available federal, SHOPP, and STIP funds in fiscal year 2015-2016. The District has proposed to fund the environmental requirements from the SHOPP.*~~ *Supplemental funds were approved at the August CTC Meeting.*							
SJ	99	Manteca Widening Phase 1	Bond, STIP	$31.6	$5.0	D	Construction Support
~~*Additional funds are needed for construction support over-expenditures. The construction support over-expenditure was a consequence of higher than anticipated amount of consultant work for construction materials testing and inspection work. The current plan is to use savings from Construction Capital for Construction Support over-expenditures.*~~ *An allocation amendment for SR99 bond projects was approved at the June CTC Meeting.*							
Mer	99	Plainsburg Road Freeway	Bond, STIP	$53.1	$8.3	D	Construction Support
~~*Additional funds of are needed for construction support over-expenditures and to provide enough funding to close out the project. The proposed plan is to request an amendment to transfer savings from Construction Capital to Construction Support. Additional support funds were required to process over 50 Contract Change Orders. It is anticipated that the savings from Construction Capital will be adequate to complete final project closeout, including right of way monumentation and claims work.*~~ *An allocation amendment for SR99 bond projects was approved at the June CTC Meeting.*							

Construction Projects In Progress

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk	Component
Sac	80	Sac I-80 Across The Top	STIP, SHOPP, Bond	$105.8	$27.2	VH ═	Construction Capital
						H ═	Construction Support
Potential for additional funds rising from need to replace cracked pavement in newly constructed lanes. Issues claimed include mix design changes, cost escalation, time related overhead, interest, material and labor costs. Caltrans is evaluating claims and is negotiating with contractor to minimize potential supplemental amount. Potential for additional support funds due to delays in completing construction. Caltrans is closely monitoring and managing remaining budget.							

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

Additional funds for construction capital were approved in Dec. 2014, based on a 50 percent confidence level of risks. Significant risks remain to complete the construction project. A Risk Management Plan has been implemented. The Project Delivery Team continues to monitor all identified risks and update the risk management plan on a regular basis to complete the project within the funds approved. Risks are being mitigated by accelerating work at the Southern interchange and floodway viaduct, and by redesigning the Northern interchange to avoid impacts to wetlands and to avoid the potential of a one year delay. The project is 93% complete. Contractor will complete work by October 28th. A ribbon cutting ceremony scheduled for November 3rd. Construction support (grandfathered STIP-IIP funding) expenditures significantly exceed the programmed budget. The construction support budget was not supplemented when construction capital was in 2014, and the programmed support component pre-dates SB45 STIP changes.

LA	710	Long-life pavement	SHOPP	$119.3	$31.2	VH H	= Construction Capital = Construction Support

Potential need for additional funds to settle outstanding claims. Working to identify potential conflicts in upcoming stages and phases of the work. There is also a need for additional support to complete the construction of the project.

LA	18	Replace Bridge Deck	SHOPP	$2.7	$1.0	VH	= Construction Capital

~~Additional funding needed for changes to bridge deck, contractor claims, delays and increases to traffic control. A supplemental funds request for has been prepared for the March meeting. Additional funds may also be needed in the future to reimburse the County of San Bernardino for repairing damage to their roads caused by a traffic detour during construction. Additional funds will be requested at the March meeting.~~ A supplemental funds request was approved at the March CTC meeting. Additional funding that was needed for changes to bridge deck, contractor claims, delays and increases to traffic control have already been requested and approved at the March meeting. Additional supplemental funds may also be needed in the future to reimburse the County of San Bernardino for repairing damage to their roads caused by a traffic detour during construction.

SM	101	Broadway Interchange	STIP/Local Funds	$51.2	$8.0	H	= Construction Support

Supplemental funds request may be needed due to knocked-down PG&E tower and entire highway closure which caused unanticipated (additional) support cost expenditures.

Ala	80	SFOBB Maintenance Warehouse	SHOPP	$16.5	$6.5	H A	Construction Capital

Project is delayed due to protracted State Fire Marshall approval. Target completion is delayed to next year and requires additional funding from BATA to complete.

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

~~Potential for additional funds due to time-related overhead delays by fire marshal site reviews, well drilling, and painting issues. Cost reductions have been implemented by eliminating non-essential landscape features, reducing Highway Patrol requested changes, office funding, and by modifying pavement mix designs. Costs have been managed by denying request for building upgrades, establishing early coordination with contractor on potential cost increases, and negotiated re-painting to reduce costs. The remaining balance of Caltrans funding authority (G-12) was approved to settle claims made to date, however, there is now a higher risk on recent claims by the contractor that may require the need for supplemental funds. In addition, Caltrans has initiated change orders to meet various inspection requirements that will require supplemental funding. Those change orders include water well valve installation, ADA facility modifications, safety requirements and building modifications requested by CHP.~~ The remaining contingency budget is adequate to cover the existing punch list items to complete the project. New punch list items may possibly come up, related to noncompliant water system installations, which may exceed the contingency balance. Also, during close out of the project, if claims occur, there will be a need for a supplemental vote.

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

~~Potential for additional funds to settle claims. Caltrans is evaluating claims and is negotiating with contractor to minimize potential supplemental amount. Support costs have increased because the project has been extended from three years to four years.~~ An allocation amendment for SR99 bond projects was approved at the June CTC Meeting, but did not include funds to settle claims. The risk on construction claims remains.

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

~~Potential for additional funds to settle claims. Capital and support costs have increased due to discovering unexpected utility conflicts.~~ An allocation amendment for SR99 bond projects was approved at the June CTC Meeting, but did not include funds to settle claims. The risk on construction claims remains.

Sac	Var	High Friction Surface Treatment	SHOPP	$2.4	$0.5	M	= Construction Capital

Safety project with high friction safety treatment (HFST) patent issues. Multiple unsuccessful attempts to place HFST resulted in the decision to remove the HFST work and associated capital from the contract and create an emergency project that successfully placed the HFST prior to the onset of winter weather. Potential need for additional funds to cover item adjustment costs associated with reduced item work as well as potential claims.

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

Additional funds may be needed to settle multiple outstanding claims on the project. Dispute Resolution Board hearings, facilitated dispute resolution meetings, and negotiation efforts continue in an attempt to resolve. Arbitration is likely.

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk	Component
SB	246	Passing Lanes and Operational Improvements	STIP	$18.0	$12.2	M =	Construction Support

Additional funds may be needed for Construction Support due to hourly rate increases and cost escalation.

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk	Component
Mad	99	Avenue 12 Interchange	Bond, STIP	$69.4	$14.8	L ↓	Construction Support

~~Support costs have increased due to construction delays for utility relocation~~. An allocation amendment for SR99 bond projects was approved at the June CTC Meeting but additional construction support may still be needed to finish the project.

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk	Component
Fre/Mad	99	San Joaquin River 6 Lane	Bond	$54.1	$14.1	L ↓	Construction Support

~~Additional funds may be needed for Construction Support. The current plan is to use savings from Construction Capital to cover over-expenditures in Construction Support.~~ An allocation amendment for SR99 bond projects was approved at the June CTC Meeting but additional construction support may still be needed to finish the project.

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk	Component
SBd	138	Widening (Phase 1A)	STIP	$52.0	$30.3	L =	Construction Capital
						D	Construction Support

~~Construction support has increased due to resolving numerous project conflicts with design, right of way, and environmental clearance, and cost escalation. At this time, the project is projected to be delayed approximately 1 year to July of 2017 for contract acceptance. In addition, there may be significant resolution meetings with contractor to resolve project delay impacts and it is estimated that additional funds may be necessary.~~ Also, there is a potential for additional construction capital costs due to the delays. There is still G-12 capacity available to cover costs and potential claims. Supplemental funds for construction support were approved at the August CTC Meeting.

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk	Component
SBd	138	Horsethief Creek Br Replacement	SHOPP	$6.5	$1.2	L =	Construction Capital

~~The project was awarded using most of the available G-12 funding capacity, leaving little funding capacity available during construction. Contract will be delayed approximately 10 months due to various changes in contract: access for construction was revised requiring RW and environmental clearances; design conflicts and reviews of precast girders shop drawings; additional testing for CIDH piles and anomalies encountered in bridge piers that may require a non conventional mitigation plan. Piles were recently cored to determine the extent of anomalies and a report is forthcoming. The potential for additional funds may be needed for mitigation for piers and for additional TRO due to delay in contract acceptance. It is anticipated that project could be constructed within G-12 capacity.~~ Outstanding claims still unresolved, pending completion of phase 2 diaphragm construction for this bridge replacement project. G-12 funds for Construction Capital were approved in June of 2016. Supplemental funds may be needed depending on the outcome of outstanding and potential future claims.

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk	Component
SJ	99	South Stockton 6-Lane Widening	Bond, STIP	$114.0	$15.5	D	Construction Support

~~Additional funds for construction support are needed due to right of way delays to the construction work. The Construction and Maintenance Agreement (C&M) with BNSF was not approved when Construction began on 7/12/13. Utility relocation work added additional working days to the contract, which resulted in the need for additional funds. The Project Development Team is working towards reducing the amount of additional funds required for the Construction support. The proposed plan is to transfer savings from R/W capital to construction support.~~ An allocation amendment for SR99 bond projects was approved at the June CTC Meeting.

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk	Component
Sha	299	BGI Capstone	SHOPP	$36.8	$8.1	D	Construction Capital

~~Due to the above average rainfall occurring over the 2015-16 winter months, the project has experienced several unanticipated cut slope failures. There have been four emergency closures during this time. Many of the failures have occurred inside the project limits but outside of the planned work areas, and within completed cut slopes. A supplemental funds request was submitted for the June CTC meeting.~~ Supplemental funds were approved at the June CTC meeting.

Construction Partnership Projects In Progress
Local Agencies Implementing Agencies

Risk	Approved Budget	Notes
Mega-projects (capital > $500 million), funding is a mix of multiple funding sources, including State funds allocated by the commission. Mega projects carry their own unique risks, which are not quantified as part of this report.	$2.2 Billion	If supplemental funds are needed, this will occur in the next 6 months to 2 years (or more).

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk	Component
LA	710	Gerald Desmond Bridge	Local, Bond, SHOPP	$1,156.0	Design Build	VH =	Construction Capital
						VH A	Construction Support

Project is being implemented by the Port of Long Beach as a design-build project. The project contingency budget has been reduced to a negative balance after settlement of the global time related claims and recent change orders. Additional funds will be necessary for a number of known future expenditures, as well as potential risks identified in the risk management plan. On July 13th, 2015 the Port of Long Beach approved an increase in the project budget. A funding source for the increase has not been identified at this time. A supplemental funds request will be prepared for the October CTC Meeting.

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk	Component
SF	*101*	*Doyle Drive*	*STIP, SHOPP, Local*	*$992.9*	$50.8	D	*Construction Capital*
						H =	*Construction Support*

~~*Supplemental funds request will be needed for final acceptance. Commissioners on the project delivery committee have been briefed. A supplemental funds request will be submitted at the June CTC meeting. A portion of the requested supplemental funds were approved at the June CTC meeting subject to cost being approved by FHWA for reimbursement based on customary Federal/State split. Supplemental funds will be requested at the August CTC Meeting to obtain the remaining balance as discussed at the June CTC Meeting.*~~ *Supplemental funds for Construction Capital were approved at the August CTC Meeting. Additional funds for construction support may be needed to complete the project.*

Right of Way Adjustments to be made after Completion of Construction

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

Right of Way	Risk	Approved Budget (STIP portion)	Notes
Right of Way costs for projects in construction that exceed 120 percent of programmed budget.	$ 20 - 25 million	Right of Way $ 54 million	Adjustments (debits) to right of way costs, if needed will occur after construction is complete.

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

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

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

Right of way costs are forecasted to exceed 120 percent of the programmed amount due to litigation and pending final judgments for eminent domain actions. Depending on final judgments, there may be a county share debit adjustment of right of way component. Trial Date for the condemnation parcel is tentatively scheduled in October 2016.

SBd	*138*	*Widening (Phase 1A)*	*STIP*	*$52.0*	*$30.3*	M ↓	*Right of Way*

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

LA	*5*	*Carmenita Interchange*	*STIP, Local*	*$340.2*	*$54.9*	D	*Right of Way*

~~*Current STIP right of way expenditures exceed the STIP programmed budget by more than 120 percent. Expenditures incurred to acquire parcels have exceeded estimated costs. The project financial plan is being updated to move local funds around to balance the plan as much as possible, and to cover increased right of way costs. At completion of construction, the final estimated right of way costs will be updated, and there will likely be a subsequent debit made (dependent on local money added) against county shares in the subsequent STIP programming cycle.*~~ *Locals have agreed to cover cost increases by debit against future county shares from STIP programming. Final right of way cost will be reported at closeout. Funding Agreement Amendment is anticipated to be executed by end of August 2016.*

Mad	*99*	*Avenue 12 Interchange*	*Bond, STIP*	*$69.4*	*$14.8*	D	*Right of Way Capital*

~~*Right of way costs have exceeded 120 percent of the programmed amount due to pending final judgments for eminent domain actions. There will be a county share debit adjustment of right of way at completion of construction.*~~ *An allocation amendment for SR99 bond projects was approved at the June CTC Meeting.*

Preconstruction Projects

Caltrans estimates construction capital risks for preconstruction projects as follows:

Preconstruction Projects	Risk	Approved Budget	Notes
Projects with bid results higher than budget - 5 projects	$ 15 - 20 million	Construction Capital $ 38 million	Results dependent on bid results, likely within next six months.
Project estimates for allocation that exceed 120 percent of construction capital budget - 7 projects	$ 10 - 15 million	Construction Capital $ 35 million	If additional funds are needed, it will most likely occur within the next six months.

Note: Projects dropped excluded from Project counts.

Projects With Bid Results Higher than Budget

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk	Component
Men	101	Willits Fish Passage	STIP	$4.2	$5.0	VH A	Construction Capital

Bid results were higher than the engineer's estimate for both fish passage locations due to installation techniques, difficult terrain, and high transport costs. The project is required due to environmental permits therefore the team is recommending that the project be awarded to the lowest bidder. A supplemental funds request will be prepared for the October CTC Meeting.

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

~~Bid results were higher than the engineer's estimate due to the number of locations, new and unique construction techniques, and restrictive work windows that only allow for work to be performed at night. The construction capital estimate was increased during preliminary engineering, however, bid results were still higher than anticipated. At the January 2016 meeting the CTC did not approve the request for supplemental funds and directed the department to repackage and advertise the project. There is a risk that bids could still be higher than current allocation.~~ - After a second bid opening, bid results were again higher than the engineer's estimate due to smaller quantities spread over 20 ramp locations and restrictive work windows that only allow for the work to be performed at night, resulting in lower productivity and higher costs. A time extension to award by 11/30/16 was approved at the March 2016 CTC meeting. The Department was directed by the Commission to modify the "Bonded Wearing Course Asphalt" item to the conventional Rubberized Asphalt, and re-advertised the project. As a result, the Department rejected all bids, repackaged the construction contract and re-advertised the project on May 31, 2016. Supplemental funds will be requested at the October CTC Meeting.

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk	Component
SB	101	Roadside Improvements	SHOPP	$2.8	$1.1	VH A	Construction Capital

The lowest bidder has asked for a relief of bid and the second lowest bidder is above the G-12 limit, therefore supplemental funds will be needed to award the project. A time extension for award and supplemental funds request will be prepared for the October CTC Meeting.

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk	Component
Men	101	Willits Mitigation Riparian Wetland	STIP	$26.3	$3.0	M =	Construction Capital

~~Initial bids were rejected. Original contract has been split into smaller biddable and buildable contracts so they can be re-advertised and awarded.~~ Contracts for this project awarded to date are within allocation approved at May 2013 CTC meeting. Caltrans continues negotiations with the Army Corps of Engineers to determine extent of mitigation requirements to be implemented with the remaining contracts. Current estimates for remaining contracts indicate a potential need for additional funds to satisfy mitigation requirements.

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk	Component
Fre	168	Auberry Road Roundabout	SHOPP	$3.2	$3.0	D ↓	Construction Capital

~~Additional funds may be needed to award the contract due to the complicated stage construction to construct the roundabout.~~ Project awarded within the G-12 capacity.

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk	Component
Ker	58	SR 58 Friction Surface	SHOPP	$0.3	$0.4	D	Construction Capital

~~Additional funds may be needed to award the contract. Potential increase in estimate due to innovative construction method.~~ Project has been awarded and contract approved. Construction will start in approximately 3 weeks.

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk	Component
Slo	101	Major Damage, Bridge Rail Replacement	SHOPP	$1.5	$0.7	D	Construction Capital

~~Bids opened May 17, 2016 and the project has been recommended for award to the lowest bidder. If the contract is not awarded to the lowest bidder, additional funds may be requested to award to the second lowest bidder.~~ The project was awarded to the lowest bidder.

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

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk	Component
Ala	Var	Environmental Mitigation (FCO)	SHOPP	$1.4	$0.4	VH A	Construction Capital

Financial Contribution Only for off-site environmental mitigation. The local agency's design changed as a result of new survey data and geotechnical information resulting in increased earthwork and stream bank stabilization costs. The mitigation is a requirement for the Alameda - 84, Pigeon Pass Widening. A greater than 120 request is being prepared for the October CTC Meeting.

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk	Component
Ven	187	Relinquishment (FCO)	SHOPP	$10.5	$5.0	VH A	Construction Capital

This portion of highway will be relinquished to the City of Los Angeles and, as part of the relinquishment agreement, funds will be given to the city to rehabilitate the roadway. ~~The scope and cost of the project has increased due to the addition of 131 curb ramps that were not included in the original estimate but have been added as part of the reqlinquishment agreement.~~ The City estimated that the relinquishment of the facility cost $21.5 M. However, in negotiations with the Department, Both parties mutually agreed on $14.5 M for relinquisment of the facility. This amount is greater than what is programmed for the rehab project, and A greater than 120 request is being prepared for the October CTC Meeting.

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk	Component
Men	162	Construct Soldier Pile Walls and Drainage Galleries	SHOPP	$8.0	$5.6	H =	Construction Capital

After obtaining preliminary geotechnical data, it was revealed that the estimated cost to completely mitigate the landslide exceeded the initial budget. The final scope has yet to be determined therefore additional funds may be needed.

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk	Component
Hum	101	Slip out and Drainage System Repair	SHOPP	$5.8	$2.5	M =	Construction Capital

The risk is moderate because there is no structures work and the scope has been reduced since the initial cost estimate. The scope reduction involves removing paving work and earth work from the project.

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk	Component
Men	162	Repair Slip Outs and Slides	SHOPP	$5.3	$3.2	M ↑	Construction Capital

Current Construction Capital estimates exceed current programmed.

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk	Component
Men	253	Repair Slide	SHOPP	$4.1	$1.0	M ↑	Construction Capital

FHWA decision to not contribute further to the construction of the north wall will require an additional funding source. Based on results from the geotechnical report , FHWA determined the north wall location does not meet Federal participation guidelines. The north wall site has maintenance and safety issues including high levels of natural occurring asbestos. The current proposal is to use SHOPP funds to cover the cost of the north wall.

Hum	254	Culvert Rehabilitation	SHOPP	$0.9	$0.9	L =	Construction Capital

Project is located adjacent to the South Fork Eel River with multiple permitting agencies involved. Environmental clearance requirements are complete.

ALA	VAR	Upgrade Metal Beam Guard Railing	SHOPP	$3.4	$0.6	D	Construction Capital

~~Current project capital estimate is higher than the programmed amount. In order to address existing site conditions, it was determined that additional concrete barriers in lieu of metal beam guard rails would be required at several locations. The additional cost includes longer lengths of concrete barriers and higher unit costs for concrete barriers and transitions based on current contractor's bids. Additional electrical work, extension of traffic control limits and incorporating permit requirements related to work in environmentally sensitive areas also contributed to the added capital costs. A supplemental funds request is scheduled for August 2016 CTC Meeting.~~ Supplemental funds were approved at the August CTC Meeting.

SJ	99	Installation of fiber optic cable in Arch Road I/C	SHOPP	$3.0	$0.6	D	Construction Capital

~~Additional funds are needed for Construction Capital. As design progressed it was determined that both the on and off ramps needed to be widened, which increased earthwork and the amount of material required to deliver the project. These changes led to increased material costs, working days, and traffic handling, which also increased construction support resources.~~ Final engineers estimate is within 120% of Construction Capital.

Men	1	Repair Storm Damage	SHOPP	$15.2	$3.9	D	Construction Capital

~~The project site is adjacent to the Pacific Ocean. FHWA deobligated federal funding for this storm damage project, however, a recent storm event has initiated another emergency project. Caltrans will discuss the scope of work with FHWA in June.~~ FHWA deobligated federal funding for this storm damage project. Project has been unparred.

Projects in Development

Caltrans estimates the following support budget risks for projects in development:

Projects in Development	Risk	Approved Support Budget	Notes
Projects with support cost estimates higher than G-12 capacity - 4 projects	$ 1 - 2 million	Construction Capital $ 9.4 million	If additional funds are needed, it will most likely occur within the next six months.

Note: Projects dropped excluded from Project counts.

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk	Component
Ala	880	Lake Merritt Channel Railroad Bridge Replacement	SHOPP	$11.3	$3.2	VH A	PS&E

Supplemental funds are needed to complete the project design and prepare for construction. Supplemental funds request is anticipated for the December CTC meeting.

Nap	29	SR 29 CAPM	SHOPP	$17.3	$5.5	VH A	Right of Way

Supplemental funds are needed to complete right of way certification for the project.

Ala	80	SFOBB Maintenance Training Facility	SHOPP	12.45M	$5M	VH A	PS&E

Increase in design support cost is additional effort to meet requirements for State Fire Marshal review and approval, EBMUD criteria for potable and non-potable water supply, coordination with local utilities, and responses to DOE comments. Approval of G-12 may be sufficient to complete PS&E. Supplemental funds request is anticipated for the December CTC meeting.

Var	Var	Enhance Pedestrian Crossings	SHOPP	$2.5	$0.3	L A	PS&E

The increase is due to effort required for 191 locations; each location requires a traffic management plan and coordination with cities and counties. 15 locations require Permit to Enter to Construct (PEC).

History of Construction Capital Supplemental Funds Requests

The table below is a comparison between supplemental funds requests and ongoing construction contracts. The data shows that the number of projects requesting supplemental funds is small when compared to the number of ongoing projects. Similarly, the dollar amount for the supplemental funds requests is also small when compared to the dollar value of the ongoing projects. The data indicates that Caltrans is managing most construction projects within its delegated funding authority.

Construction Capital Supplemental Funds Requests[1]

Fiscal Year	Number of Supplementals	Number of Construction Contracts[2]	% of Contracts	Amount of Supplementals (millions)	Value of Construction Contracts[2] (billions)	% of Dollars
2002-03	17	659	2.6%	$18.3	$7.7	0.2%
2003-04	18	586	3.1%	$19.4	$8.2	0.2%
2004-05	18	617	2.9%	$14.1	$7.7	0.2%
2005-06	46	714	6.4%	$189.5	$9.8	1.9%
2006-07	17	646	2.6%	$58.2	$10.4	0.6%
2007-08	15	705	2.1%	$25.5	$9.4	0.3%
2008-09	17	732	2.3%	$40.4	$9.4	0.4%
2009-10	11	664	1.7%	$30.8	$9.6	0.3%
2010-11	11	814	1.4%	$28.7	$10.9	0.3%
2011-12	24	739	3.2%	$84.5	$11.3	0.7%
2012-13	21	713	2.9%	$43.1	$12.3	0.4%
2013-14	12	673	1.8%	$15.1	$11.1	0.1%
2014-15	13	652	2.0%	$94.4	$10.6	0.9%
2015-16	27	817	3.3%	$140.8	$8.8	1.6%
Average	**19**	**695**	**2.7%**	**$57.3**	**$9.8**	**0.6%**

[1] Includes supplementals to award, complete construction, and closeout. Does not include construction support supplemental funds requests or Greater Than 120% requests.

[2] As of June 30 of each fiscal year.

Schedule Risks (Allocation Extension)

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

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

Risks of needing an allocation extension request are categorized as:

VH Very High | H High | M Moderate | L Low

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

Notes: ★ *STIP - State Transportation Improvement Program, SHOPP - State Highway Operation and Protection Program, CMAQ - Congestion Management and Air Quality Program, Bond - Proposition 1B*
◊ *Costs are in millions. Capital budgets include right of way and construction. Support budgets include preliminary engineering support*

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

FY 15-16 CFD Projects That Were Not Delivered

Caltrans had 244 projects valued at $2.0 billion in the FY 15-16 Contract for Delivery. Through the end of the year, Caltrans delivered 239 projects (98 percent) valued at $1,721 million (84 percent) of committed project on time. Caltrans did not deliver 5 projects (2 percent) valued at $177 million (8 percent) as planned.

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk	Component
Mpa	*140*	*Restore 2 Lane Access and Construct Rockshed*	*SHOPP*	*$96.1*	*$29.2*		*Not Delivered*
The project was delayed due to a significant rockslide that occurred at the project site in November of 2015. The rockslide revealed that the area of instability was larger than previously estimated. The site has been secured to prevent injury. The site is being monitored and geotechnical studies are ongoing to determine a course of action. The project team is considering installing additional equipment on the slope to obtain additional geotechnical data. The equipment is anticipated to be installed by November 2016. The additional data will be collected over 8-12 months.							
Ala	*880*	*Lake Merritt Channel Railroad Bridge Replacement*	*SHOPP*	*$11.3*	*$3.6*		*Not Delivered*
The project was not delivered in FY 2015-16 due to two major risks that were identified during the development of the project: (1) securing permits which required raising the proposed railroad bridge by 9 feet and (2) utilities relocation. *(1) As the owner/operator of the newly constructed bridge, Union Pacific Railroad is the applicant for various permits and certifications:* *a. UPRR signed the Bay Conservation and Development Commission (BCDC) Permit on July 20, 2016.* *b. US Army Corp of Engineers 404 Permit is expected to be issued by the end of September 2016.* *c. The Water Quality Certification (401 Certification), issued on June 8, 2016, requires Caltrans and UPRR to consult with the City of Oakland to ensure the bridge design is in accordance with the City's long-term vision for public access enhancement to the channel.* *d. On June 28, 2016, the US Coast Guard submitted a letter to City of Oakland requiring a vertical clearance of 12 feet above the mean high water (MHW) as the minimum vertical navigational clearance. City response to USCG letter stated that a 9-foot clearance above the MHW would meet the city's non-motorized boating navigational goals. UPRR rejected raising the bridge due to operational and maintenance constraints.* *(2) Two Kinder Morgan pipelines need to be relocated to construct the new bridge. Pipeline installation method to avoid underground facilities was modified in June 2016 requiring a Temporary Access Easement (TAE) from the City of Oakland Fire Department and a Temporary Construction Easement (TCE) from the Port of Oakland/East Bay Municipal Utility District (EBMUD) Facility.* *CTC approved time extension to award contact to August 2017.*							
Tul	*190*	*Lairds Rehabilitation*	*SHOPP*	*$23.0*	*$7.5*		*Not Delivered*
The project was delayed because Southern California Edison did not provide utility relocation plans. Utility relocation plans will not be provided until September or October.							
Tul	*99*	*Betty Drive Interchange*	*STIP/Local*	*$56.0*	*$10.7*		*Not Delivered*
The project was delayed by a Construction and Maintenance agreement with two railroad companies. RR legal department reviewing agreement. Construction and Maintenance agreement scheduled to be executed in September.							
Ker	*99*	*Famoso Bridge Replacement*	*SHOPP*	*$20.6*	*$7.1*		*Not Delivered*
A right of way contract could not be obtained with the parcel owner therefore the parcel will be continuing the eminent domain process. A Resolution of Necessity is targeted for the December CTC meeting.							

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk	Component
Ven	126	Construct Median Barrier And Roundabouts	SHOPP	$62.3	$14.2		Not Delivered

Not a FY 15-16 CFD project. Caltrans intended to un-program the project in June 2015 but an administrative mistake was made and it was not removed. The District is preparing a new PSR-PDS to re-program the project for PA&ED only. Construction funding will be requested once we select an alternative after the conclusion of the environmental process.

FY 16-17 CFD Project Risks

Caltrans has 227 projects valued at $2.2 billion in the FY 16-17 Contract for Delivery.

High to Very High Risk Delivery

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk	Component
Sta	99	SJ and STA Ramp Metering	SHOPP	$30.2	$3.8	H A	Fiscal Year Delivery

Potential delays may exist due to design issues. Caltrans staff is working to address the factors that may cause potential delays.

SJ	12	Lodi ADA Improvements	SHOPP	$0.6	$1.3	H A	Fiscal Year Delivery

Right of Way certification is a risk. Caltrans staff is working at developing solutions to mitigate Right of Way certification risk.

SBd	95	Shoulder Widening & Rumble Strips	SHOPP	$1.0	$1.4	H A	Fiscal Year Delivery

Additional time may be needed for Bureau of Land Management (BLM) to review environmental studies and BLM may require additional studies to be performed before they approve the environmental document. Also, a RW easement will be required from BLM and this may take additional time. Due to coordination with BLM, there is a high risk that project may not be delivered this fiscal year.

LA	110	Roadside Safety Improvements	SHOPP	$2.0	$0.9	H A	Fiscal Year Delivery

This location is within an Environmental Historical Area which is a very sensitive location. An Environmental Assessment and Environmental Impact Report are needed for this type of project. In addition, the project requires review and approval from State Historic Preservation Officer (SHPO) which can extend the program delivery year. This project (EA 29530) and EA 29750 will be combined (EA 2975U) at vote.

LA	110	Upgrade MBGR and Install Concrete Barrier	SHOPP	$6.1	$2.8	H A	Fiscal Year Delivery

This location is within an Environmental Historical Area which is a very sensitive location. An Environmental Assessment and Environmental Impact Report are needed for this type of project. In addition, the project requires review and approval from State Historic Preservation Officer (SHPO) which can extend the program delivery year. This project (EA 29750) and EA 29530 will be combined (EA 2975U) at vote.

LA	10	Paint and Rehabilitate Bridge	SHOPP	$68.0	$9.5	H A	Fiscal Year Delivery

Right of Way Certification is a Major risk to delivery due to Railroad facilities near the bridge spans. Railroad review and coordination can be up to 24 months.

Moderate to Low Risk Delivery

Cty	Rte	Description	Program★	Capital $◊	Support $◊	Risk	Component
SD	8	I-8 Safety Improvements	SHOPP	$13.1	$6.5	M A	Fiscal Year Delivery

Right of Way certification is at risk due to issues acquiring property from the city.

SJ	5	SR 4 / I-5 Seismic Retrofit	SHOPP	$2.2	$1.2	L A	Fiscal Year Delivery

During preliminary design the construction staging plan assumed that all work could completed from the bridge deck, thereby removing the need for environmental permits and access from underneath the bridge. As the design progressed, it was determined that access underneath the bridge is needed after all. The team has determined that additional Right of Way is not needed and investigating whether the current staging plan will require a 1602 environmental permit.

LA	138	Widen Conventional Highway (Segment 6)	STIP	$16.3	$8.1	L A	Fiscal Year Delivery

Right of Way is a risk to the project delivery since there are several parcels which will be going through the condemnation process.

LA	19	Upgrade Curb Ramps and Sidewalks to ADA standards	SHOPP	$4.4	$3.7	L A	Fiscal Year Delivery

Right of way certification is a risk to delivery. There may be a need to acquire parcels which will be the critical path.

SBd	40	Remove/replace RSP at South Fork Piute Wash Br	SHOPP	$0.8	$0.7	L A	Fiscal Year Delivery

There are three permits needed for project (1602 for California Department of Fish & Wildlife, 401 for Calif. Water Board and 404 for Army Corps of Engineers) that are targeted to be executed in the 4th Qtr. Due to these permits, there is a low risk that project may not be delivered in this fiscal year.

Riv	10, 111	Seismic Retrofit (4 bridges)	SHOPP	$5.0	$3.0	L A	Fiscal Year Delivery

There are three permits needed for project (1602 for California Department of Fish & Wildlife, 401 for Calif. Water Board and 404 for Army Corps of Engineers) that are targeted to be executed in the 4th Qtr. Due to these permits, there is a low risk that project may not be delivered in this fiscal year.

SBd	40	Regrade median cross slope	SHOPP	$26.2	$8.5	L A	Fiscal Year Delivery

There are three permits needed for project (1602 for California Department of Fish & Wildlife, 401 for Calif. Water Board and 404 for Army Corps of Engineers) that are targeted to be executed in the 4th Qtr. Due to these permits, there is a low risk that project may not be delivered in this fiscal year.

Delivery: Projects Designed and Ready for Construction

Summary

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

In fiscal year 2015-16, Caltrans committed in the Contract for Delivery to deliver 244 projects ready for construction, valued at $2.0 billion. Through the end of the fourth quarter, Caltrans delivered 239 projects, or 98 percent of the annual commitment, with an estimated value of $1,721 million.

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

Through the end of the fourth quarter, fiscal year 2015-16, Caltrans has:
- *Delivered 385 additional projects with an estimated value of $843.9 million*
- *The sum of all projects delivered from all program funding sources is 624 projects, valued at $2.6 billion*

Measure: Projects Designed and Ready for Construction – 4th Quarter FY 2015-16

Fiscal Year 2015-16 Contract For Delivery

Year-to-Date thru 4th Quarter			Annual Commitment		Goal
Completed	Plan	Percent	Plan	Percent	Percent
239	**244**	**98**	**244**	**98**	**100**

Five-Year Trend

Year-to-Date thru 4th Quarter				
11-12	12-13	13-14	14-15	15-16
99%	98%	98%	98%	98%

Five-Year Trend Analysis: The fourth quarter figures are comparable to the previous year.

Measure: Contract Value Delivered – 4th Quarter Fiscal Year 2015-16

Fiscal Year 2015-16 Contract for Delivery (millions)

Year-to-Date thru 4th Quarter			Annual Commitment		Goal
Completed	Plan	Percent	Plan	Percent	Percent
$1,721.3	**$2,052.4**	**84**	**$2,052.4**	**84**	**100**

Five-Year Trend

Year-to-Date thru 4th Quarter				
11-12	12-13	13-14	14-15	15-16
95%	99%	84%	94%	84%

Five-Year Trend Analysis: The fourth quarter figures are slightly lower than the previous year.

Program Delivery

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

Costs are in millions.	Contract Value Committed	Contract Value Delivered	Contract Value Delivered	Projects Committed	Projects Delivered	Projects Delivered
State Transportation Improvement Program* (STIP)	$ 423.6	$ 433.8		16	15	
Amended STIP	$ 14.1	$ 14.1		3	3	
Advanced STIP		$ 81.4			1	
Subtotal – **STIP Delivery Commitments**	$ 437.7	$ 529.3	121 %	19	19	100 %
State Highway Operation and Protection Program* (SHOPP)	$ 1,592.5	$ 1,251.4		223	219	
Amended SHOPP	$ 59.0	$ 59.0		22	22	
Advanced SHOPP		$ 72.0			12	
Subtotal – **SHOPP Delivery Commitments**	$ 1,651.5	$ 1,382.4	84 %	245	253	103 %
Minor Program Funds in Contract for Delivery (SHOPP)	$ 0.9	$ 1.0				
Minor Program (SHOPP)		$ 27.4			35	
Emergency Response – G-11 (SHOPP)		$ 300.9			170	
Subtotal - **SHOPP – All Funds**		$ 1,711.7			458	
Partnership (Local and regional funding contributions) *	$ 35.3	$ 35.1	99 %	5	5	
Additional Partnership	$ 42.4	$ 42.4		2	2	
Major Maintenance Program		$ 246.7			140	
Total Delivery **All Program Funds**		$ 2,565.2			624	

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

Year to Date Contract for Delivery support costs (239 projects delivered): Budget $434.3 million, Expended $424.8 million.

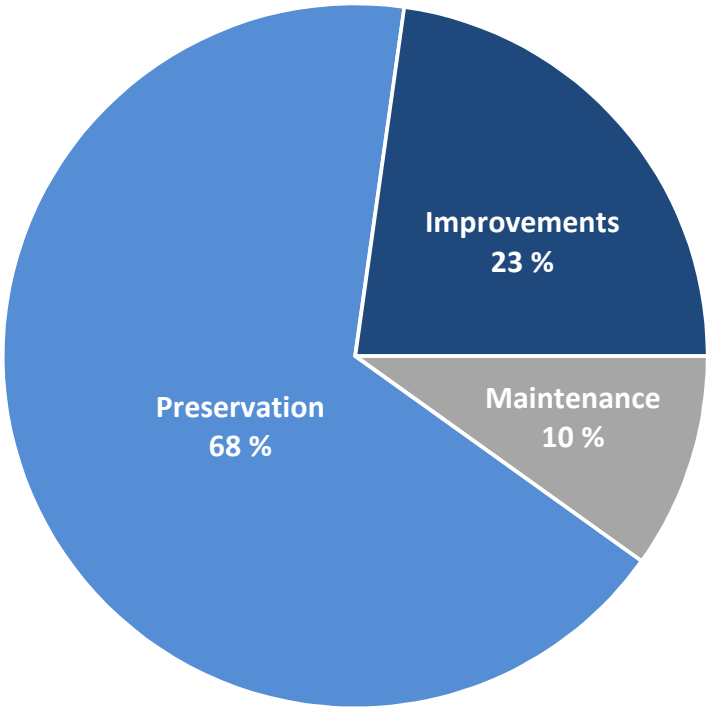
Costs are in millions.	Contract Value Committed	Contract Value Delivered	Projects Committed	Projects Delivered
Caltrans Rail: STIP Rail Capital Improvements	$ 64.5	$ 1.0	2	1

Project Delivery Outcomes

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

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

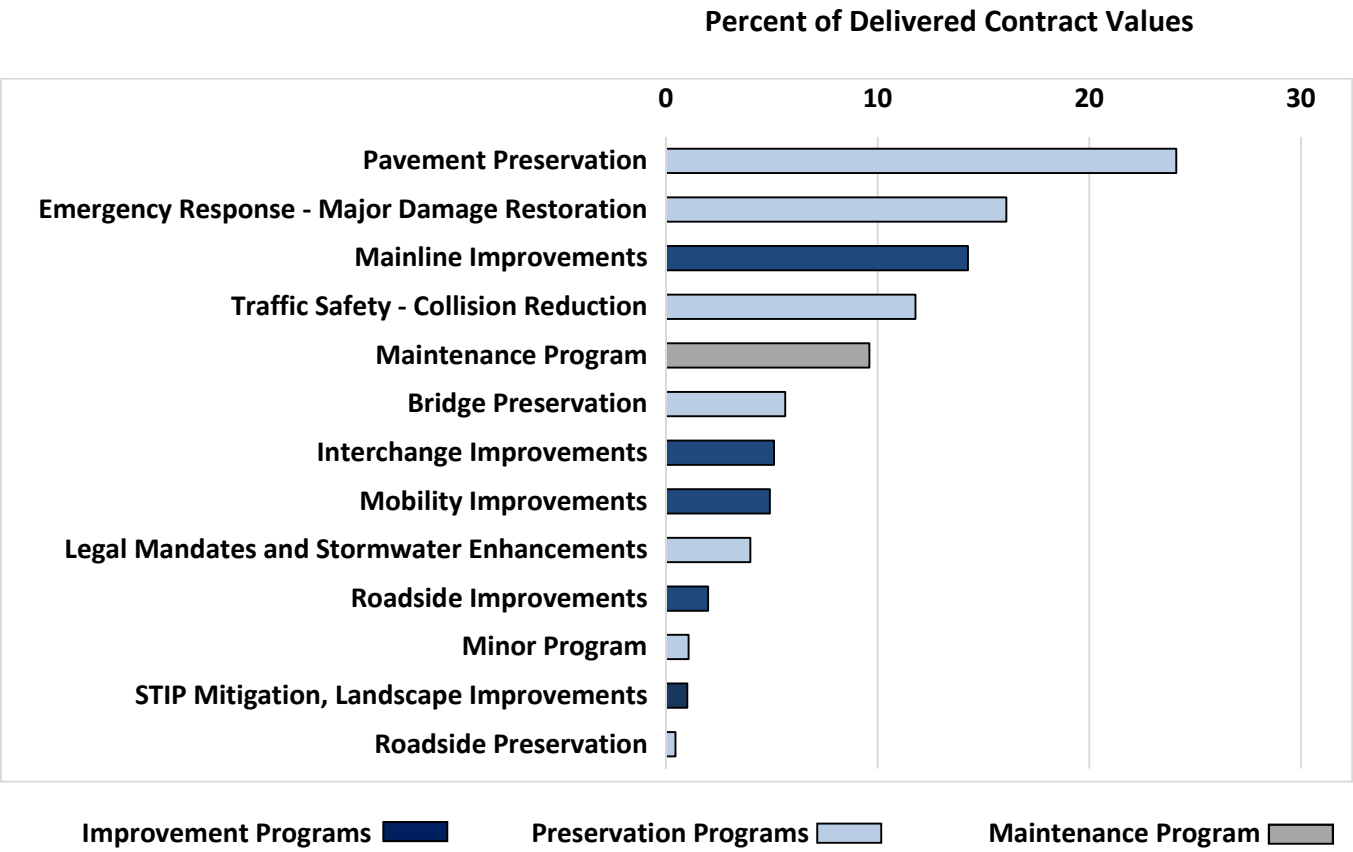
Transportation Programs	Projects	Program Dollars	Percent Major Programs (Contract Value)	Percent All Programs (Contract Value)
Preservation Programs				
State Highway Operation & Protection Program (SHOPP)	253	$ 1,404.7	82	55
Emergency Response – G-11 (SHOPP)	170	$ 300.9	17	12
Minor Program (SHOPP)	35	$ 28.4	2	1
Subtotal - Preservation Programs (SHOPP)	458	$ 1,734.0	100	68
Improvement Programs				
Regional Improvement Program (STIP-RIP)		$ 312.9	54	12
Interregional Improvement Program (STIP-IIP)		$ 53.8	9	2
Partnership Program (Local & local federal funds)		$ 217.9	37	8
Proposition 1B Bond Programs		$ 0	0	0
Subtotal - Improvement Programs	26	$ 584.6	100	23
Maintenance Program	140	$ 246.7		10
Total	624	$ 2,565.2		100



Delivery Outcomes

Projects Designed and Ready for Construction (Percent) by Contract Value

The bar chart below shows the distribution by percentage of construction contract values for categories of project improvements (outcomes) on projects delivered to construction in fiscal year 2015-16.



Projects: 624 **Capital Value: $2,565 Million**

Project Approval, Environmental Documents

Summary

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

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

In fiscal year 2015-16, Caltrans committed to deliver 263 project approvals and environmental documents. Through the end of the fourth quarter, fiscal year 2015-16, Caltrans approved a total of 223, or 85 percent of the annual commitment.

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

In fiscal year 2015-16, Caltrans committed to deliver 82 draft environmental documents. Through the end of the fourth quarter, fiscal year 2015-16, Caltrans completed a total of 62, or 76 percent of the annual commitment.

Measure: Projects Approved, Environmental Documents – 4th Quarter FY 2015-16

Fiscal Year 2015-16

Year-to-Date thru 4th Quarter			Annual Commitment		Goal
Approved	Plan	Percent	Plan	Percent	Percent
223	263	85	263	85	90

Five-Year Trend

Year-to-Date thru 4th Quarter				
11-12	12-13	13-14	14-15	15-16
93%	87%	88%	87%	85%

Five-Year Trend Analysis: The figures are comparable to the previous year.

Measure: Draft Environmental Documents Completed – 4th Quarter FY 2015-16

Fiscal Year 2015-16

Year-to-Date thru 4th Quarter			Annual Commitment		Goal
Completed	Plan	Percent	Plan	Percent	Percent
62	82	76	82	76	80

Five-Year Trend

Year-to-Date thru 4th Quarter				
11-12	12-13	13-14	14-15	15-16
70%	74%	79%	80%	76%

Five-Year Trend Analysis: The figures are lower than the previous year.

Right of Way: Projects Certified

Summary

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

In fiscal year 2015-16, Caltrans committed to certify right of way for 260 projects. Through the end of the fourth quarter, fiscal year 2015-16, Caltrans certified a total of 251 projects, or 97 percent of the annual commitment.

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

For fiscal year 2015-16, the Right of Way Capital Plan outlines funding needed to keep programmed projects on track for delivery as planned. Caltrans requested and received an allocation of $144.3 million. Through the end of the fourth quarter, fiscal year 2015-16, Caltrans committed $144.3 million, or 100 percent of the annual right of way allocation approved by the Commission.

Measure: Projects Certified – 4th Quarter Fiscal Year 2015-16

Fiscal Year 2015-16

Year-to-Date thru 4th Quarter			Annual Commitment		Goal
Certified	Plan	Percent	Plan	Percent	Percent
251	260	97	260	97	100

Five Year Trend

Year-to-Date thru 4th Quarter				
11-12	12-13	13-14	14-15	15-16
98%	94%	96%	97%	97%

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

Measure: Allocated Funds Committed – 4th Quarter Fiscal Year 2015-16

Fiscal Year 2015-16 (millions)

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

Five-Year Trend

Annual Commitment thru 4th Quarter				
11-12	12-13	13-14	14-15	15-16
100%	100%	100%	100%	100%

Five-Year Trend Analysis: Funds committed to date are slightly higher than the previous year.

Right of Way Capital Plan

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

Right of Way Capital Funding (millions)

Category		Allocated (millions)		Committed (millions)	Committed Percent Per Category
Capital Projects					
State Transportation Improvement Program (STIP)	$	62.6	$	66.0	105%
State Highway Operation & Protection Program (SHOPP)	$	51.8	$	50.0	97%
Subtotal - Capital Projects	$	114.4	$	116.0	101%
Other Categories					
Post-certification	$	27.0	$	23.5	87%
Permit Fees	$	1.0	$	1.1	113%
Damage to Property (Inverse)	$	1.9	$	3.7	195%
Subtotal - Other Categories	$	29.9	$	28.3	95%
Right of Way Funds – All Categories					
TOTAL	$	144.3	$	144.3	100%

Construction: Projects Constructed

Summary

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

- *In fiscal year 2015-16, Caltrans committed to complete construction of 209 projects. Through the end of the fourth quarter, fiscal year 2015-16, Caltrans has completed 183, or 88 percent of the annual commitment.*
- *At the end of the fourth quarter, fiscal year 2015-16, Caltrans had 817 projects valued at $8.8 billion under construction.*

Measure: Planned Projects Constructed – 4th Quarter Fiscal Year 2015-16

Fiscal Year 2015-16

Year-to-Date thru 4th Quarter			Annual Commitment		Goal
Constructed	Plan	Percent	Plan	Percent	Percent
183	**209**	**88**	**209**	**88**	**95**

Five-Year Trend

Year-to-Date thru 4th Quarter				
11-12	12-13	13-14	14-15	15-16
89%	83%	95%	89%	88%

Five-Year Trend Analysis: The number of contracts accepted to date is comparable to the previous year.

Construction Program Quarterly Status Notes (all contracts)*

Contractor Payments: $2,572 million has been paid to contractors in fiscal year 2015-16.
Under Construction: 817 construction contracts valued at $8.8 billion are under construction.
Claims: Caltrans has 30 construction contracts in post-contract acceptance with notice of potential claims in the amount of $55.0 million.
Arbitration: Caltrans has 27 contracts in arbitration with claims valued at $95.5 million.
**As of July 1, 2016*

Arbitration – Five Year Trend

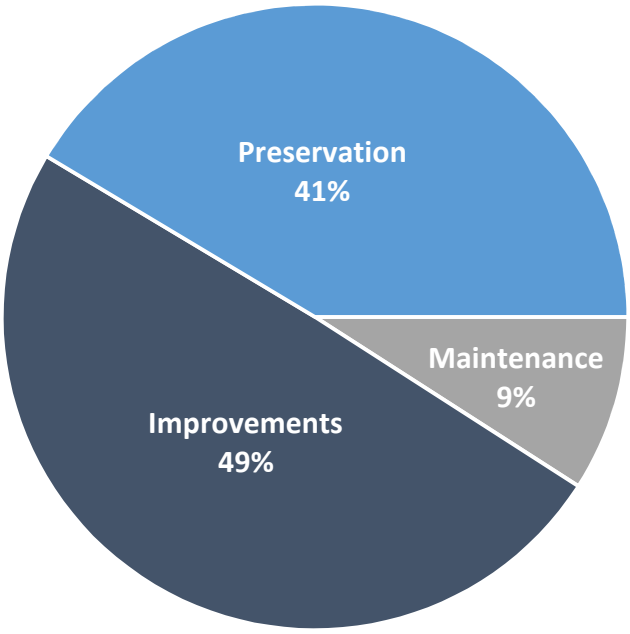
	11-12	12-13	13-14	14-15	15-16
Arbitration Cases Filed	13	15	16	14	14
Arbitration Cases Completed	18	30	22	14	10
Contracts in Arbitration (End of FY)	44	29	23	23	27

Construction Outcomes

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

Projects Constructed
Contract Value by Program Funding (millions)

Transportation Programs	Projects	Program Dollars	Percent Major Programs (Contract Value)	Percent All Programs (Contract Value)
Preservation Programs				
State Highway Operation & Protection Program (SHOPP)	150	$ 883.1	79	33
Emergency Response – Major Damage Restoration (SHOPP)	85	$ 130.3	12	5
Minor Program (SHOPP)	60	$ 106.0	9	4
Subtotal - Preservation Programs (SHOPP)	295	$ 1,119.4	100	41
Improvement Programs				
Regional Improvement Program		$ 194.6	15	7
Interregional Improvement Program		$ 12.1	<1	<1
Partnership Programs (Local & local federal funds)		$ 501.8	38	19
Proposition 1B Bond Programs		$ 625.6	47	23
Subtotal - Improvement Programs	55	$ 1,334.2	100	49
Maintenance Program	134	$ 224.6		9
Total	**484**	**$ 2,698.2**		**100**

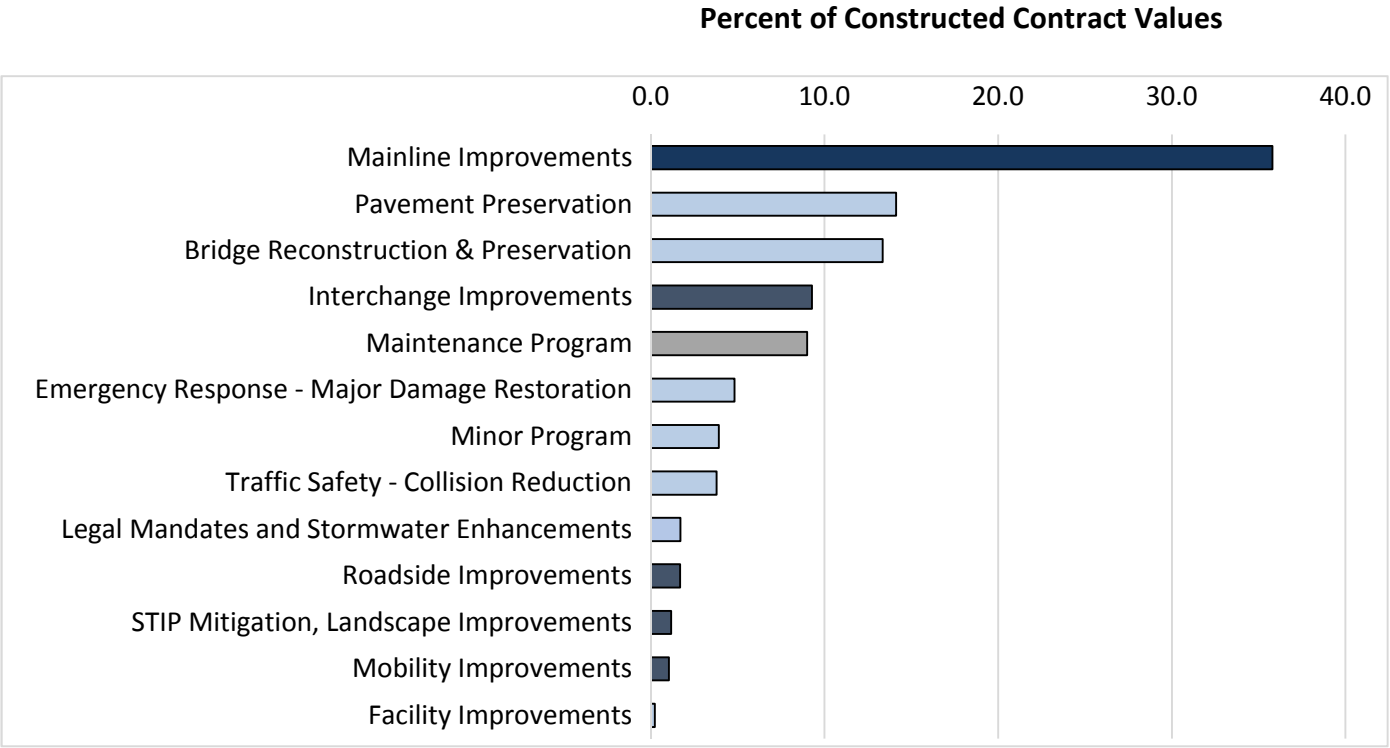


Costs are in millions	Projects	Program Dollars
Seismic (San Francisco-Oakland Bay Bridge) projects	3	$ 2,166

Projects Constructed

Outcomes (Percent) by Contract Value

The bar chart below shows the distribution by percentage of construction contract values for categories of project improvements (outcomes) on contracts accepted in fiscal year 2015-16.



Note: Chart excludes Seismic (San Francisco – Oakland Bay Bridge) projects

Improvement Programs ■ Preservation Programs ■ Maintenance Program ■

Projects: 484 **Capital Value: $ 2,698 Million**

Closeout Costs

Summary

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

- *Through the end of the fourth quarter, fiscal year 2015-16, Caltrans has closed out 34 State Transportation Improvement Program projects. The final approved budget for these projects was $1,918 million. The actual cost to complete these projects was $1,851 million, or 96 percent of the final approved budget.*
- *Through the end of the fourth quarter, fiscal year 2015-16, Caltrans has closed out 247 State Highway Operation and Protection Program projects. The final approved budget for these projects was $1,615 million. The actual cost to complete these projects was $1,436 million, or 89 percent of the final approved budget.*

Measure: Program Costs – 4th Quarter Fiscal Year 2015-16

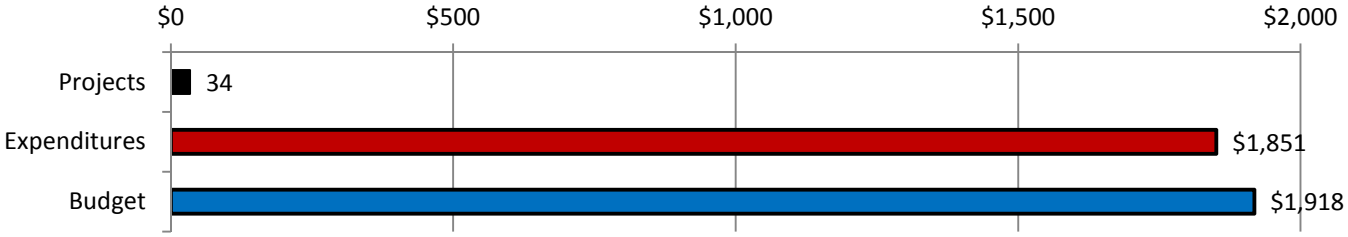
Fiscal Year 2015-16

Actual Cost Percent of Final Approved Budget			
State Transportation Improvement Program		State Highway Operation and Protection Program	
Actual	Goal	Actual	Goal
96	< 100	89	< 100

Program Budget versus Program Expenditures (all components)

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

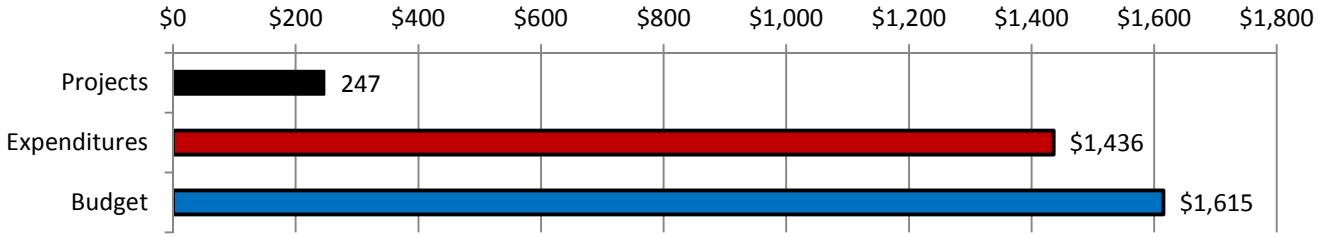
State Transportation Improvement Program[1] Closeout – Program Costs (millions)



A total of 34 State Transportation Improvement Program projects have been completed to date in fiscal year 2015-16. The budget for these projects was $1,918 million. The actual cost of the projects completed was $1,851 million, which is 97 percent of the approved budget.

[1] *State Transportation Improvement Program includes projects with one or more components funded from the State Transportation Improvement Program funds, and all contributor funds on all project components.*
A list of State Transportation Improvement Program closeout projects is included in the appendix, "(A) Caltrans Fiscal Year 2015-16 State Transportation Improvement Program Project Closeout".

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



A total of 247 State Highway Operation and Protection Program projects have been completed to date in fiscal year 2015-16. The budget for these projects was $1,615 million. The actual cost of the projects completed was $1,436 million which is 89 percent of the approved budget.

A list of State Highway Operation and Protection Program closeout projects is included in the appendix, "(B) Caltrans Fiscal Year 2015-16 State Highway Operation and Protection Program Project Closeout".

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

The table below provides a comparison between the Commission's initial allocation, final approved costs and expended costs for projects that completed construction in fiscal year 2015-16 (Government Code 14525.5). This provides an indication of how adjustments subsequently made after the initial vote (Commission approved supplemental funds or Caltrans delegated funding authority) compare to the initial allocated amounts for each program. The costs in this table do not include non-state funds, which were provided in the program budget and expenditure charts on the previous page. The table below is generated from the projects listed in Appendix A and Appendix B of this report.

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

Program	Commission Initial Construction Allocation	Final Approved Construction Costs	Expended Construction Costs
Construction Capital ($1,000's)			
STIP[1]	$ 197,073	$ 184,125	$ 174,000
CMIA[1] Bond	$ 359,487	$ 291,818	$ 288,977
SR99[1] Bond	$ 261,209	$ 199,459	$ 188,143
ARRA[1]	$ 95,150	$ 84,288	$ 84,288
SHOPP[1] Contribution	$ 60,685	$ 47,749	$ 46,817
STIP[1] Total	$ 973,604	$ 807,439	$ 782,225
SHOPP Total	$ 1,233,201	$ 1,099,757	$ 974,030
Construction Support[2] ($1,000's)			
STIP[1]	$ 47,410	$ 51,850	$ 67,464
CMIA[1] Bond	$ 42,471	$ 42,471	$ 41,630
SR99[1] Bond	$ 30,000	$ 30,450	$ 27,433
ARRA[1]	$ 29,900	$ 18,970	$ 17,164
Construction Support Total	$ 149,781	$ 143,741	$ 153,691

Notes: [1] STIP - State Transportation Improvement Program; CMIA - Corridor Mobility Improvement Program; SR99 – State Route; ARRA – America Recovery and Reinvestment Act; SHOPP State Highway Operation and Protection Program.
[2] Construction Support totals reported: Government Code 14525.5 requires the Commission to allocate construction support for STIP funds, and requires Caltrans to report on allocated construction components. SHOPP construction support is not reported on this page. Construction support budget information is provided to the Commission by listing it in project vote information. SHOPP construction support is provided in this report in program budget information reported on the previous page, and in the appendix in support information for each project listed.

Appendix

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

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

(C) Miscellaneous Project Delivery Reporting Requirements

(D) Capital Outlay Support Cost Measures

(E) Support to Capital Ratio Cost Measures

(F) Capital Outlay Support Workload History

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

Project Description			Support ($1,000's)			Capital ($1,000's)		Total ($1,000's)		Delivery Year			
			Original Budget[3]	Approved Budget[2]	Actual Costs	Approved Budget[2]	Actual Costs	Approved Budget[2]	Actual Costs	Original	Actual	Years Early, Delayed, or On-time	
1st Quarter													
BUT	99	Chico Widening/Auxiliary Lane	$ -	$ 4,394	$ 5,405	$ 26,737	$ 26,713	$ 31,131	$ 32,118	2010	2011	(1)	Delayed
SOL	80	Coredelia Truck Scale Relocation	$ -	$ 10,100	$ 9,819	$ 58,178	$ 50,970	$ 68,278	$ 60,790	2012	2011	1	Early
SOL	80	Ramp Metering and TOS Elements	$ -	$ 7,018	$ 6,971	$ 16,863	$ 16,234	$ 23,881	$ 23,205	2012	2012	0	On-time
ALA	680	Environmental Mitigation	$ -	$ 2,141	$ 1,975	$ 1,641	$ 1,535	$ 3,782	$ 3,510	2009	2009	0	On-time
ALA	24	Caldecott Tunnel Fourth Bore	$ -	$ 104,641	$ 108,788	$ 294,570	$ 285,301	$ 399,211	$ 394,089	2011	2009	2	Early
SB	101	Santa Maria River Bridge Widening	$ -	$ 12,773	$ 11,506	$ 35,084	$ 34,412	$ 47,857	$ 45,919	2009	2010	(1)	Delayed
TUL	216	SR 216 Widening	$ -	$ 5,103	$ 6,937	$ 7,529	$ 5,896	$ 12,632	$ 12,832	2011	2012	(1)	Delayed
LA	101	Van Nuys Blvd. Off-Ramps	$ -	$ 3,683	$ 4,288	$ 5,478	$ 5,213	$ 9,161	$ 9,501	2007	2011	(4)	Delayed
RIV	215	Rte 60/215 East Junction HOV Connector	$ -	$ 6,900	$ 7,126	$ 28,767	$ 26,152	$ 35,667	$ 33,278	2010	2011	(1)	Delayed
SJ	99	SR 99 Widening Phase 1	$ -	$ 5,000	$ 5,111	$ 30,717	$ 29,522	$ 35,717	$ 34,633	2012	2012	0	On-time
SD	805	I-5/805 North Coast Undercrossing	$ -	$ 24,536	$ 28,583	$ 59,277	$ 59,054	$ 83,813	$ 87,637	2010	2011	(1)	Delayed
ORA	22	Rte 22/I-405 HOV Connector	$ -	$ 19,139	$ 18,409	$ 80,176	$ 77,156	$ 99,315	$ 95,565	2010	2010	0	On-time
ORA	22	I-405/I-605 HOV Connector	$ -	$ 25,113	$ 25,199	$ 125,111	$ 119,333	$ 150,224	$ 144,532	2010	2010	0	On-time
2nd Quarter													
SIS	97	Angel Maple Operational Improvements	$ -	$ 411	$ 495	$ 525	$ 449	$ 936	$ 944	2015	2015	0	On-time
SCL	85	Route 85 - FPI	$ -	$ 3,135	$ 3,171	$ 6,160	$ 6,438	$ 9,295	$ 9,609	2012	2012	0	On-time
ALA	238	I-238 Replacement Planting	$ -	$ 859	$ 1,020	$ 1,629	$ 1,364	$ 2,488	$ 2,383	2010	2010	0	On-time
NAP	12	Jameson Canyon Widening - Phase 1	$ -	$ 7,460	$ 11,217	$ 35,236	$ 35,806	$ 42,696	$ 47,023	2010	2011	(1)	Delayed
MON	101	Prunedale Interchange Improvements	$ -	$ 69,321	$ 73,353	$ 153,220	$ 141,522	$ 222,541	$ 214,875	2009	2011	(2)	Delayed
KIN	198	19th Avenue Interchange	$ -	$ 6,322	$ 10,971	$ 26,352	$ 26,666	$ 32,674	$ 37,637	2004	2012	(8)	Delayed
SBD	15	C.V. Kane Rest Area Displays	$ -	$ 91	$ 78	$ 20	$ 19	$ 111	$ 97	2014	2014	0	On-time
MER	99	Arboleda Freeway and Interchange	$ -	$ 25,392	$ 21,224	$ 102,260	$ 85,454	$ 127,652	$ 106,677	2010	2011	(1)	Delayed
ORA	57	Widen Highway and Bridges	$ -	$ 6,801	$ 5,788	$ 22,771	$ 21,167	$ 29,572	$ 26,954	2011	2011	0	On-time
3rd Quarter													
LA	5	5/14 HOV Connector	$ -	$ 30,566	$ 34,268	$ 144,710	$ 142,461	$ 175,276	$ 176,728	2005	2007	(2)	Delayed
SD	15	Fallbrook Planting (CCC)	$ -	$ 125	$ 23	$ 500	$ 307	$ 625	$ 330	2010	2010	0	On-time
4th Quarter													
MOD	299	Alturas 299 Operation Improvements	$ -	$ 1,223	$ 1,414	$ 2,625	$ 2,182	$ 3,848	$ 3,596	2013	2015	(2)	Delayed
SCL	680	FPI - TOS and Ramp Metering	$ -	$ 5,611	$ 5,311	$ 13,714	$ 13,563	$ 19,325	$ 18,874	2012	2012	0	On-time
MON	101	Airport Blvd Interchange Planting	$ -	$ 573	$ 503	$ 582	$ 514	$ 1,155	$ 1,017	2011	2012	(1)	Delayed
SLO	101	101/41 Landscape Mitigation	$ -	$ 457	$ 822	$ 629	$ 542	$ 1,086	$ 1,365	2011	2011	0	On-time

Project Description			Support ($1,000's)			Capital ($1,000's)		Total ($1,000's)		Delivery Year		
			Original Budget[3]	Approved Budget[2]	Actual Costs	Approved Budget[2]	Actual Costs	Approved Budget[2]	Actual Costs	Original	Actual	Years Early, Delayed, or On-time
MAD	99	99 Corridor-Bridge Enhancement	$ -	$ 320	$ 442	$ 457	$ 382	$ 777	$ 824	2014	2014	0 On-time
TUL	99	Goshen to Kingsbury 6-Lane	$ -	$ 22,548	$ 22,036	$ 78,767	$ 78,001	$ 101,315	$ 100,037	2008	2010	(2) Delayed
LA	5	I-5 HOV Buena Vista to Rte 170 (Seg 1)	$ -	$ 34,182	$ 32,655	$ 67,782	$ 50,435	$ 101,964	$ 83,090	2007	2010	(3) Delayed
STA	219	SR 219 Widen To 4 Lanes (Phase 2)	$ -	$ 9,900	$ 9,654	$ 32,762	$ 29,456	$ 42,662	$ 39,110	2010	2010	0 On-time
CAL	4	Angels Camp Native Tree Planting	$ -	$ 200	$ 155	$ 515	$ 515	$ 715	$ 669	2009	2010	(1) Delayed
MER	99	Highway Planting And Irrigation	$ -	$ 350	$ 726	$ 782	$ 734	$ 1,132	$ 1,460	2011	2011	0 On-time
Totals				**$ 456,388**	**$ 475,442**	**$ 1,462,125**	**$ 1,375,465**	**$ 1,918,513**	**$ 1,850,907**			

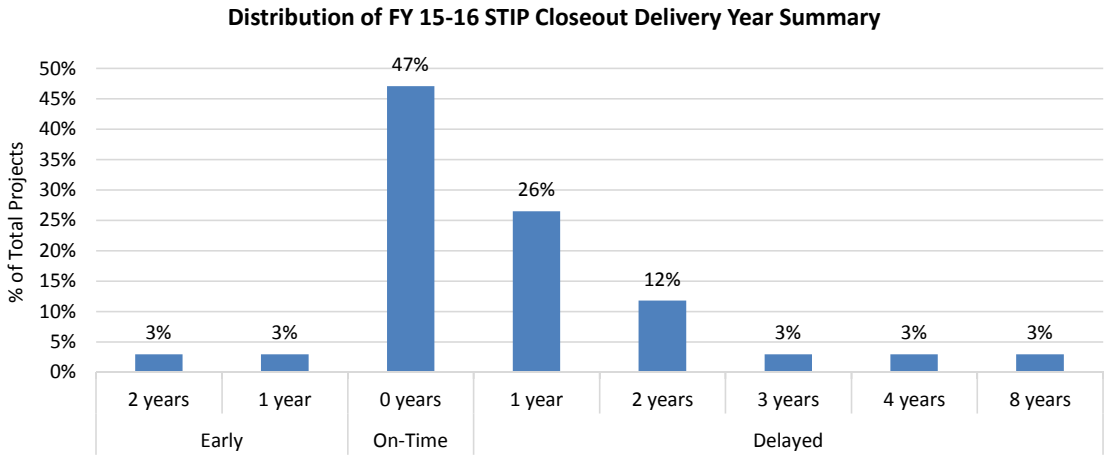
[1] *State Transporation Improvement Program includes projects with one or more components funded from State Transportation Improvement Program funds. Includes all contributor funds on all project components.*

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

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

FY 15-16 STIP Closeout Delivery Year Summary

	Early		On-Time	Delayed				
	2 years	1 year	0 years	1 year	2 years	3 years	4 years	8 years
Number of Projects	1	1	16	9	4	1	1	1
Approved Capital Budget ($1,000's)	$ 294,570	$ 58,178	$ 334,457	$ 295,987	$ 379,321	$ 67,782	$ 5,478	$ 26,352



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

Project Description			Support ($1,000's)			Capital ($1,000's)		Total ($1,000's)		Delivery Year				Construction Output[2]		
			Original Budget[1]	Approved Budget	Actual Costs	Approved Budget	Actual Costs	Approved Budget	Actual Costs	Original	Actual	Years Early, Delayed, or On-time		Original	Actual	Primary Unit
1st Quarter																
MEN	020	ADA Improvements	$ -	$ 85	$ 980	$ 584	$ 552	$ 669	$ 1,532	2013	2013	0	On-time	-	-	-
HUM	101	Hazardous Waste Mitigation	$ -	$ 1,280	$ 810	$ 1,047	$ 992	$ 2,327	$ 1,802	2014	2014	0	On-time	-	-	-
MEN	271	Hazardous Waste Mitigation	$ -	$ 501	$ 628	$ 383	$ 332	$ 884	$ 961	2013	2014	(1)	Delayed	-	-	-
SIS	VAR	Repair Fire Damage	$ 165	$ 165	$ 148	$ 310	$ 188	$ 475	$ 336	2015	2015	0	On-time	-	-	-
SHA	299	Repair Slip Out	$ 210	$ 210	$ 67	$ 802	$ 492	$ 1,012	$ 558	2015	2015	0	On-time	-	-	-
ED	050	Replace Bridge	$ -	$ 1,861	$ 2,355	$ 5,833	$ 4,750	$ 7,694	$ 7,104	2014	2014	0	On-time	-	-	-
SAC	051	Highway Planting	$ -	$ 1,318	$ 1,268	$ 1,611	$ 1,490	$ 2,929	$ 2,759	2006	2008	(2)	Delayed	-	-	-
SUT	099	Shoulder and Centerline Rumble Strips	$ -	$ 870	$ 485	$ 1,752	$ 1,300	$ 2,622	$ 1,785	2014	2014	0	On-time	-	-	-
SAC	VAR	Replace Copper Wires	$ -	$ 210	$ 196	$ 800	$ 463	$ 1,010	$ 659	2014	2014	0	On-time	-	-	-
SAC	VAR	Upgrade Irrigation Controls	$ -	$ 385	$ 233	$ 750	$ 357	$ 1,135	$ 590	2014	2014	0	On-time	-	-	-
GLE	VAR	Landscape improvements	$ -	$ 635	$ 154	$ 2,500	$ 1,119	$ 3,135	$ 1,273	2014	2014	0	On-time	-	-	-
SF	001	Slope Stabilization	$ -	$ 2,499	$ 2,089	$ 4,120	$ 3,742	$ 6,619	$ 5,832	2014	2012	2	Early	-	-	-
CC	680	Restore Roadway	$ -	$ 913	$ 593	$ 897	$ 722	$ 1,810	$ 1,315	2015	2014	1	Early	-	-	-
MRN	101	Construct Retaining Wall	$ 425	$ 425	$ 537	$ 1,700	$ 1,014	$ 2,125	$ 1,551	2015	2015	0	On-time	-	-	-
MRN	001	Construct Retaining Wall	$ 825	$ 825	$ 484	$ 2,650	$ 653	$ 3,475	$ 1,136	2015	2015	0	On-time	-	-	-
SON	001	Repair Culvert	$ -	$ 1,600	$ 1,733	$ 418	$ 346	$ 2,018	$ 2,080	2011	2012	(1)	Delayed	-	-	-
ALA	013	Storm Water Mitigation	$ -	$ 497	$ 595	$ 481	$ 447	$ 978	$ 1,042	2012	2014	(2)	Delayed	-	-	-
ALA	580	Repair Traffic Operations Systems	$ -	$ 375	$ 219	$ 1,500	$ 1,500	$ 1,875	$ 1,719	2013	2013	0	On-time	-	-	-
SM	001	Repair Traffic Operations Systems	$ -	$ 140	$ 230	$ 555	$ 209	$ 695	$ 439	2013	2013	0	On-time	-	-	-
NAP	128	Repair Storm Damage	$ -	$ 2,665	$ 2,011	$ 1,330	$ 1,184	$ 3,995	$ 3,195	2012	2012	0	On-time	-	-	-
MRN	001	Construct Retaining Wall	$ -	$ 1,170	$ 1,723	$ 1,046	$ 859	$ 2,216	$ 2,582	2012	2013	(1)	Delayed	-	-	-
SON	001	Construct Retaining Wall	$ -	$ 1,416	$ 1,928	$ 2,432	$ 1,702	$ 3,848	$ 3,629	2014	2014	0	On-time	-	-	-
SLO	001	ADA Curb Ramps	$ -	$ 2,479	$ 2,158	$ 906	$ 807	$ 3,385	$ 2,964	2014	2014	0	On-time	-	-	-
SCR	001	Replace Guardrail	$ -	$ 2,006	$ 1,978	$ 2,125	$ 1,724	$ 4,131	$ 3,702	2012	2013	(1)	Delayed	-	-	-
MON	001	Pavement Overlay	$ -	$ 640	$ 693	$ 535	$ 418	$ 1,175	$ 1,111	2014	2014	0	On-time	-	-	-
FRE	180	Bridge Replacement	$ -	$ 2,649	$ 2,298	$ 2,720	$ 476	$ 5,369	$ 2,775	2012	2013	(1)	Delayed	-	-	-
KER	014	Bridge Replacement	$ -	$ 4,792	$ 4,727	$ 9,540	$ 8,801	$ 14,332	$ 13,528	2014	2013	1	Early	-	-	-
TUL	245	Reconstruct Embankment	$ -	$ 576	$ 502	$ 313	$ 249	$ 889	$ 751	2013	2013	0	On-time	-	-	-
KIN	000	Upgrade Irrigation Controls	$ -	$ 400	$ 461	$ 2,200	$ 1,858	$ 2,600	$ 2,319	2014	2014	0	On-time	-	-	-
LA	405	ADA Curb Ramp Improvements	$ -	$ 545	$ 780	$ 318	$ 248	$ 863	$ 1,028	2013	2013	0	On-time	-	-	-
LA	005	Rehab Pavement	$ -	$ 13,520	$ 10,209	$ 98,016	$ 95,358	$ 111,536	$ 105,567	2011	2011	0	On-time	-	-	-
LA	005	Soil Stabilization	$ -	$ 1,375	$ 1,294	$ 1,895	$ 1,591	$ 3,270	$ 2,885	2010	2013	(3)	Delayed	-	-	-
LA	090	Storm Water Improvements	$ -	$ 1,576	$ 1,664	$ 2,024	$ 1,864	$ 3,600	$ 3,528	2010	2012	(2)	Delayed	-	-	-
LA	010	Replace Guardrail	$ -	$ 3,315	$ 2,366	$ 2,723	$ 2,865	$ 6,038	$ 5,231	2012	2012	0	On-time	-	-	-
LA	110	Bridge Preservation	$ -	$ 3,239	$ 1,858	$ 1,742	$ 374	$ 4,981	$ 2,233	2014	2014	0	On-time	-	-	-
LA	060	Rehab Roadway	$ -	$ 11,500	$ 7,904	$ 80,371	$ 72,914	$ 91,871	$ 80,818	2011	2011	0	On-time	-	-	-
LA	047	Repair Slope	$ -	$ 400	$ 417	$ 356	$ 208	$ 756	$ 625	2013	2013	0	On-time	-	-	-
LA	002	Construct Debris Wall	$ -	$ 1,365	$ 881	$ 1,555	$ 1,157	$ 2,920	$ 2,039	2013	2013	0	On-time	-	-	-
LA	105	Replace Cooper Wire	$ -	$ 160	$ 330	$ 800	$ 799	$ 960	$ 1,129	2014	2014	0	On-time	-	-	-
SBD	095	Improve Roadway Alignment	$ -	$ 1,839	$ 1,804	$ 2,405	$ 1,985	$ 4,244	$ 3,788	2012	2013	(1)	Delayed	-	-	-
SBD	040	Bridge Replacement	$ -	$ 5,597	$ 4,543	$ 8,667	$ 8,023	$ 14,264	$ 12,566	2012	2012	0	On-time	-	-	-
SBD	210	Grind Pavement	$ -	$ 585	$ 444	$ 57	$ 32	$ 642	$ 477	2015	2014	1	Early	-	-	-
RIV	086	Bridge Replacement	$ -	$ 680	$ 778	$ 2,300	$ 1,972	$ 2,980	$ 2,751	2014	2014	0	On-time	-	-	-

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

Project Description			Support ($1,000's)			Capital ($1,000's)		Total ($1,000's)		Delivery Year				Construction Output[2]		
			Original Budget[1]	Approved Budget	Actual Costs	Approved Budget	Actual Costs	Approved Budget	Actual Costs	Original	Actual	Years Early, Delayed, or On-time		Original	Actual	Primary Unit
RIV	074	Repair Roadway	$ -	$ 233	$ 474	$ 1,500	$ 1,063	$ 1,733	$ 1,537	2014	2014	0	On-time	-	-	-
STA	120	Rehab Pavement	$ -	$ 1,228	$ 697	$ 3,843	$ 3,243	$ 5,071	$ 3,941	2016	2014	2	Early	-	-	-
MER	165	Rehab Pavement	$ -	$ 4,871	$ 3,072	$ 9,017	$ 7,041	$ 13,888	$ 10,112	2015	2014	1	Early	-	-	-
SD	VAR	Rehab Materials Lab	$ -	$ 2,447	$ 2,480	$ 2,473	$ 2,204	$ 4,920	$ 4,685	2011	2013	(2)	Delayed	-	-	-
SD	805	Seismic Retrofit	$ -	$ 3,136	$ 3,364	$ 3,295	$ 2,858	$ 6,431	$ 6,222	2012	2012	0	On-time	-	-	-
SD	052	Rehab Roadway	$ -	$ 1,270	$ 1,814	$ 3,661	$ 3,507	$ 4,931	$ 5,320	2013	2013	0	On-time	-	-	-
ORA	039	Safety Improvements	$ -	$ 700	$ 898	$ 606	$ 570	$ 1,306	$ 1,469	2013	2013	0	On-time	-	-	-
ORA	005	Landscape Improvements	$ -	$ 430	$ 578	$ 2,100	$ 1,508	$ 2,530	$ 2,086	2014	2014	0	On-time	-	-	-
ORA	133	Rehab Roadway	$ 93	$ 93	$ 165	$ 450	$ 664	$ 543	$ 830	2015	2015	0	On-time	-	-	-
2nd Quarter																
HUM	299	Reconstruct Roadway	$ -	$ 5,538	$ 4,092	$ 10,626	$ 9,616	$ 16,164	$ 13,708	2012	2012	0	On-time	-	-	-
HUM	299	Curve Improvement	$ -	$ 1,599	$ 1,360	$ 2,905	$ 2,693	$ 4,504	$ 4,053	2014	2014	0	On-time	-	-	-
MEN	101	Open Grade Overlay	$ -	$ 701	$ 409	$ 766	$ 737	$ 1,467	$ 1,146	2015	2014	1	Early	-	-	-
SIS	005	Bridge Deck Replacment	$ -	$ 5,300	$ 2,767	$ 9,355	$ 8,896	$ 14,655	$ 11,663	2012	2012	0	On-time	-	-	-
LAS	395	Pavement Rehabilitation	$ -	$ 1,619	$ 1,431	$ 2,939	$ 2,879	$ 4,558	$ 4,310	2014	2013	1	Early	-	-	-
SIS	096	Install Cable Wire Net	$ -	$ 310	$ 404	$ 3,785	$ 2,970	$ 4,095	$ 3,373	2014	2014	0	On-time	-	-	-
SIS	005	Slide Repair	$ 310	$ 310	$ 103	$ 1,205	$ 891	$ 1,515	$ 994	2015	2015	0	On-time	-	-	-
SHA	299	Remove Slide Debri	$ 530	$ 530	$ 184	$ 2,550	$ 1,234	$ 3,080	$ 1,418	2015	2015	0	On-time	-	-	-
SUT	099	Highway Planting and Irrigation	$ -	$ 705	$ 549	$ 1,961	$ 1,823	$ 2,666	$ 2,373	2011	2011	0	On-time	-	-	-
SAC	VAR	Modify Irrigation System	$ -	$ 635	$ 229	$ 2,500	$ 1,488	$ 3,135	$ 1,717	2014	2014	0	On-time	-	-	-
YOL	113	Embankment Repair	$ 255	$ 255	$ 228	$ 1,000	$ 600	$ 1,255	$ 828	2015	2015	0	On-time	-	-	-
PLA	080	Repair Storm Damage	$ 80	$ 80	$ 43	$ 350	$ 261	$ 430	$ 304	2015	2015	0	On-time	-	-	-
SAC	050	Bridge Deck Rehab	$ -	$ 11,181	$ 3,796	$ 19,440	$ 18,613	$ 30,621	$ 22,409	2015	2014	1	Early	-	-	-
YOL	005	Install High Friction Surface	$ -	$ 360	$ 198	$ 562	$ 477	$ 922	$ 675	2015	2015	0	On-time	-	-	-
SON	128	Restore Highway Planting	$ -	$ 552	$ 684	$ 436	$ 361	$ 988	$ 1,044	2011	2010	1	Early	-	-	-
NAP	121	Highway Planting	$ -	$ 680	$ 959	$ 530	$ 323	$ 1,210	$ 1,282	2011	2011	0	On-time	-	-	-
MRN	VAR	Repair Storm Damage	$ -	$ 330	$ 316	$ 1,300	$ 554	$ 1,630	$ 870	2014	2014	0	On-time	-	-	-
SCL	880	Repair Storm Damage	$ -	$ 210	$ 221	$ 700	$ 624	$ 910	$ 845	2014	2014	0	On-time	-	-	-
ALA	VAR	Repair Storm Damage	$ -	$ 430	$ 435	$ 1,700	$ 1,120	$ 2,130	$ 1,555	2014	2014	0	On-time	-	-	-
SOL	113	Construct Safety Barrier	$ -	$ 275	$ 472	$ 326	$ 251	$ 601	$ 723	2014	2014	0	On-time	-	-	-
SF	101	Repair Storm Damage	$ 165	$ 165	$ 154	$ 650	$ 353	$ 815	$ 508	2015	2015	0	On-time	-	-	-
SB	101	Replace Overhead Signs	$ -	$ 570	$ 597	$ 784	$ 743	$ 1,354	$ 1,340	2014	2014	0	On-time	-	-	-
SCR	001	Install CC TV & Signs	$ -	$ 1,821	$ 1,156	$ 519	$ 465	$ 2,340	$ 1,621	2012	2013	(1)	Delayed	-	-	-
SLO	046	Pavement Preservation	$ -	$ 1,693	$ 1,214	$ 6,158	$ 5,434	$ 7,851	$ 6,648	2014	2014	0	On-time	-	-	-
SB	001	Upgrade Curb Ramp & Sidewalk	$ -	$ 1,796	$ 1,728	$ 939	$ 402	$ 2,735	$ 2,131	2014	2014	0	On-time	-	-	-
MON	101	Install Median Barrier & Rumble Strips	$ -	$ 1,267	$ 1,103	$ 2,376	$ 2,036	$ 3,643	$ 3,139	2014	2014	0	On-time	-	-	-
FRE	180	Construct Concrete Guard Rail	$ -	$ 577	$ 1,068	$ 1,456	$ 1,390	$ 2,033	$ 2,458	2015	2014	1	Early	-	-	-
KER	223	Widen & Install Rumble Strips	$ -	$ 1,261	$ 1,131	$ 3,825	$ 3,363	$ 5,086	$ 4,495	2014	2014	0	On-time	-	-	-
KER	099	Relocate Turn Lane	$ -	$ 1,492	$ 1,520	$ 1,233	$ 1,037	$ 2,725	$ 2,558	2013	2013	0	On-time	-	-	-
FRE	145	Construct Roundabout	$ -	$ 1,737	$ 2,278	$ 1,922	$ 1,518	$ 3,659	$ 3,795	2012	2014	(2)	Delayed	-	-	-
FRE	041	Install Concrete Barriers	$ -	$ 810	$ 1,194	$ 1,044	$ 888	$ 1,854	$ 2,083	2014	2014	0	On-time	-	-	-
LA	005	Roadway Widening for HOV and Trucks	$ -	$ 27,274	$ 16,526	$ 49,088	$ 46,429	$ 76,362	$ 62,954	2011	2011	0	On-time	-	-	-
LA	710	Highway Planting & Irrigation	$ -	$ 955	$ 882	$ 1,086	$ 920	$ 2,041	$ 1,802	2003	2008	(5)	Delayed	-	-	-
LA	005	Pavement Rehabilitation	$ -	$ 2,420	$ 2,857	$ 12,484	$ 11,236	$ 14,904	$ 14,093	2012	2012	0	On-time	-	-	-
LA	005	Pavement Rehabilitation	$ -	$ 2,440	$ 2,650	$ 11,171	$ 10,263	$ 13,611	$ 12,913	2012	2012	0	On-time	-	-	-

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Project Description			Support ($1,000's)			Capital ($1,000's)		Total ($1,000's)		Delivery Year				Construction Output[2]		
			Original Budget[1]	Approved Budget	Actual Costs	Approved Budget	Actual Costs	Approved Budget	Actual Costs	Original	Actual	Years Early, Delayed, or On-time		Original	Actual	Primary Unit
LA	405	Construct Auxiliary Lane	$ -	$ 13,500	$ 14,079	$ 23,006	$ 21,931	$ 36,506	$ 36,010	2007	2010	(3)	Delayed	-	-	-
LA	039	Clear Debris & Restore Failed Drainage	$ -	$ 375	$ 627	$ 2,500	$ 1,348	$ 2,875	$ 1,975	2014	2014	0	On-time	-	-	-
LA	091	Bridge Maintenance	$ -	$ 560	$ 908	$ 1,356	$ 1,095	$ 1,916	$ 2,003	2012	2012	0	On-time	-	-	-
LA	710	Storm Water Mitigation	$ -	$ 2,981	$ 2,787	$ 3,355	$ 3,269	$ 6,336	$ 6,057	2013	2013	0	On-time	-	-	-
LA	060	Widen Off-Ramp	$ -	$ 1,537	$ 2,345	$ 2,139	$ 2,015	$ 3,676	$ 4,360	2010	2013	(3)	Delayed	-	-	-
LA	002	Clear Fire Debris	$ -	$ 1,500	$ 1,051	$ 5,000	$ 4,412	$ 6,500	$ 5,463	2014	2015	(1)	Delayed	-	-	-
LA	010	Upgrade Landscape Irrigation Control	$ -	$ 240	$ 1,082	$ 1,200	$ 966	$ 1,440	$ 2,047	2014	2015	(1)	Delayed	-	-	-
RIV	371	Install Rumble Strips	$ -	$ 481	$ 477	$ 150	$ 79	$ 631	$ 555	2015	2015	0	On-time	-	-	-
RIV	062	Install Markers & Rumble Strips	$ -	$ 580	$ 437	$ 115	$ 96	$ 695	$ 533	2015	2015	0	On-time	-	-	-
SBD	015	Bridge Rehabilitation	$ -	$ 1,297	$ 1,186	$ 643	$ 550	$ 1,940	$ 1,736	2013	2014	(1)	Delayed	-	-	-
SBD	395	Install Left Turn Phase	$ -	$ 781	$ 1,377	$ 391	$ 341	$ 1,172	$ 1,717	2014	2014	0	On-time	-	-	-
SBD	210	Upgrade Irrigation System	$ -	$ 300	$ 775	$ 1,733	$ 853	$ 2,033	$ 1,628	2014	2014	0	On-time	-	-	-
AMA	016	Install Rumble Strips	$ -	$ 444	$ 267	$ 356	$ 277	$ 800	$ 544	2015	2015	0	On-time	-	-	-
MER	140	Install Flashing Beacons	$ -	$ 320	$ 291	$ 340	$ 185	$ 660	$ 476	2016	2015	1	Early	-	-	-
MER	005	Bridge Rehabilitation	$ -	$ 1,221	$ 1,072	$ 1,744	$ 1,281	$ 2,965	$ 2,353	2014	2014	0	On-time	-	-	-
TUO	108	Storm Water Mitigation	$ -	$ 998	$ 462	$ 940	$ 896	$ 1,938	$ 1,358	2015	2014	1	Early	-	-	-
MER	165	Install Rumble Strips	$ -	$ 672	$ 464	$ 675	$ 478	$ 1,347	$ 942	2015	2014	1	Early	-	-	-
SD	005	Construction Barrier	$ -	$ 2,031	$ 2,120	$ 3,302	$ 3,112	$ 5,333	$ 5,232	2013	2013	0	On-time	-	-	-
ORA	091	Safety Improvements	$ -	$ 558	$ 906	$ 691	$ 642	$ 1,249	$ 1,548	2013	2013	0	On-time	-	-	-
ORA	039	ADA Curb Ramps	$ -	$ 1,917	$ 2,117	$ 2,416	$ 2,315	$ 4,333	$ 4,432	2013	2013	0	On-time	-	-	-
ORA	039	Improve Lighting & Signal Modifications	$ -	$ 1,040	$ 1,226	$ 688	$ 661	$ 1,728	$ 1,887	2013	2013	0	On-time	-	-	-
ORA	055	Improve pavement access	$ -	$ 480	$ 520	$ 1,170	$ 1,061	$ 1,650	$ 1,582	2014	2014	0	On-time	-	-	-
ORA	005	Repair Failed Slope	$ 143	$ 143	$ 194	$ 500	$ 369	$ 643	$ 562	2015	2015	0	On-time	-	-	-
3rd Quarter																
HUM	101	Cable Median Barrier	$ -	$ 558	$ 1,018	$ 1,116	$ 985	$ 1,674	$ 2,003	2013	2013	0	On-time	-	-	-
HUM	036	Repair Slide	$ -	$ 918	$ 605	$ 266	$ 213	$ 1,184	$ 818	2014	2015	(1)	Delayed	-	-	-
HUM	096	Repair Slide	$ -	$ 828	$ 293	$ 1,685	$ 85	$ 2,513	$ 378	2014	2015	(1)	Delayed	-	-	-
HUM	299	Repair Slide	$ 300	$ 300	$ 254	$ 2,525	$ 2,500	$ 2,825	$ 2,754	2015	2015	0	On-time	-	-	-
SHA	299	Hat Creek Curve Improvement	$ -	$ 903	$ 1,511	$ 3,864	$ 3,680	$ 4,767	$ 5,191	2014	2014	0	On-time	-	-	-
SIS	005	Pavement Rehab	$ -	$ 5,300	$ 7,443	$ 50,759	$ 46,692	$ 56,059	$ 54,135	2011	2011	0	On-time	-	-	-
SHA	005	Bridge Maintenance	$ -	$ 2,123	$ 2,077	$ 6,864	$ 5,975	$ 8,987	$ 8,052	2013	2013	0	On-time	-	-	-
SHA	044	Curve Improvement	$ -	$ 743	$ 692	$ 478	$ 309	$ 1,221	$ 1,000	2015	2015	0	On-time	-	-	-
YUB	070	Roadway Rehabilitation	$ -	$ 8,250	$ 14,126	$ 35,231	$ 30,737	$ 43,481	$ 44,864	2011	2011	0	On-time	-	-	-
YUB	065	Bridge Scour Mitigation	$ -	$ 1,143	$ 1,547	$ 505	$ 367	$ 1,648	$ 1,914	2012	2015	(3)	Delayed	-	-	-
SAC	160	Pavement Rehab	$ -	$ 1,368	$ 1,220	$ 4,887	$ 3,841	$ 6,255	$ 5,062	2014	2014	0	On-time	-	-	-
NEV	080	Paint Structures	$ -	$ 984	$ 757	$ 1,728	$ 1,554	$ 2,712	$ 2,311	2013	2014	(1)	Delayed	-	-	-
BUT	099	Replace Bridge	$ -	$ 3,920	$ 5,358	$ 9,160	$ 7,270	$ 13,080	$ 12,628	2012	2013	(1)	Delayed	-	-	-
SAC	080	Vegetation Control and Gore Paving	$ -	$ 526	$ 672	$ 2,008	$ 1,921	$ 2,534	$ 2,593	2015	2015	0	On-time	-	-	-
SAC	160	HMA Overlay	$ -	$ 1,187	$ 760	$ 2,865	$ 2,498	$ 4,052	$ 3,257	2014	2014	0	On-time	-	-	-
SAC	005	High Friction Surface Treatment	$ -	$ 409	$ 339	$ 518	$ 416	$ 927	$ 755	2015	2014	1	Early	-	-	-
PLA	080	Line gutter	$ -	$ 1,925	$ 1,452	$ 3,950	$ 3,727	$ 5,875	$ 5,180	2014	2014	0	On-time	-	-	-
VAR	VAR	Methacrylate Bridge Deck and Repair Joint Seals	$ -	$ 1,522	$ 1,203	$ 5,215	$ 4,702	$ 6,737	$ 5,905	2014	2014	0	On-time	-	-	-
SCL	082	Bridge Seismic Restoration	$ -	$ 1,150	$ 2,007	$ 1,550	$ 1,261	$ 2,700	$ 3,268	2015	2014	1	Early	-	-	-
SCL	085	Bridge Preventive Maintenance	$ -	$ 830	$ 524	$ 2,328	$ 1,766	$ 3,158	$ 2,290	2014	2014	0	On-time	-	-	-
ALA	880	Replace Bridge	$ -	$ 48,152	$ 48,670	$ 176,097	$ 150,596	$ 224,249	$ 199,266	2005	2007	(2)	Delayed	-	-	-

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Project Description			Support ($1,000's)			Capital ($1,000's)		Total ($1,000's)		Delivery Year				Construction Output[2]		
			Original Budget[1]	Approved Budget	Actual Costs	Approved Budget	Actual Costs	Approved Budget	Actual Costs	Original	Actual	Years Early, Delayed, or On-time		Original	Actual	Primary Unit
SCL	VAR	Upgrade Landscape Irritation Controls	$ -	$ 680	$ 622	$ 2,700	$ 2,650	$ 3,380	$ 3,273	2014	2014	0	On-time	-	-	-
SOL	012	Construct Left Turn and Widen Shoulders	$ -	$ 5,733	$ 8,015	$ 10,507	$ 8,419	$ 16,240	$ 16,434	2010	2013	(3)	Delayed	-	-	-
MRN	001	Repair Slide	$ 705	$ 705	$ 938	$ 2,250	$ 908	$ 2,955	$ 1,846	2015	2015	0	On-time	-	-	-
SON	128	Repair Slipout	$ -	$ 1,317	$ 1,225	$ 1,371	$ 1,148	$ 2,688	$ 2,373	2014	2014	0	On-time	-	-	-
CC	004	Repair Slab and Joint Seal	$ 150	$ 150	$ 233	$ 500	$ 391	$ 650	$ 624	2015	2015	0	On-time	-	-	-
ALA	013	Repair Storm Damage and Pump Station	$ 150	$ 150	$ 138	$ 510	$ 253	$ 660	$ 391	2015	2015	0	On-time	-	-	-
SM	101	Repair Storm Damage	$ 190	$ 190	$ 174	$ 750	$ 638	$ 940	$ 812	2015	2015	0	On-time	-	-	-
SCL	130	Repair Storm Damage	$ 480	$ 480	$ 462	$ 1,820	$ 1,319	$ 2,300	$ 1,781	2015	2015	0	On-time	-	-	-
SCL	087	Repair Storm Damage	$ -	$ 243	$ 311	$ 419	$ 276	$ 662	$ 587	2015	2015	0	On-time	-	-	-
CC	080	Repair Slipout	$ 130	$ 130	$ 338	$ 500	$ 144	$ 630	$ 482	2015	2015	0	On-time	-	-	-
SON	001	Reconstruct Embankment	$ -	$ 1,670	$ 1,723	$ 842	$ 575	$ 2,512	$ 2,297	2012	2013	(1)	Delayed	-	-	-
SB	101	Highway Planting	$ -	$ 295	$ 536	$ 863	$ 808	$ 1,158	$ 1,344	2012	2011	1	Early	-	-	-
MON	101	CAPM	$ -	$ 1,728	$ 1,274	$ 5,650	$ 4,896	$ 7,378	$ 6,170	2015	2014	1	Early	-	-	-
MON	001	Temporary Signal and Railing	$ -	$ 184	$ 443	$ 585	$ 585	$ 769	$ 1,028	2014	2014	0	On-time	-	-	-
SCR	017	Soil Nail Wall and Widening	$ -	$ 1,815	$ 1,739	$ 3,961	$ 3,264	$ 5,776	$ 5,003	2014	2014	0	On-time	-	-	-
MON	001	Stabalize Rockfall and Replace Culverts	$ 438	$ 438	$ 374	$ 1,000	$ 970	$ 1,438	$ 1,344	2015	2015	0	On-time	-	-	-
TUL	099	Roadway Rehabilitation	$ -	$ 1,243	$ 1,420	$ 7,566	$ 6,537	$ 8,809	$ 7,957	2016	2014	2	Early	-	-	-
KER	058	Widen Shoulders and Install Rumble Strips	$ -	$ 1,320	$ 1,109	$ 3,068	$ 2,432	$ 4,388	$ 3,540	2014	2014	0	On-time	-	-	-
KER	178	Median Island Improvement	$ -	$ 1,515	$ 1,639	$ 2,113	$ 1,723	$ 3,628	$ 3,362	2014	2014	0	On-time	-	-	-
MAD	152	Median Barrier and Rumble Strips	$ -	$ 1,185	$ 1,316	$ 1,990	$ 1,665	$ 3,175	$ 2,981	2015	2014	1	Early	-	-	-
FRE	168	Construct Median Barrier	$ -	$ 667	$ 438	$ 233	$ 202	$ 900	$ 640	2015	2015	0	On-time	-	-	-
FRE	041	Deck Seal	$ -	$ 805	$ 613	$ 2,177	$ 1,831	$ 2,982	$ 2,445	2014	2014	0	On-time	-	-	-
FRE	041	CAPM	$ -	$ 759	$ 749	$ 2,027	$ 1,805	$ 2,786	$ 2,554	2014	2014	0	On-time	-	-	-
KER	005	Wire Theft Repair	$ -	$ 1,440	$ 1,057	$ 1,217	$ 1,074	$ 2,657	$ 2,131	2013	2014	(1)	Delayed	-	-	-
KIN	198	Rehab Bridge Decks	$ -	$ 2,395	$ 3,045	$ 6,301	$ 5,702	$ 8,696	$ 8,747	2012	2012	0	On-time	-	-	-
LA	101	Uprgrade Bridge Railing	$ -	$ 2,116	$ 3,294	$ 3,560	$ 3,107	$ 5,676	$ 6,401	2011	2013	(2)	Delayed	-	-	-
VEN	101	Modify Traffic Signal	$ -	$ 617	$ 595	$ 283	$ 248	$ 900	$ 843	2014	2014	0	On-time	-	-	-
LA	105	Safety Improvements	$ -	$ 505	$ 1,159	$ 933	$ 886	$ 1,438	$ 2,045	2013	2013	0	On-time	-	-	-
LA	710	Upgrade Landscape Irrigation System	$ -	$ 240	$ 475	$ 1,200	$ 1,143	$ 1,440	$ 1,618	2014	2015	(1)	Delayed	-	-	-
LA	210	Upgrade Landscape Irrigation System	$ -	$ 150	$ 197	$ 600	$ 535	$ 750	$ 731	2014	2015	(1)	Delayed	-	-	-
LA	105	Replace Steel Grates	$ 80	$ 80	$ 129	$ 400	$ 400	$ 480	$ 529	2015	2015	0	On-time	-	-	-
SBD	015	Upgrade Safety Roadside Rest Area	$ -	$ 5,584	$ 6,309	$ 9,276	$ 9,029	$ 14,860	$ 15,339	2010	2014	(4)	Delayed	-	-	-
SBD	040	CAPM	$ -	$ 4,313	$ 2,863	$ 18,264	$ 16,476	$ 22,577	$ 19,338	2012	2014	(2)	Delayed	-	-	-
RIV	015	Methacrylate Bridge Deck and Repair Joint Seals	$ 645	$ 645	$ 464	$ 534	$ 414	$ 1,179	$ 878	2015	2015	0	On-time	-	-	-
SBD	015	Install Irrigation Controllers	$ -	$ 360	$ 722	$ 1,857	$ 1,817	$ 2,217	$ 2,538	2014	2014	0	On-time	-	-	-
RIV	111	Replace Bridge	$ -	$ 3,809	$ 4,162	$ 4,531	$ 4,277	$ 8,340	$ 8,438	2012	2013	(1)	Delayed	-	-	-
SJ	005	Install ADA Curb Ramps	$ -	$ 795	$ 1,240	$ 644	$ 568	$ 1,439	$ 1,809	2014	2014	0	On-time	-	-	-
SJ	004	Treat Bridge Deck and Replace Joint Seals	$ -	$ 2,135	$ 907	$ 2,746	$ 2,202	$ 4,881	$ 3,109	2014	2014	0	On-time	-	-	-
MER	059	Pavement Rehab	$ 446	$ 446	$ 398	$ 2,459	$ 1,914	$ 2,905	$ 2,312	2015	2015	0	On-time	-	-	-
TUO	108	Safety Improvements	$ 333	$ 333	$ 231	$ 258	$ 230	$ 591	$ 461	2015	2015	0	On-time	-	-	-
SJ	VAR	Replace Irrigation System	$ 86	$ 86	$ 179	$ 350	$ 348	$ 436	$ 527	2015	2015	0	On-time	-	-	-
SD	905	Roadway Rehabilitation	$ -	$ 800	$ 1,231	$ 3,709	$ 2,939	$ 4,509	$ 4,170	2014	2014	0	On-time	-	-	-

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Project Description			Support ($1,000's)			Capital ($1,000's)		Total ($1,000's)		Delivery Year				Construction Output[2]		
			Original Budget[1]	Approved Budget	Actual Costs	Approved Budget	Actual Costs	Approved Budget	Actual Costs	Original	Actual	Years Early, Delayed, or On-time		Original	Actual	Primary Unit
59V	005	Upgrade Irrigation System	$ -	$ 300	$ 190	$ 1,900	$ 1,248	$ 2,200	$ 1,437	2014	2014	0	On-time	-	-	-
ORA	074	Establish Planting and Install Irrigation System	$ -	$ 879	$ 790	$ 478	$ 379	$ 1,357	$ 1,170	2006	2010	(4)	Delayed	-	-	-
ORA	055	Revegetate Slopes	$ -	$ 1,100	$ 1,066	$ 1,066	$ 886	$ 2,166	$ 1,952	2015	2014	1	Early	-	-	-
4th Quarter																
MEN	128	Permanent Restoration	$ -	$ 5,935	$ 4,022	$ 4,211	$ 3,955	$ 10,146	$ 7,978	2009	2013	(4)	Delayed	-	-	-
MEN	101	Rehabilitate Pavement	$ -	$ 2,492	$ 1,561	$ 9,586	$ 8,488	$ 12,078	$ 10,049	2014	2014	0	On-time	-	-	-
LAK	020	Construct Roundabout	$ -	$ 1,698	$ 3,040	$ 4,717	$ 3,863	$ 6,415	$ 6,903	2013	2014	(1)	Delayed	-	-	-
HUM	101	Repair Bridge Damage	$ 770	$ 770	$ 37	$ 3,030	$ 77	$ 3,800	$ 113	2015	2015	0	On-time	-	-	-
HUM	101	Reconstruct Roadway	$ -	$ 1,239	$ 1,135	$ 1,360	$ 1,234	$ 2,599	$ 2,369	2014	2015	(1)	Delayed	-	-	-
HUM	036	Stabilize Roadway	$ -	$ 950	$ 995	$ 1,113	$ 1,028	$ 2,063	$ 2,023	2014	2015	(1)	Delayed	-	-	-
MEN	001	Repair Storm Damage	$ 130	$ 130	$ 128	$ 610	$ 400	$ 740	$ 529	2015	2015	0	On-time	-	-	-
SHA	044	CAPM	$ -	$ 1,371	$ 1,197	$ 5,911	$ 5,130	$ 7,282	$ 6,327	2015	2014	1	Early	-	-	-
SHA	005	Replace Overhead Signs	$ 550	$ 550	$ 445	$ 907	$ 781	$ 1,457	$ 1,226	2015	2015	0	On-time	-	-	-
VAR	VAR	Install Water Wells	$ 280	$ 280	$ 254	$ 765	$ 634	$ 1,045	$ 888	2015	2015	0	On-time	-	-	-
ED	089	Stormwater Quality	$ -	$ 8,290	$ 9,034	$ 15,861	$ 11,696	$ 24,151	$ 20,731	2010	2013	(3)	Delayed	-	-	-
SUT	020	Replace Signal Poles	$ -	$ 760	$ 801	$ 483	$ 342	$ 1,243	$ 1,143	2015	2015	0	On-time	-	-	-
YUB	020	Rehabilitate Pavement	$ -	$ 1,519	$ 1,336	$ 4,970	$ 3,958	$ 6,489	$ 5,294	2015	2014	1	Early	-	-	-
NEV	089	Rehabilitate Pavement	$ -	$ 977	$ 818	$ 4,689	$ 3,751	$ 5,666	$ 4,569	2014	2014	0	On-time	-	-	-
59V	VAR	High Friction Surface Treatment	$ 440	$ 440	$ 488	$ 739	$ 645	$ 1,179	$ 1,133	2015	2015	0	On-time	-	-	-
VAR	005	Install Vehicle Pullouts/Turnarounds	$ 895	$ 895	$ 422	$ 559	$ 458	$ 1,454	$ 880	2015	2015	0	On-time	-	-	-
VAR	099	Install Median Barrier	$ 596	$ 596	$ 292	$ 962	$ 842	$ 1,558	$ 1,134	2015	2015	0	On-time	-	-	-
SAC	005	Upgrade Irrigation System	$ 105	$ 105	$ 121	$ 745	$ 222	$ 850	$ 343	2015	2015	0	On-time	-	-	-
SCL	152	Environmental Mitigation	$ -	$ 555	$ 936	$ 891	$ 736	$ 1,446	$ 1,672	2011	2011	0	On-time	-	-	-
ALA	580	Environmental Mitigation	$ -	$ 550	$ 853	$ 2,238	$ 704	$ 2,788	$ 1,557	2011	2011	0	On-time	-	-	-
SCL	009	Improve Sight Distance	$ -	$ 4,900	$ 6,800	$ 8,481	$ 6,930	$ 13,381	$ 13,731	2010	2013	(3)	Delayed	-	-	-
SM	280	Repair Storm Damage	$ -	$ 853	$ 662	$ 390	$ 293	$ 1,243	$ 955	2015	2015	0	On-time	-	-	-
SON	012	Install Traffic Signals	$ -	$ 2,253	$ 3,062	$ 1,439	$ 1,103	$ 3,692	$ 4,165	2010	2012	(2)	Delayed	-	-	-
SCL	152	Rehabilitate Pavement	$ -	$ 2,431	$ 1,583	$ 5,332	$ 4,775	$ 7,763	$ 6,359	2014	2014	0	On-time	-	-	-
SCL	101	Ramp Metering and TOS	$ -	$ 3,200	$ 7,134	$ 13,840	$ 12,763	$ 17,040	$ 19,898	2013	2014	(1)	Delayed	-	-	-
SM	001	Install BASE System	$ 1,950	$ 1,950	$ 682	$ 7,781	$ 5,659	$ 9,731	$ 6,340	2015	2015	0	On-time	-	-	-
SOL	037	Repair Earthquake Damage	$ 229	$ 229	$ 215	$ 915	$ 595	$ 1,144	$ 810	2015	2015	0	On-time	-	-	-
SCL	280	Reconstruct Embankment	$ -	$ 1,203	$ 1,457	$ 1,569	$ 1,235	$ 2,772	$ 2,691	2015	2015	0	On-time	-	-	-
MRN	001	Place Rock Slope Protection	$ -	$ 985	$ 1,482	$ 528	$ 394	$ 1,513	$ 1,876	2013	2014	(1)	Delayed	-	-	-
SF	280	Replace Bridge Rail	$ -	$ 5,165	$ 4,576	$ 10,959	$ 10,489	$ 16,124	$ 15,065	2012	2014	(2)	Delayed	-	-	-
ALA	013	Relocate Signs	$ -	$ 1,103	$ 987	$ 872	$ 724	$ 1,975	$ 1,712	2014	2014	0	On-time	-	-	-
ALA	880	Repair Scour	$ 150	$ 150	$ 579	$ 500	$ 123	$ 650	$ 703	2016	2016	0	On-time	-	-	-
NAP	029	Repair Earthquake Damage	$ 195	$ 195	$ 288	$ 770	$ 632	$ 965	$ 921	2015	2015	0	On-time	-	-	-
SCL	280	Rehabilitate Pavement	$ -	$ 1,404	$ 1,564	$ 5,247	$ 4,728	$ 6,651	$ 6,292	2014	2014	0	On-time	-	-	-
SM	000	ADA Improvements	$ -	$ 1,213	$ 1,534	$ 1,197	$ 981	$ 2,410	$ 2,515	2014	2014	0	On-time	-	-	-
NAP	029	Repair Earthquake Damage	$ 500	$ 500	$ 630	$ 2,700	$ 1,942	$ 3,200	$ 2,572	2015	2015	0	On-time	-	-	-
VAR	VAR	Repair Earthquake Damage	$ 153	$ 153	$ 239	$ 610	$ 594	$ 763	$ 833	2015	2015	0	On-time	-	-	-
SOL	080	Repair Drainage System	$ -	$ 509	$ 599	$ 288	$ 173	$ 797	$ 773	2015	2015	0	On-time	-	-	-
SBT	025	Curve Realignment	$ -	$ 2,410	$ 2,222	$ 2,616	$ 2,139	$ 5,026	$ 4,360	2014	2014	0	On-time	-	-	-
SLO	101	Rehabilitate Pavement	$ -	$ 1,245	$ 1,288	$ 3,668	$ 3,058	$ 4,913	$ 4,346	2015	2014	1	Early	-	-	-
SCR	000	Upgrade Irrigation System	$ -	$ 510	$ 687	$ 1,700	$ 817	$ 2,210	$ 1,504	2014	2014	0	On-time	-	-	-
MON	068	Repair Scour	$ 211	$ 211	$ 98	$ 370	$ 162	$ 581	$ 260	2016	2016	0	On-time	-	-	-
KIN	198	Rehabilitate Pavement	$ -	$ 2,556	$ 1,934	$ 5,889	$ 4,765	$ 8,445	$ 6,699	2015	2014	1	Early	-	-	-

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

Project Description			Support ($1,000's)			Capital ($1,000's)		Total ($1,000's)		Delivery Year				Construction Output[2]		
			Original Budget[1]	Approved Budget	Actual Costs	Approved Budget	Actual Costs	Approved Budget	Actual Costs	Original	Actual	Years Early, Delayed, or On-time		Original	Actual	Primary Unit
KIN	005	Rehabilitate Pavement	$ -	$ 2,018	$ 1,818	$ 15,709	$ 13,123	$ 17,727	$ 14,941	2014	2014	0	On-time	-	-	-
KIN	198	Rehabilitate Pavement	$ -	$ 1,168	$ 1,089	$ 5,153	$ 4,174	$ 6,321	$ 5,263	2014	2014	0	On-time	-	-	-
LA	005	Stormwater Quality	$ -	$ 7,269	$ 5,029	$ 9,612	$ 9,231	$ 16,881	$ 14,260	2010	2012	(2)	Delayed	-	-	-
LA	138	Rehabilitate Pavement	$ -	$ 3,260	$ 2,155	$ 9,697	$ 6,410	$ 12,957	$ 8,565	2014	2014	0	On-time	-	-	-
VEN	101	Slope Stabilization	$ 145	$ 145	$ 180	$ 950	$ 857	$ 1,095	$ 1,037	2015	2015	0	On-time	-	-	-
LA	210	Upgrade Irrigation System	$ -	$ 240	$ 403	$ 1,200	$ 1,167	$ 1,440	$ 1,571	2014	2014	0	On-time	-	-	-
59V	VAR	Install Water Conservation Features	$ -	$ 120	$ 210	$ 600	$ 482	$ 720	$ 691	2014	2014	0	On-time	-	-	-
RIV	060	Repair Damaged Bridge	$ 525	$ 525	$ 569	$ 2,000	$ 652	$ 2,525	$ 1,221	2015	2015	0	On-time	-	-	-
SBD	040	Replace Irrigation Equipment	$ -	$ 109	$ 206	$ 500	$ 333	$ 609	$ 540	2014	2014	0	On-time	-	-	-
RIV	015	Methacrylate Bridge Decks	$ 658	$ 658	$ 447	$ 1,214	$ 801	$ 1,872	$ 1,248	2015	2015	0	On-time	-	-	-
RIV	010	Install Water Conservation Features	$ -	$ 98	$ 117	$ 350	$ 127	$ 448	$ 245	2014	2014	0	On-time	-	-	-
SBD	010	Upgrade Irrigation System	$ -	$ 360	$ 631	$ 2,159	$ 1,654	$ 2,519	$ 2,286	2014	2014	0	On-time	-	-	-
SJ	012	Bridge Rehabilitation	$ -	$ 342	$ 512	$ 1,512	$ 752	$ 1,854	$ 1,264	2014	2014	0	On-time	-	-	-
TUO	049	Overlay	$ 232	$ 232	$ 181	$ 1,274	$ 1,039	$ 1,506	$ 1,220	2015	2015	0	On-time	-	-	-
SJ	088	Replace End Treatments	$ -	$ 1,867	$ 2,870	$ 1,598	$ 1,374	$ 3,465	$ 4,244	2014	2014	0	On-time	-	-	-
ALP	088	Rehabilitate Pavement	$ 1,255	$ 1,255	$ 854	$ 7,955	$ 6,982	$ 9,210	$ 7,836	2017	2015	2	Early	-	-	-
SJ	005	Install Median Barrier	$ -	$ 1,486	$ 560	$ 1,528	$ 1,363	$ 3,014	$ 1,923	2016	2016	0	On-time	-	-	-
SJ	088	Install Rumble Strips	$ 351	$ 351	$ 168	$ 190	$ 142	$ 541	$ 310	2015	2015	0	On-time	-	-	-
STA	120	Rehabilitate Pavement	$ 876	$ 876	$ 753	$ 3,586	$ 3,107	$ 4,462	$ 3,860	2017	2015	2	Early	-	-	-
SJ	012	Repair Bridge Deck/Replace Control House	$ -	$ 2,727	$ 4,684	$ 6,859	$ 5,553	$ 9,586	$ 10,236	2012	2014	(2)	Delayed	-	-	-
SD	805	Auxiliary lanes Landscape	$ -	$ 232	$ 511	$ 652	$ 642	$ 884	$ 1,153	2011	2011	0	On-time	-	-	-
SD	005	Uprgrade End Treatments	$ -	$ 3,680	$ 4,322	$ 8,624	$ 7,883	$ 12,304	$ 12,205	2013	2013	0	On-time	-	-	-
SD	015	Infiltration Systems	$ -	$ 2,964	$ 2,352	$ 3,806	$ 3,049	$ 6,770	$ 5,401	2010	2013	(3)	Delayed	-	-	-
IMP	111	Rehabilitate Pavement	$ 995	$ 995	$ 591	$ 3,551	$ 3,136	$ 4,546	$ 3,727	2015	2015	0	On-time	-	-	-
IMP	078	Repair Storm Damage	$ 150	$ 150	$ 74	$ 600	$ 139	$ 750	$ 213	2016	2016	0	On-time	-	-	-
ORA	055	Regrade Slope and Install Drainage	$ -	$ 4,700	$ 4,505	$ 6,065	$ 4,032	$ 10,765	$ 8,537	2012	2013	(1)	Delayed	-	-	-
ORA	073	Rehabilitate Pavement	$ -	$ 1,985	$ 1,936	$ 3,112	$ 2,619	$ 5,097	$ 4,554	2013	2014	(1)	Delayed	-	-	-
ORA	405	Upgrade Irrigation System	$ 119	$ 119	$ 133	$ 888	$ 711	$ 1,007	$ 844	2015	2015	0	On-time	-	-	-
Totals				**$ 446,455**	**$ 427,939**	**$ 1,168,596**	**$ 1,007,827**	**$ 1,615,051**	**$ 1,435,767**							

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

[2] *New project in 2016 Program Document or later.*

FY 2015-16 SHOPP Project Closeout Support Expenditure Analysis

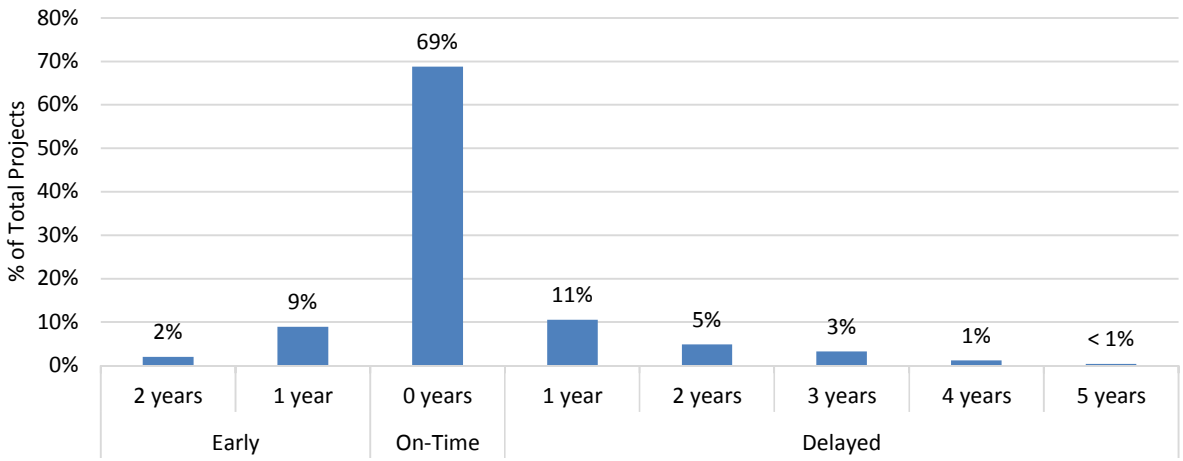
Percentage of Budget Expended	Number of Projects	Percentage of Projects	Approved Support Budget ($1,000's)	Actual Support Cost ($1,000's)	Over (Under) Budget ($1,000's)	% Over (Under) Budget
< 80%	71	29%	$ 165,972	$ 103,771	$ (62,201)	
80% to 120%	99	40%	$ 201,095	$ 200,384	$ (711)	
> 120%	77	31%	$ 79,388	$ 123,784	$ 44,396	
Total	**247**	**100%**	**$ 446,455**	**$ 427,939**	**$ (18,516)**	**(4%)**

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

FY 15-16 SHOPP Closeout Delivery Year Summary

	Early		On-Time	Delayed				
	2 years	1 year	0 years	1 year	2 years	3 years	4 years	5 years
Number of Projects	5	22	170	26	12	8	3	1
Approved Capital Budget ($1,000's)	$ 27,070	$ 78,577	$ 677,980	$ 68,422	$ 235,297	$ 66,199	$ 13,965	$ 1,086

Distribution of FY 15-16 SHOPP Closeout Delivery Year Summary



(C) Miscellaneous Project Delivery Reporting Requirements

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

Statutory Reporting Requirements

Annual Project Delivery Report to the Governor and Legislature:

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

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

State Transportation Improvement Program: "Cost of Project Development"

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

According to the Government Code, the average cost of project development for the report year and two previous years shall not exceed a 20 percent target. The cost of project development for programmed State Transportation Improvement Program projects in FY 2015-16 was **25.6** percent of the contract allotments and right of way capital for those projects. The three-year average cost of project development for FY's 2013-14 through 2015-16 was **16.3** percent.

FY's	Cost of Project Development
FY 2013-14	15.4 %
FY 2014-15	15.8 %
FY 2015-16	25.6 %
3 Yr Average	16.3 %

State Transportation Improvement Program: "Cost of Construction"

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

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

(C) Miscellaneous Project Delivery Reporting Requirements

2011 Capital Outlay Support Program Audit Recommendations

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

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

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

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

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

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

(C) Miscellaneous Project Delivery Reporting Requirements

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

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

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

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

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

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

(C) Miscellaneous Project Delivery Reporting Requirements

SB 486 & Resolution G-16-12

In FY 2015-16, CTC implemented changes to how SHOPP and STIP projects are programmed, managed, and reported as a result of SB 486 and Resolution G-16-12. SB 486, approved in September 2014, requires the CTC to adopt the State Highway and Operation Protection Program. Caltrans met with CTC staff to align SHOPP and STIP programming and reporting guidelines. Caltrans and CTC staff agreed on the following changes to the SHOPP:

- All amendments to add new discretionary SHOPP projects will be approved by the CTC
- All amendments to add new mandated SHOPP projects will be approved by the CTC
- All amendments to change scope, cost, or schedule will be approved by the CTC
- Major project milestones will be reported for the SHOPP
- For new projects, work will not commence until CTC approval (except emergency and safety)
- CTC will allocate SHOPP Construction Support beginning 7/1/16, and Greater than 120% policy will apply
- Supplemental allocations for support phases are required when G-12 capacity is exceeded
- Caltrans will request allocation time extensions even for projects voted after the programmed fiscal year

Resolution G-16-12, approved by the CTC in January 2016, amended Resolution G-12 and delegated to the Caltrans Director the authority to also adjust programmed amounts for STIP and SHOPP support phases, within specified limits. G-12 capacity is available for all STIP and SHOPP support components that are programmed in FY 2016-17 or later, as well as STIP construction support voted by the CTC after January 1, 2013 and SHOPP construction support voted by the CTC after July 1, 2016.

(D) Capital Outlay Support Budget Cost Measures

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

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

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

Shown below and on the next page are tables comparing projects completed in FY 2015-16 against different percentages (variances) of the project budget. The tables show the number of project variances by percentage for support costs, capital costs, project costs and individual component costs against their respective budgets. The tables identify the number of completed project (1)***budget overruns*** and the (2) ***under / overrun ratios*** of money spent compared to the approved budgets.

Analysis of Project Component Budgets versus Money Spent

State Transportation Improvement Program									
Project Component(s)	Budget Under / Overrun Analysis						Budget ($1,000's)	Spent ($1,000's)	Under / Over Ratio
	Under		Within 20 % Threshold(1)		Over				
	< 80 %		80 – 120 %		> 120 %				
	Projects	Percent	Projects	Percent	Projects	Percent			
Support	2	6 %	24	71 %	8	24 %	$456,388	$475,442	104 %
Capital	3	9 %	31	91 %	0	0 %	$1,462,125	$1,375,465	94 %
All Project Components	1	3 %	31	91 %	2	6 %	$1,918,513	$1,850,907	96 %
Project Approval (PAED)	5	23 %	15	68 %	2	9 %	$ 64,343	$ 61,880	96 %
Design (PSE)	0	0 %	17	71 %	7	29 %	$ 121,453	$ 124,794	103 %
Right of Way Support	9	41 %	10	45 %	3	14 %	$ 22,916	$ 23,718	103 %
Right of Way Capital	11	55 %	9	45 %	0	0 %	$137,579	$113,059	82 %
Construction Support	4	12 %	18	53 %	12	35 %	$247,676	$265,050	107 %
Construction Capital	3	9 %	31	91 %	0	0 %	$1,324,546	$1,262,405	95 %

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

(D) Capital Outlay Support Budget Cost Measures

State Highway Operation and Protection Program									
Project Component(s)	Budget Under / Overrun Analysis						Budget ($1,000's)	Spent ($1,000's)	Under / Over Ratio
	Under		Within 20 % Threshold(2)		Over				
	< 80 %		80 – 120 %		> 120 %				
	Projects	Percent	Projects	Percent	Projects	Percent			
Support	71	29 %	99	40 %	77	31 %	$ 446,445	$ 427,939	99 %
Capital	90	36 %	156	63 %	1	<1 %	$1,168,596	$1,007,827	86 %
All Project Components	75	30 %	157	64 %	15	6 %	$1,615,051	$1,435,767	89 %
Project Approval (PAED)	73	45 %	53	33 %	37	23 %	$48,698	$42,182	87 %
Design (PSE)	69	34 %	69	34 %	64	32 %	$160,124	$160,034	100 %
Right of Way Support	160	83 %	19	10 %	13	7 %	$18,276	$10,842	59 %
Right of Way Capital	123	84 %	6	4 %	18	12 %	$68,840	$33,797	49 %
Construction Support	69	28 %	98	40 %	80	32 %	$219,357	$214,882	98 %
Construction Capital	75	30 %	171	69 %	1	<1 %	$1,099,756	$974,030	89 %

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

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

(4)***Measureable Goal for Reducing Overruns*** – Using the 2001 audit data sample as a baseline, Caltrans is establishing an annual goal to show a continuous improvement in reducing the number of projects that overrun the support budget measured at the Construction Contract Acceptance milestone. For FY 2015-16, Caltrans set the following goal:

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

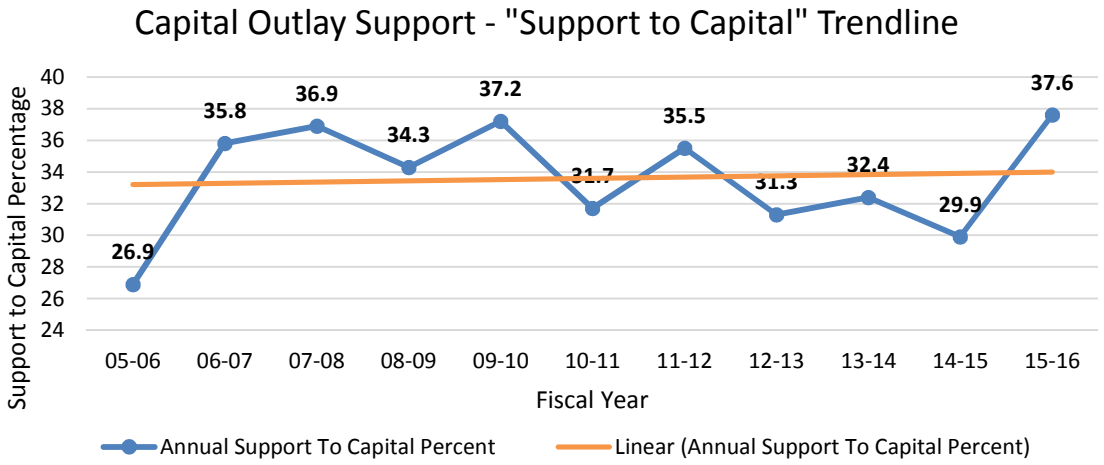
1 Year Period	Completed Projects	Completed < 120%	Percent	3 Year Period	Completed Projects	Completed < 120%	Goal	Percent
				BSA Audit	766	372	Base	49 %
FY 10-11	246	152	62 %	2008-09 to 10-11	719	407	60 %	57 %
FY 11-12	268	208	78 %	2009-10 to 11-12	780	507	65 %	65 %
FY 12-13	268	207	77 %	2010-11 to 12-13	782	567	68 %	73 %
FY 13-14	250	196	78 %	2011-12 to 13-14	786	611	72 %	78 %
FY 14-15	251	183	73 %	2012-13 to 14-15	769	586	74 %	76 %
FY 15-16	281	204	72 %	2013-14 to 15-16	782	583	76 %	74 %
Continuous improvement goal set for upcoming year 2014-15 to 2016-17:							76 %	

(E) Support to Capital Ratio Cost Measures

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

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

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



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

Groups	Capital Value (millions)	Baseline FY 08-11 Annual Goal	Annual Support to Capital Results			
			FY 12-13	FY 13-14	FY 14-15	FY 15-16
I	$1-5	< 60 %	51.1 %	62.4 %	55.8 %	57.1 %
II	$5-10	< 45 %	34.0 %	49.7 %	52.1 %	36.7 %
III	$10-15	< 35 %	28.8 %	45.2 %	34.5 %	44.8 %
IV	$15-25	< 32 %	23.0 %	38.5 %	32.8 %	20.6 %
V	$25-140	< 30 %	26.5 %	23.8 %	24.4 %	30.5 %

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

(E) Support to Capital Ratio Cost Measures

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

Support to Capital Ratio at Award

Fiscal Year (FY)	Capital (millions)	Support (millions)	Support to Capital Ratio Percent
State Transportation Improvement Program			
FY 13-14	$ 1,095.4	$ 169.0	15.4 %
FY 14-15	$ 992.8	$ 156.4	15.8 %
FY 15-16	$ 155.3	$ 39.7	25.6 %
3-Yrs	$ 2,243.5	$ 365.1	16.3 %
State Highway Operation and Protection Program			
FY 13-14	$ 998.7	$ 132.3	13.2 %
FY 14-15	$ 1,535.8	$ 254.5	16.6 %
FY 15-16	$ 1,198.1	$ 295.4	24.7 %
3-Yrs	$ 3,732.7	$ 682.2	18.3 %
Combined			
FY 13-14	$ 2,094.1	$ 301.3	14.4 %
FY 14-15	$ 2,528.6	$ 410.9	16.3 %
FY 15-16	$ 1,353.4	$ 335.1	24.8 %
3-Yrs	$ 5,976.1	$ 1,047.3	17.5 %

Support to Capital Ratio at Completion

Fiscal Year (FY)	Capital (millions)	Support (millions)	Support to Capital Ratio Percent
State Transportation Improvement Program			
FY 13-14	$ 794.2	$ 267.8	33.7 %
FY 14-15	$ 1,795.8	$ 477.5	26.6 %
FY 15-16	$ 929.7	$ 301.4	32.4 %
3-Yrs	$ 3,519.7	$ 1,046.7	29.7 %
State Highway Operation and Protection Program			
FY 13-14	$ 1,851.4	$ 590.0	31.9 %
FY 14-15	$ 1,124.4	$ 394.3	35.1 %
FY 15-16	$ 1,201.9	$ 500.1	41.6 %
3-Yrs	$ 4,117.7	$ 1,484.4	35.5 %
Combined			
FY 13-14	$ 2,645.7	$ 857.8	32.4 %
FY 14-15	$ 2,920.2	$ 871.8	29.9 %
FY 15-16	$ 2,131.6	$ 801.6	37.6 %
3-Yrs	$ 7,697.5	$ 2,531.2	32.9 %

(F) Capital Outlay Support Workload History

The graph below provides the historical budgeted Caltrans' Capital Outlay Support (COS) Program staffing levels, projects planned versus delivered to construction, and the number of contracts in construction and contract dollar value. The COS Program is at its lowest staffing level since before the Toll Bridge Seismic Retrofit Program that began in 1997, despite significant temporary increases from Proposition 1B bonds and the Federal Stimulus package. As transportation funding has decreased, the COS Program has requested staffing reductions to adjust accordingly. The COS Program has reduced staffing by approximately 3,600 in the past nine years based on reduced transportation funding. This has been accomplished by forecasting future workload, restricting hiring, and attrition. The COS Program has kept its promises by delivering 99 percent of its project commitments to construction since FY 2005-06.

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

Fiscal Year[1]	Budgeted Staffing in FTEs[2]	Number of Projects Planned for Delivery	Actual Number of Projects Delivered	Percent Delivered	Capital Value of Delivered Projects ($ Billions)	No. of Ongoing Contracts[3]	Value of Ongoing Contracts ($ Billions)[3]
2002-03	12,098	212	163	77%	1.7	659	7.7
2003-04	11,050	216	188	87%	1.9	586	8.2
2004-05	12,420	222	207	93%	1.5	617	7.7
2005-06	13,093	174	173	99%	2.4	714	9.8
2006-07	12,662	286	286	100%	2.6	646	10.4
2007-08	13,125	294	294	100%	3.3	705	9.4
2008-09	12,516	334	334	100%	3.1	732	9.4
2009-10	11,517	306	304	99%	2.1	664	9.6
2010-11	10,821	346	342	99%	3.1	814	10.9
2011-12	10,571	279	275	99%	2.7	739	11.3
2012-13	10,407	170	167	98%	1.2	713	12.3
2013-14	10,153	219	214	98%	2.1	673	11.1
2014-15	9,894	343	337	98%	2.5	652	10.6
2015-16	9,703	244	239	98%	1.7	817	8.8
2016-17	9,512	227			2.2[4]	796[5]	7.1[5]

[1] *Proposition 1B passed in November 2006.*
[2] *FTE stands for Full Time Equivalents and includes state staff, consultants and cash overtime.*
[3] *As of June 30 of each year.*
[4] *Capital value of projects planned for 2016-17 delivery.*
[5] *Estimated as of August 1, 2016.*