



Fiscal Year 2012-13

Annual Project Delivery Report

to the

California State Legislature



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Executive Summary

The purpose of this report is to provide project delivery information on programmed highway projects for which the California Department of Transportation (Caltrans) was fully responsible for the development and construction management as required by California statute. In addition, the report contains additional information as recommended by the Bureau of State Audits (BSA) in their April, 2011 audit of the Caltrans' Capital Outlay Support (COS) program. This report fulfills Caltrans' annual reporting requirements as follows:

Fiscal Year (FY) 2012-13 State Transportation Improvement Program (STIP) Cost of Preliminary Engineering (P.E.)

The P.E. cost for programmed STIP projects that were awarded in FY 2012-13 was 19.7 percent. The three-year average cost of P.E. for FY's 2010-11 through 2012-13 was 19.4 percent, and remains below the statutory target of less than 20 percent averaged over three years.

FY 2012-13 STIP Cost of Construction

The original amount of STIP funds allocated for construction by the California Transportation Commission (CTC) for projects completed in FY 2012-13 was \$204 million. The total amount of STIP funds expended was \$191 million (94 percent of originally allocated funds).

2011 Capital Outlay Support (COS) Program Audit Recommendations:

COS Budget Cost Measures

Recommendation 1A

Analysis of Support Cost Budget Overruns, Underruns and Ratios:

For FY 2012-13 completed STIP and State Highway Operation and Protection Program (SHOPP) projects, the STIP and SHOPP total support costs were under the total support budgeted amounts for both programs.

- The support budget for STIP projects was \$172 million and \$160 million was spent (94 percent).
- The support budget for SHOPP projects was \$428 million and \$345 million was spent (81 percent).

Measureable Goal for Reducing Overruns:

The percentage of major programmed projects that achieved Construction Contract Acceptance (CCA) during the three year period of 2010-11 through 2012-13 FY's with support expenditures less than 120 percent of the approved budget was 72 percent. This met Caltrans' "*Project Support Budget Cost Measure*" target goal of 68 percent.

Support-to-Capital (S/C) Cost Measures

Recommendation 2A: Annual S/C ratio.

For FY 2012-13, the annual program level FY results for S/C ratio (support expenditures / capital expenditures) for all completed projects (STIP and SHOPP combined) was 31.3 percent.

Recommendation 2B: Annual goal for S/C ratio based on capital value groups.

For FY 2012-13, the S/C ratios of completed projects (STIP and SHOPP combined) based on capital value groups are as follows:

| Capital Value (millions) | S/C Goal | S/C Results |
|--------------------------|----------|-------------|
| \$1-5 | < 60 % | 51.1 % |
| \$5-10 | < 45 % | 34.0 % |
| \$10-15 | < 35 % | 28.8 % |
| \$15-25 | < 32 % | 23.0 % |
| >\$25 | < 30 % | 26.5 % |

Recommendation 6: S/C ratios for STIP and SHOPP projects at award and completion.

For FY 2012-13, the average S/C ratios of programmed projects during the three year period of 2010-11 through 2012-13 FY's (STIP and SHOPP combined) are as follows:

| S/C Percent | |
|---------------|------|
| At Award | 18.4 |
| At Completion | 32.8 |

FY 2012-13 Project Delivery Report

For Fiscal Year 2012-13, Caltrans delivered a total of 450 projects valued at \$2.134 billion from all funding programs. This includes the Caltrans' delivery commitments in the Director's "Contract for Delivery", emergency projects, minor program projects and program amendments that were delivered.

FY 2012-13 STIP Cost of Preliminary Engineering (P.E.)

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.”

This section requires that the “Cost of project development include all non-capital costs incurred by Caltrans from completion of the project study report through an award of the construction contract.” This work is often described by Caltrans using the term “preliminary engineering (P.E.)”. These costs include the share of distributed departmental overhead attributable to P.E., with the exception of tort payments, legal costs associated with those payments, and central administrative services.

According to the Government Code, the average cost of P.E. for the report year and two previous years shall not exceed the 20 percent target.

The cost of P.E. for programmed STIP projects in FY 2012-13 was 19.7 percent of the contract allotments and right of way capital for those projects. The three-year average cost of P.E. for FY’s 2010-11 through 2012-13 was 19.4 percent.

| FY’s | Cost of P.E. |
|--------------|--------------|
| FY 2010-11 | 19.3 % |
| FY 2011-12 | 18.9 % |
| FY 2012-13 | 19.7 % |
| 3 Yr Average | 19.4 % |

FY 2012-13 STIP Cost of Construction

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."

In FY 12-13, Caltrans completed a total of 25 STIP projects. A list of projects with budget and expenditure information is provided in Caltrans' quarterly project delivery report to the CTC (attached as Attachment A).

The cost of construction for completed STIP projects is as follows:

| | Original Allocation | Adjusted ⁽¹⁾ Allocation | Expended | % Adjusted Allocation Expended |
|--|---------------------|------------------------------------|-------------------|--------------------------------|
| Construction Support ⁽²⁾ (\$1,000's) | | | | |
| Pre-SB 1102 STIP | \$ 40,047 | \$ 40,047 | \$ 40,579 | 101% |
| SB 1102 STIP | \$ 0 | \$ 0 | \$ 0 | NA |
| Other State Funds | \$ 51,735 | \$ 51,535 | \$ 43,691 | 85% |
| Total State⁽³⁾ Funds | \$ 91,782 | \$ 91,582 | \$ 84,270 | 92% |
| Construction Capital ⁽⁴⁾ (\$1,000's) | | | | |
| STIP | \$ 164,035 | \$ 157,710 | \$ 150,430 | 95% |
| Other State Funds | \$ 322,150 | \$ 229,917 | \$ 223,111 | 97% |
| Local Funds | \$ 201,393 | \$ 149,460 | \$ 135,796 | 91% |
| Total Funds | \$ 687,578 | \$ 537,087 | \$ 509,337 | 95% |
| Construction Support and Capital (\$1,000's) | | | | |
| STIP | \$ 204,082 | \$ 197,757 | \$ 191,009 | 94% |
| TOTAL | \$ 779,360 | \$ 628,669 | \$ 593,607 | 94% |

- (1) Adjustments include Commission actions including AB608 de-allocations and supplemental funds requests.*
- (2) Construction support reflects State funds (local funds may not be in state data systems).*
- (3) Funds approved by Commission, STIP, TCRP, SHOPP, ARRA, and Bond.*
- (4) Construction capital reflects both adjusted State and local funds (all funds in construction payment data system or CAS).*

The cost to construct the 25 STIP projects completed in FY 12-13 were six percent less than the original funds allocated (budget) for construction.

2011 COS Program Audit Recommendations

In April of 2011, the California Bureau of State Audits (BSA) recommended that Caltrans include COS program information as part of this annual report. Caltrans has concurred and the information requested has been added to this report.

There are a total of four specific recommendations from the 2011 audit that have been incorporated into this report (1A, 2A, 2B, and 6). The recommendations have been separated into two reporting sections. The first recommendation (1A) is a COS program budget measure, and is presented as one section. The other three recommendations (2A, 2B and 6) are related to S/C measures and presented together as another section of this report.

COS Budget Cost Measures

This section includes information on cost budget variances outlined in recommendation 1A of the 2011 BSA audit on Caltrans' COS program. Information is presented in four subsections (denoted by end notes 1-4) to answer the request for multiple analyses contained within the recommendation.

2011 BSA COS Audit Recommendation Number 1A:

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

“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.”

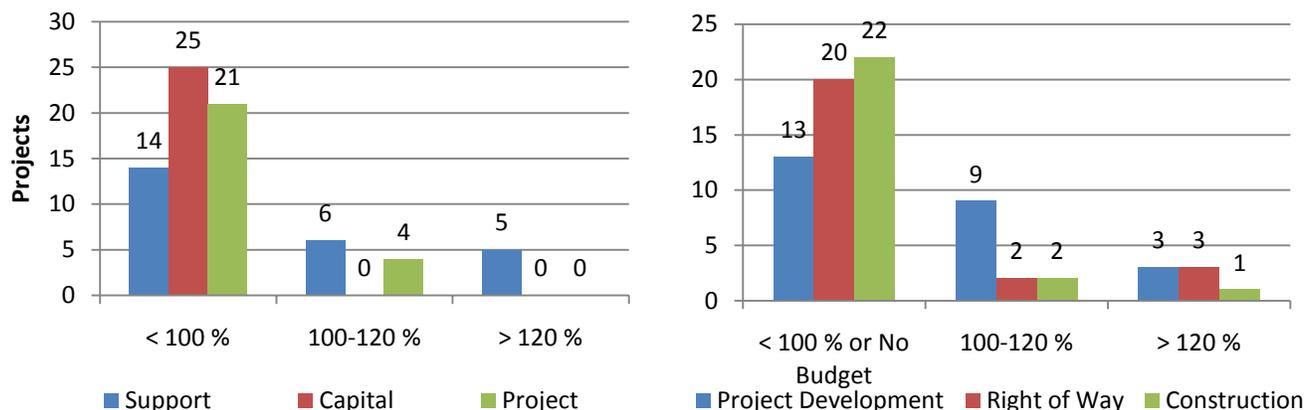
The BSA audit was focused on support costs and all audit recommendations apply to support. Support, however, is only a portion of a project's overall cost. Caltrans is also including capital cost information where appropriate to complete project cost

information. This is important in terms of what a STIP project sponsor paid in county shares. For example, a support component can be over budget while the project is still under budget due to savings in other components debited and paid for through programmed county shares.

Analysis of Support Cost Budget Overruns... ...Overrun and Underrun Ratios:

Shown on the next few pages are tables and charts comparing projects completed in FY 2012-13 against different percentages (variances) of the project budget. The tables show the number of project variances by percentage for total support costs, total capital costs, overall project costs and individual component costs against their respective budgets. The tables and charts also identify the number of projects that overrun their budget and the cost ratios of money spent compared to the approved budgets.

STIP Projects Completed Cost - Component Groupings



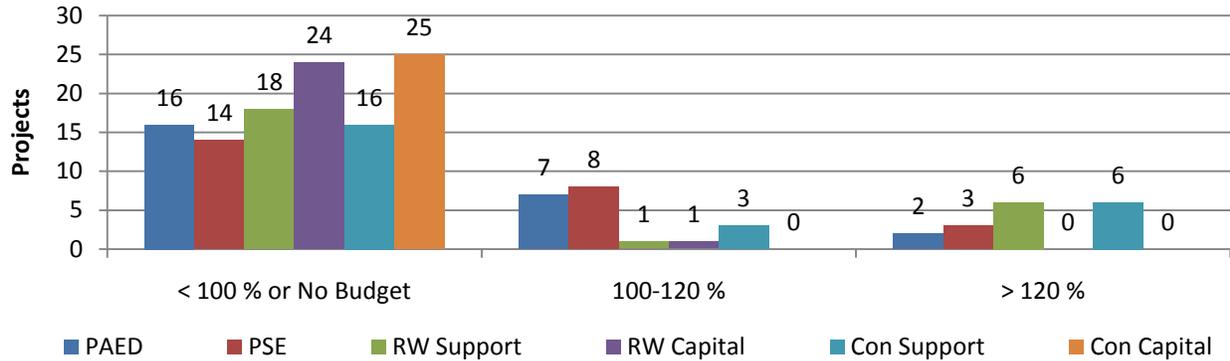
STIP Programmed and Completed Cost Information - Component Groupings

| | | Expended / Budget Percent | Number of Completed Projects | | | Budget (\$1,000's) | Percent Budget | Spent (\$1,000's) | Percent Spent | (+/-) (\$1,000's) | Cost Ratios Spent / Budget |
|------------------------------|----------------------------------|---------------------------|------------------------------|------|---------|--------------------|----------------|-------------------|---------------|-------------------|----------------------------|
| | | | Under | Over | Percent | | | | | | |
| Capital / Support Components | Support | < 100 | 14 | | 56 % | \$ 123,746 | 72 % | \$ 101,478 | 63 % | Under Budget | |
| | | 100-120 ¹ | | 6 | 24 % | 36,049 | 21 % | 37,698 | 24 % | | |
| | | > 120 | | 5 | 20 % | 12,628 | 7 % | 21,206 | 13 % | | |
| | | Total | | | | \$ 172,423 | | \$ 160,382 | | | |
| | Capital | < 100 | 25 | | 100 % | \$ 565,270 | 100 % | \$ 527,579 | 100 % | Under Budget | |
| | | 100-120 ¹ | | 0 | 0 % | 0 | 0 % | 0 | 0 % | | |
| | | > 120 | | 0 | 0 % | 0 | 0 % | 0 | 0 % | | |
| | | Total | | | | \$ 565,270 | | \$ 527,579 | | | |
| | Project | < 100 | 21 | | 84 % | \$ 686,859 | 93 % | \$ 632,937 | 92 % | Under Budget | |
| | | 100-120 ¹ | | 4 | 16 % | 50,834 | 7 % | 55,024 | 8 % | | |
| | | > 120 | | 0 | 0 % | 0 | 0 % | 0 | 0 % | | |
| | | Total | | | | \$ 737,693 | | \$ 687,961 | | | |
| STIP Guidelines Components | PJD (PAED & PSE) ⁽²⁾ | No Budget | 1 | | 4 % | \$ 0 | 0 % | \$ 0 | 0 % | Under Budget | |
| | | < 100 | 12 | | 48 % | 41,505 | 59 % | 31,768 | 50 % | | |
| | | 100-120 ¹ | | 9 | 36 % | 23,253 | 33 % | 24,303 | 38 % | | |
| | | > 120 | | 3 | 12 % | 5,569 | 8 % | 7,224 | 11 % | | |
| | | Total | | | | \$ 70,327 | | \$ 63,294 | | | |
| | Right of Way (support & capital) | No Budget | 2 | | 8 % | \$ 0 | 0 % | \$ 0 | 0 % | Under Budget | |
| | | < 100 | 18 | | 72 % | 28,587 | 76 % | 19,853 | 66 % | | |
| | | 100-120 ¹ | | 2 | 8 % | 9,113 | 24 % | 9,332 | 31 % | | |
| | | > 120 | | 3 | 12 % | 93 | 0 % | 692 | 2 % | | |
| | | Total | | | | \$ 37,793 | | \$ 29,877 | | | |
| | Construction (support & capital) | No Budget | 0 | | 0 % | \$ 0 | 0 % | \$ 0 | 0 % | Under Budget | |
| | | < 100 | 22 | | 88 % | 591,868 | 94 % | 553,037 | 93 % | | |
| | | 100-120 ¹ | | 2 | 8 % | 36,402 | 6 % | 40,186 | 7 % | | |
| | | > 120 | | 1 | 4 % | 1,303 | 0 % | 1,568 | 0 % | | |
| | | Total | | | | \$ 629,573 | | \$ 594,791 | | | |

¹ Reference: Table 2, California State Auditor Report 2010-122: State law requires that STIP project costs may not be changed to reflect differences that are within 20 percent of the amount programmed for actual project costs. Further, according to the chief of Caltrans' Division of Project Management, although there are no written requirements, Caltrans' practice is to manage SHOPP projects similar to STIP projects when a SHOPP project is 20 percent over its support budget.

² Abbreviations: PJD -project development, PAED -project approval and environmental document, PSE -plans, specifications and estimate.

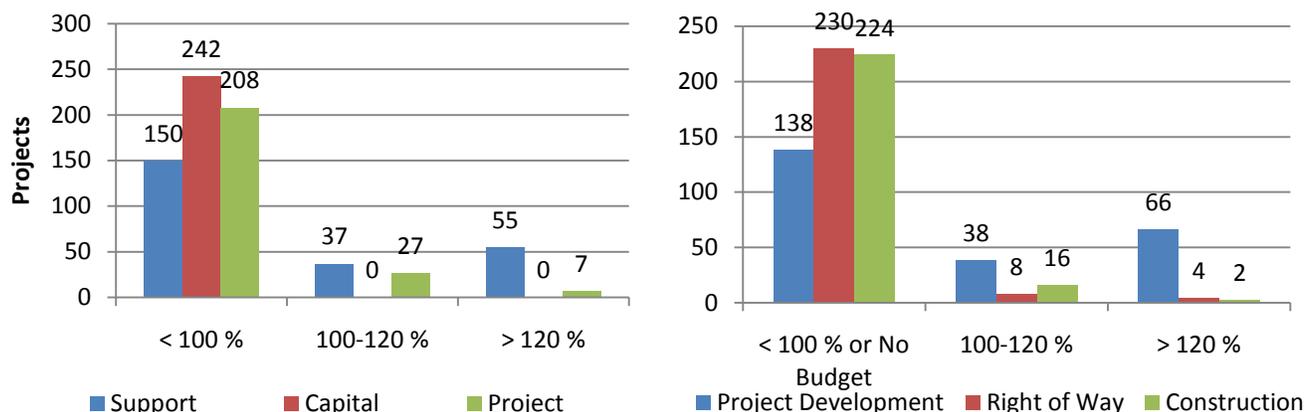
STIP Project Completed Cost - Individual Components



STIP Programmed and Completed Cost Information - Individual Components

| Individual Project Components | Component | Expended / Budget Percent | Number of Completed Projects | | | Budget (\$1,000's) | Percent Budget | Spent (\$1,000's) | Percent Spent | (+/-) (\$1,000's) | Cost Ratios Spent / Budget | |
|-------------------------------|----------------------|---------------------------|------------------------------|------|-------------------|--------------------|-------------------|-------------------|------------------|-------------------|----------------------------|-----------------|
| | | | Under | Over | Percent | | | | | | | |
| | | | | | | | | | | | | |
| PAED | No Budget | | 3 | | 12 % | \$ 0 | 0 % | \$ 0 | 0 % | Under Budget | | |
| | < 100 | | 13 | | 52 % | 14,526 | 80 % | 11,026 | 74 % | | | |
| | 100-120 ¹ | | | 7 | 28 % | 3,428 | 19 % | 3,792 | 25 % | | | |
| | > 120 | | | 2 | 8 % | 108 | 1 % | 177 | 1 % | | | |
| | Total | | | | | \$ 18,062 | | \$ 14,995 | | | | \$ 3,067 |
| | PSE | No Budget | | 1 | | 4 % | \$ 0 | 0 % | \$ 0 | 0 % | Under Budget | |
| | | < 100 | | 13 | | 52 % | 31,418 | 60 % | 24,219 | 50 % | | |
| | | 100-120 ¹ | | | 8 | 32 % | 18,230 | 35 % | 20,008 | 41 % | | |
| | | > 120 | | | 3 | 12 % | 2,617 | 5 % | 4,071 | 8 % | | |
| | | Total | | | | | \$ 52,265 | | \$ 48,298 | | | |
| | Right of Way | Support | No Budget | | 2 | 8 % | \$ 0 | 0 % | \$ 0 | 0 % | Over Budget | |
| | | | < 100 | | 16 | 64 % | 6,298 | 66 % | 4,825 | 41 % | | |
| 100-120 ¹ | | | | | 1 | 4 % | 160 | 2 % | 178 | 2 % | | |
| > 120 | | | | | 6 | 24 % | 3,152 | 33 % | 6,629 | 57 % | | |
| Total | | | | | | | \$ 9,610 | | \$ 11,632 | | | |
| Capital | | No Budget | | 10 | 40 % | \$ 0 | 0 % | \$ 0 | 0 % | Under Budget | | |
| | | < 100 | | 14 | 56 % | 28,183 | 100 % | 18,238 | 100 % | | | |
| | | 100-120 ¹ | | | 1 | 4 % | 0 | 0 % | 6 | | | 0 % |
| | | > 120 | | | 0 | 0 % | 0 | 0 % | 0 | | | 0 % |
| | | Total | | | | | \$ 28,183 | | \$ 18,244 | | | |
| Construction | Support | Pre 1102 | No Budget | | 0 | 0 % | \$ 0 | 0 % | \$ 0 | 0 % | Under Budget | |
| | | | < 100 | | 16 | 64 % | 70,114 | 76 % | 54,984 | 64 % | | |
| | | | 100-120 ¹ | | | 3 | 12 % | 17,683 | 19 % | 17,900 | | |
| | | > 120 | | | 6 | 24 % | 4,688 | 5 % | 12,572 | 15 % | | |
| | | SB 1102 | No Budget | | 0 | 0 % | 0 | 0 % | 0 | 0 % | | |
| | | | < 100 | | 0 | 0 % | 0 | 0 % | 0 | 0 % | | |
| | 100-120 ¹ | | | | 0 | 0 % | 0 | 0 % | 0 | 0 % | | |
| | Total | | | | | \$ 92,485 | | \$ 85,456 | | \$ 7,029 | 92 % | |
| | Capital | No Budget | | 0 | 0 % | \$ 0 | 0 % | \$ 0 | 0 % | Under Budget | | |
| | | < 100 | | 25 | 100 % | 537,087 | 100 % | 509,335 | 100 % | | | |
| 100-120 ¹ | | | | 0 | 0 % | 0 | 0 % | 0 | 0 % | | | |
| > 120 | | | | 0 | 0 % | 0 | 0 % | 0 | 0 % | | | |
| Total | | | | | \$ 537,087 | | \$ 509,335 | | \$ 27,752 | 95 % | | |

SHOPP Projects Completed Cost Percentages - Component Groupings



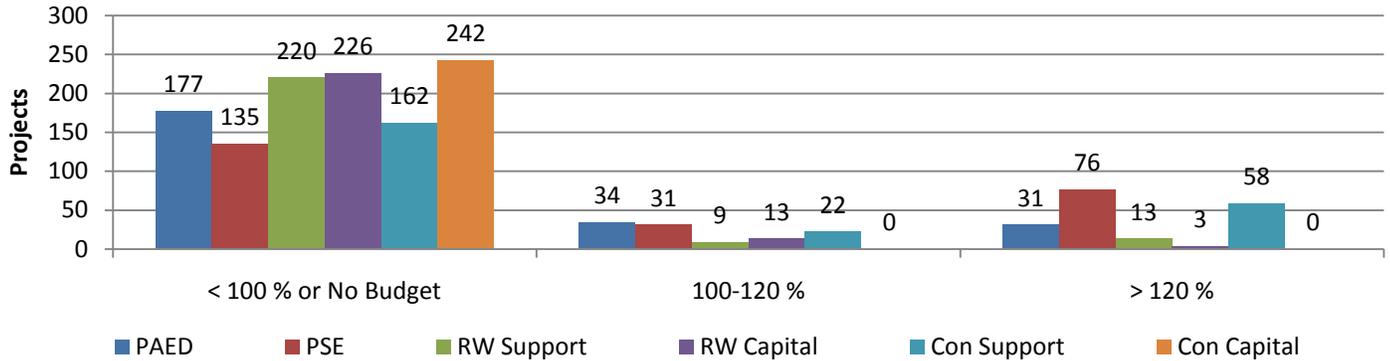
SHOPP Programmed and Completed Cost Information - Component Groupings

| | | Expended / Budget Percent | Number of Completed Projects | | | Budget (\$1,000's) | Percent Budget | Spent (\$1,000's) | Percent Spent | (+/-) (\$1,000's) | Cost Ratios Spent / Budget |
|------------------------------|---------|---------------------------|------------------------------|------|---------|--------------------|----------------|--------------------|---------------|-------------------|----------------------------|
| | | | Under | Over | Percent | | | | | | |
| Capital / Support Components | Support | < 100 | 150 | | 62% | \$ 298,374 | 70% | \$ 183,473 | 53% | Under Budget | |
| | | 100-120 ¹ | | 37 | 15% | 83,725 | 20% | 90,936 | 26% | | |
| | | > 120 | | 55 | 23% | 45,533 | 11% | 70,331 | 20% | | |
| | | Total | | | | \$ 427,632 | | \$ 344,740 | | | |
| | Capital | < 100 | 242 | | 100% | \$1,226,562 | 100% | \$ 883,162 | 100% | Under Budget | |
| | | 100-120 ¹ | | 0 | 0% | \$0 | 0% | 0 | 0% | | |
| | | > 120 | | 0 | 0% | \$0 | 0% | 0 | 0% | | |
| | | Total | | | | \$1,226,562 | | \$ 883,162 | | | |
| | Project | < 100 | 208 | | 86% | \$1,569,435 | 95% | \$1,134,001 | 92% | Under Budget | |
| | | 100-120 ¹ | | 27 | 11% | 73,105 | 4% | 78,214 | 6% | | |
| | | > 120 | | 7 | 3% | 11,653 | 1% | 15,686 | 1% | | |
| | | Total | | | | \$1,654,193 | | \$1,227,901 | | | |

| | | No Budget | Under | Over | Percent | Budget (\$1,000's) | Percent Budget | Spent (\$1,000's) | Percent Spent | (+/-) (\$1,000's) | Cost Ratios Spent / Budget |
|----------------------------|----------------------------------|----------------------|-------|------|--------------------|--------------------|--------------------|-------------------|-------------------|-------------------|----------------------------|
| | | | | | | | | | | | |
| STIP Guidelines Components | PAID & PSE | No Budget | 35 | | 14% | \$ 0 | 0% | \$ 0 | 0% | Under Budget | |
| | | < 100 | 103 | | 43% | 91,806 | 46% | 52,505 | 29% | | |
| | | 100-120 ¹ | | 38 | 16% | 71,267 | 36% | 76,728 | 42% | | |
| | | > 120 | | 66 | 27% | 34,664 | 18% | 54,216 | 30% | | |
| | | Total | | | | \$ 197,737 | | \$ 183,449 | | | |
| | Right of Way (support & capital) | No Budget | 23 | | 10% | \$ 0 | 0% | \$ 0 | 0% | Under Budget | |
| | | < 100 | 207 | | 86% | 49,078 | 90% | 17,203 | 74% | | |
| | | 100-120 ¹ | | 8 | 3% | 5,496 | 10% | 5,804 | 25% | | |
| | | > 120 | | 4 | 2% | 113 | 0% | 177 | 1% | | |
| | | Total | | | | \$ 54,687 | | 23,184 | | | |
| | Construction (support & capital) | No Budget | 0 | | 0% | \$ 0 | 0% | \$ 0 | 0% | Under Budget | |
| | | < 100 | 224 | | 93% | 1,358,533 | 97% | 974,845 | 95% | | |
| 100-120 ¹ | | | 16 | 7% | 40,425 | 3% | 42,916 | 4% | | | |
| > 120 | | | 2 | 1% | 2,812 | 0% | 3,508 | 0% | | | |
| Total | | | | | \$1,401,770 | | \$1,021,269 | | \$ 380,501 | | |

¹ Reference: Table 2, California State Auditor Report 2010-122: State law requires that STIP project costs may not be changed to reflect differences that are within 20 percent of the amount programmed for actual project costs. Further, according to the chief of Caltrans' Division of Project Management, although there are no written requirements, Caltrans' practice is to manage SHOPP projects similar to STIP projects when a SHOPP project is 20 percent over its support budget.

SHOPP Project Completed Cost Percentages - Individual Components



SHOPP Programmed and Completed Cost Information - Individual Components

| | | Expended / Budget Percent | Number of Completed Projects | | | Budget (\$1,000's) | Percent Budget | Spent (\$1,000's) | Percent Spent | (+/-) (\$1,000's) | Cost Ratios Spent / Budget | | |
|-------------------------------|--------------|---------------------------|------------------------------|------|---------|--------------------|----------------|-------------------|---------------|--|----------------------------|------------|-----------|
| | | | Under | Over | Percent | | | | | | | | |
| Individual Project Components | PAED | No Budget | 82 | | 34% | \$ 0 | 0% | \$ 0 | 0% | Under Budget | | | |
| | | < 100 | 95 | | 39% | 29,617 | 59% | 16,497 | 37% | | | | |
| | | 100-120 ¹ | | 34 | 14% | 17,189 | 34% | 18,296 | 41% | | | | |
| | | > 120 | | 31 | 13% | 3,556 | 7% | 9,698 | 22% | | | | |
| | | Total | | | | \$ 50,362 | | \$ 44,491 | | | | \$ 5,871 | 88% |
| | PSE | No Budget | 36 | | 15% | \$ 0 | 0% | \$ 0 | 0% | Under Budget | | | |
| | | < 100 | 99 | | 41% | 75,025 | 51% | 43,086 | 31% | | | | |
| | | 100-120 ¹ | | 31 | 13% | 37,339 | 25% | 40,288 | 29% | | | | |
| | | > 120 | | 76 | 31% | 35,011 | 24% | 55,584 | 40% | | | | |
| | | Total | | | | \$ 147,375 | | \$ 138,958 | | | | \$ 8,417 | 94% |
| | Right of Way | Support | No Budget | 26 | | 11% | \$ 0 | 0% | \$ 0 | 0% | Under Budget | | |
| | | | < 100 | 194 | | 80% | 11,728 | 75% | 4,871 | 48% | | | |
| | | | 100-120 ¹ | | 9 | 4% | 3,042 | 19% | 3,281 | 33% | | | |
| | | | > 120 | | 13 | 5% | 910 | 6% | 1,934 | 19% | | | |
| | | | Total | | | | \$ 15,680 | | \$ 10,086 | | | | \$ 5,594 |
| | | Capital | No Budget | 87 | | 36% | \$ 0 | 0% | \$ 0 | 0% | Under Budget | | |
| | | | < 100 | 139 | | 57% | 34,540 | 89% | 8,101 | 62% | | | |
| | | | 100-120 ¹ | | 13 | 5% | 4,263 | 11% | 4,567 | 35% | | | |
| | | | > 120 | | 3 | 1% | 204 | 1% | 427 | 3% | | | |
| | | | Total | | | | \$ 39,007 | | \$ 13,095 | | | | \$ 25,912 |
| Construction | Support | Pre-1102 | No Budget | 0 | | 0% | \$ 0 | 0% | \$ 0 | 0% | Under Budget | | |
| | | | < 100 | 162 | | 67% | 176,975 | 83% | 97,298 | 64% | | | |
| | | | 100-120 ¹ | | 22 | 9% | 14,825 | 7% | 15,935 | 11% | | | |
| | | | > 120 | | 58 | 24% | 22,415 | 10% | 37,971 | 25% | | | |
| | | | Total | | | | \$ 214,215 | | \$ 151,204 | | | | \$ 63,011 |
| | | SB 1102 | No Budget | 0 | | 0% | 0 | 0% | 0 | 0% | | | |
| | | | < 100 | 0 | | 0% | 0 | 0% | 0 | 0% | | | |
| | | | 100-120 ¹ | | 0 | 0% | 0 | 0% | 0 | 0% | | | |
| | | | > 120 | | 0 | 0% | 0 | 0% | 0 | 0% | | | |
| | | | Total | | | | \$ 214,215 | | \$ 151,204 | | | | \$ 63,011 |
| | Capital | No Budget | 0 | | 0% | \$ 0 | 0% | \$ 0 | 0 | Capital award savings are reprogrammed to other projects and program amendments. | Under Budget | | |
| | | < 100 | 242 | | 100% | 1,187,554 | 100% | 870,065 | 100% | | | | |
| | | 100-120 ¹ | | 0 | 0% | 0 | 0% | 0 | 0 | | | | |
| | | > 120 | | 0 | 0% | 0 | 0% | 0 | 0 | | | | |
| | | Total | | | | \$ 1,187,554 | | \$ 870,065 | | | | \$ 317,489 | 73% |

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 not anticipate this being the case in the near future, as hourly rates are relatively static. Caltrans does perform a separate analysis of rates each year for planning purposes.

For current active projects, the largest impact to project costs are currently due to changes in scope of work such as additional permit and mitigation requirements. An example is enforcement of the statewide storm water permit.

Measureable Goal for Reducing Overruns – Using the BSA 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 Construction Contract Acceptance (CCA) milestone. For FY 2012-13, Caltrans set the following goal:

"Project Support Budget Cost Measure:

68 percent of the major programmed projects that achieve CCA during the three year period of 2010-11 through 2012-13 FY's will have total support expenditures < 120 percent of the total support approved budget."

| 3 Yr Period | Completed Projects | Completed <120% | Percent | Goal |
|------------------|--------------------|-----------------|---------|------|
| BSA Audit | 766 | 372 | 49 % | Base |
| 2008-09 to 10-11 | 719 | 407 | 57 % | 60 % |
| 2009-10 to 11-12 | 780 | 507 | 65 % | 65 % |
| 2010-11 to 12-13 | 782 | 567 | 72 % | 68 % |

Support-to-Capital (S/C) Cost Measures

This section of the report includes information on S/C measures outlined in recommendations 2A, 2B, and 6 of the 2011 BSA audit on Caltrans' COS program.

Support to Capital Cost Measures:

Caltrans maintains that the ratio of S/C is not an effective measure of individual projects because of the variability that exists from project to project. The S/C 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 detailed breakdown of S/C (support expenditures / capital expenditures) cost information and trends of three major factors, delineating why S/C may not be appropriate as a support productivity or efficiency measure.

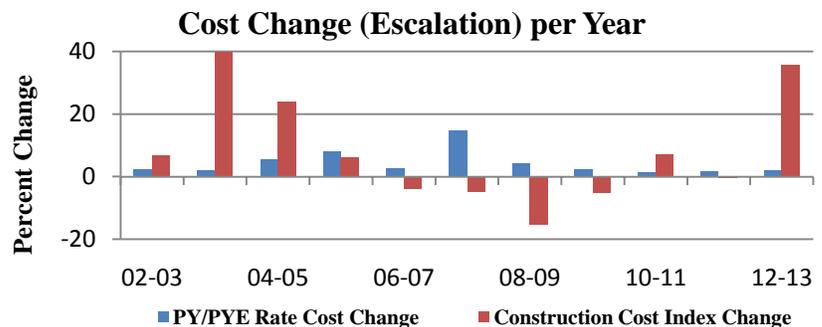
- A single number S/C ratio goal leads to certain misconceptions concerning costs. Programmatic goals should not be used to evaluate individual projects. This goal has been misused in evaluations of the COS program.

| S/C Ratio | Projects | Percent | Capital | Percent | 9 years of historical data FY 2002-03 to 2010-11 |
|-----------|----------|---------|-------------|---------|---|
| < 35% | 742 | 32.5 % | \$ 11,344 M | 68.9 % | |
| > 35% | 1,541 | 67.5% | 5,112 M | 31.1% | |
| ALL | 2,283 | | 16,456 M | | |

When Caltrans delivers its capital programs with a COS S/C ratio of approximately 35 percent, 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 35 percent average.
- (2) Approximately two thirds of the number of projects with one third of the capital value is higher than the 35 percent average.

- Cost escalation is outside the control of Caltrans. Varying escalation in labor costs and construction costs makes annual comparisons of results difficult.



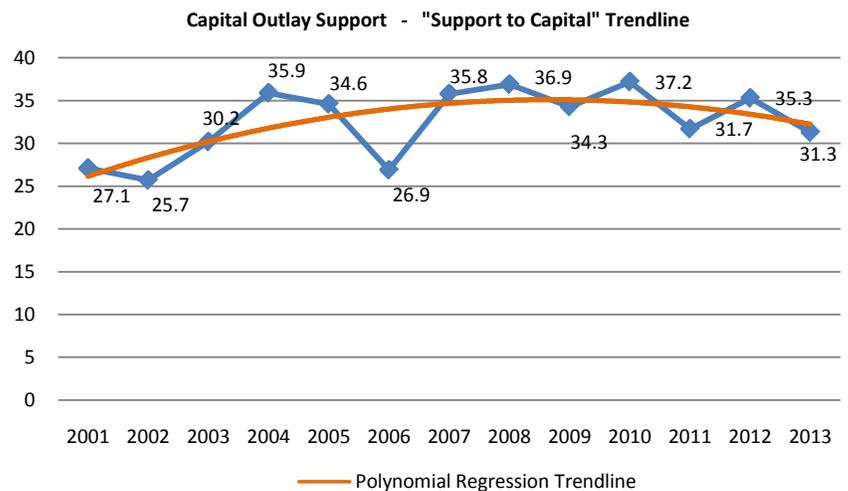
| | 03-04 | 04-05 | 05-06 | 06-07 | 07-08 | 08-09 | 09-10 | 10-11 | 11-12 | 12-13 |
|--|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|
| Capital Value (millions) | \$1,067.4 | \$1,223.8 | \$2,123.1 | \$1,559.0 | \$1,876.3 | \$2,784.5 | \$2,103.6 | \$2,644.3 | \$2,361.4 | \$1,896.5 |
| Annual Capital Value Change (millions) | | \$ 156.4 | \$ 899.3 | -\$ 564.1 | \$ 317.3 | \$ 908.2 | -\$ 680.9 | \$ 540.7 | -\$ 282.9 | -\$ 464.9 |
| Annual Capital Value Change Percent | | 15% | 73% | -27% | 20% | 48% | -24% | 26% | -11% | -20% |

- The dollar value of capital costs data varies substantially from year to year. The annual calculated S/C ratio is heavily influenced by the number of larger projects (\$100 million and more) in the annual data.

2011 BSA COS Audit Recommendation Number 2A:

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

“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.”



2011 BSA COS Audit Recommendation Number 2B:

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

“Develop Goals – and publicly report on the progress against those goals – for the support-to-capital ratio, based on project type (STIP or SHOPP) and project size.”

| Group | Capital Value (millions) | Baseline FY 2008 11 S/C Annual Goal | FY 2011 12 S/C Results | FY 2012 13 S/C Results |
|-------|--------------------------|-------------------------------------|------------------------|------------------------|
| I | \$1-5 | < 60 % | 56.2 % | 51.1 % |
| II | \$5-10 | < 45 % | 31.3 % | 34.0 % |
| III | \$10-15 | < 35 % | 38.0 % | 28.8 % |
| IV | \$15-25 | < 32 % | 24.7 % | 23.0 % |
| V | >\$25 | < 30 % | 30.2 % | 26.5 % |

Project count of STIP projects in groups are too small to report separately.

2011 BSA COS Audit Recommendation Number 6:

“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 STIP projects, a separate support-to-capital ratio for STIP projects that have completed construction. Further, the Legislature should require Caltrans to report on similar ratios for SHOPP projects based on costs incurred up to the award of the construction contract and for those projects that completed construction.”

S/C Measure

Projects included in this measure are all programmed STIP and SHOPP projects that completed construction during each FY for which Caltrans was fully responsible for development and construction management. The measure calculates a ratio (expressed as a percentage) using all capital outlay support costs in the numerator divided by all capital costs in the denominator.

S/C Ratio At Award

| | Capital (millions) | Support (millions) | S/C Ratio Percent |
|-----------------|--------------------|--------------------|-------------------|
| STIP | | | |
| FY 10-11 | \$ 1,266.2 | \$ 245.0 | 19.3 % |
| FY 11-12 | \$ 855.7 | \$ 161.8 | 18.9 % |
| FY 12-13 | \$ 1,272.8 | \$ 250.8 | 19.7 % |
| 3-Yrs | \$ 3,394.6 | \$ 657.6 | 19.4 % |
| SHOPP | | | |
| FY 10-11 | \$ 1,530.3 | \$ 265.8 | 17.4 % |
| FY 11-12 | \$ 1,196.0 | \$ 202.9 | 17.0 % |
| FY 12-13 | \$ 998.7 | \$ 159.4 | 16.0 % |
| 3-Yrs | \$ 2,726.2 | \$ 468.8 | 17.2 % |
| Combined | | | |
| FY 10-11 | \$ 2,769.6 | \$ 510.8 | 18.3 % |
| FY 11-12 | \$ 2,051.7 | \$ 364.7 | 17.8 % |
| FY 12-13 | \$ 2,271.5 | \$ 410.2 | 18.1 % |
| 3-Yrs | \$ 6,120.8 | \$ 1,126.4 | 18.4 % |

S/C Ratio At Completion

| | Capital (millions) | Support (millions) | S/C Ratio Percent |
|-----------------|--------------------|--------------------|-------------------|
| STIP | | | |
| FY 10-11 | \$ 1,688.5 | \$ 437.6 | 25.9 % |
| FY 11-12 | \$ 1,065.0 | \$ 338.2 | 31.8 % |
| FY 12-13 | \$ 508.8 | \$ 177.1 | 34.8 % |
| 3-Yrs | \$ 3,262.3 | \$ 952.9 | 29.2 % |
| SHOPP | | | |
| FY 10-11 | \$ 955.8 | \$ 402.1 | 42.1 % |
| FY 11-12 | \$ 1,296.4 | \$ 495.7 | 38.2 % |
| FY 12-13 | \$ 1,387.7 | \$ 415.5 | *29.9 % |
| 3-Yrs | \$ 3,639.9 | \$ 1,313.3 | 36.1 % |
| Combined | | | |
| FY 10-11 | \$ 2,644.3 | \$ 839.7 | 31.7 % |
| FY 11-12 | \$ 2,361.4 | \$ 833.9 | 35.3 % |
| FY 11-12 | \$ 1,896.5 | \$ 592.6 | 31.3 % |
| 3-Yrs | \$ 6,902.2 | \$ 2,266.2 | 32.8 % |

* The S/C Ratio of SHOPP projects in FY 12-13 was due to a large number of accelerated delivery (\$500 million) in Spring 2010 due to ARRA funds, bid savings, and delivering projects to ensure Federal Obligation Authority was used.

FY 2012-13 Project Delivery Report

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.”

The End-of-Year FY 2012-13 Project Delivery Report to the CTC (Attachment A) fulfills the intent of this requirement. For FY 2012-13 Caltrans delivered a total of 450 projects valued at \$2.134 billion from all funding programs as detailed in the attached report.

In FY 2005-06, Director Will Kempton initiated the “Contract for Delivery” in order to improve Caltrans' delivery performance. Each year, the Director signs a contract with each of Caltrans' 12 district directors committing the delivery of specific projects within the planned quarter of the fiscal year.

Delivery is measured when the project has achieved Ready-to-List for advertising status. This has been very successful in improving on-time delivery performance. In the FY 2012-13 contract, 167 deliveries (out of 170 planned) were achieved, for a 98.2 percent success rate.

During the past 8 years, the Contract for Delivery committed delivery of 2,189 major projects with a construction value of more than \$22.5 billion. 2,175 projects were delivered on time, which translates into a 99.4 percent delivery record.



**End - of - Year
Fiscal Year 2012-13
Project Delivery Report**

**Quarterly Report to the
California Transportation
Commission**



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| Environmental Document Milestones..... | pg 18 |
| Right of Way Program..... | pg 19 |
| Construction Program..... | pg 20 |
| Report on Completed Projects..... | pg 21 |

The Project Delivery Report is prepared quarterly in December, March, June, and September pursuant to California Transportation Commission (CTC) Resolution G-92-12. The Department of Transportation (Caltrans) staff prepares this report. The purpose of this report is to monitor and track the progress of project delivery during the year and to compare against past years.

Note 1: All costs shown are in \$1,000's unless noted otherwise.

Note 2: Abbreviations and acronyms are listed in the appendix.

Executive Summary

End of Year - FY 2012-13

FY 2012-13 Contract for Delivery

For fiscal year (FY) 2012-13, the dollar value of projects in the Contract for Delivery is \$1,430 million. Through the end of the fourth quarter, FY 2012-13, Caltrans delivered a total of 167 (98 percent of annual plan) highway construction contracts with an estimated value at ready to list of \$1,197 million.

Program Delivery Summary

Though the end of the fourth quarter, FY 2012-13, Caltrans has delivered:

- A total of 450 projects valued at \$2,134 million from all funding programs.
- A total of 20 (87 percent of annual plan) programmed State Transportation Improvement Program (STIP) highway construction contracts valued at \$100 million (73 percent of annual plan).
- A total of 162 (107 percent of annual plan) programmed State Highway Operations and Protection Program (SHOPP) highway construction contracts valued at \$1,095 million (127 percent of annual plan).

Past Years' Contracts for Delivery Award Status

Though the end of the fourth quarter, FY 2012-13, Caltrans has awarded:

- 268 projects out of 279 (96 percent) from the FY 2011-12 Contract for Delivery.
- 346 projects out of 346 (100 percent) from the FY 2010-11 Contract for Delivery.

Environmental Document Milestones

In FY 2012-13, the planned total number of environmental document milestones is 158. Caltrans delivered 108 (91 percent of annual plan) final environmental documents and 29 (74 percent of annual plan) draft environmental documents.

Right of Way Program

In FY 2012-13, Caltrans received a right-of-way allocation of \$227 million dollars. Though the end of the second quarter, Caltrans expended \$227 million (100 percent of annual plan).

Construction Program

There are 735 on-going construction contracts valued at \$12,155 million.

Report on Completed Projects

Though the end of the fourth quarter, FY 2012-13, Caltrans has completed:

- A total of 25 STIP projects. The total amount of State funds that were approved by the commission for these projects was \$738 million. The actual cost of the projects completed was \$688 million which is 93 percent of the approved funds.
- A total of 242 SHOPP projects. The total amount of State funds that were approved by the commission for these projects was \$1,654 million. The actual cost of the projects completed was \$1,228 million which is 74 percent of the approved funds.

FY 2012-13 Contract for Delivery

Each year, the Caltrans Director signs a contract with each of the Caltrans' 12 district directors committing RTL Milestones for delivery by quarter.

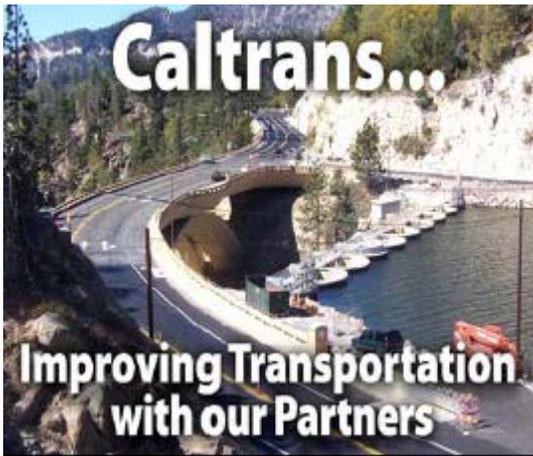
The Contract for Delivery is Caltrans' FY plan and includes programmed projects and projects funded from other sources including maintenance, toll bridge, and partnership projects. The contract is not subject to change, so it does not include program amendments, emergency, or minor program projects.

The total estimated value at the "Ready To List" delivery milestone for all 170 projects in the FY 2012-13 Contract for Delivery was \$1,430 million.

167 out of 170 projects planned in FY 2012-13 were delivered.

The 3 projects that were not delivered need additional time to secure Coastal Commission permits.

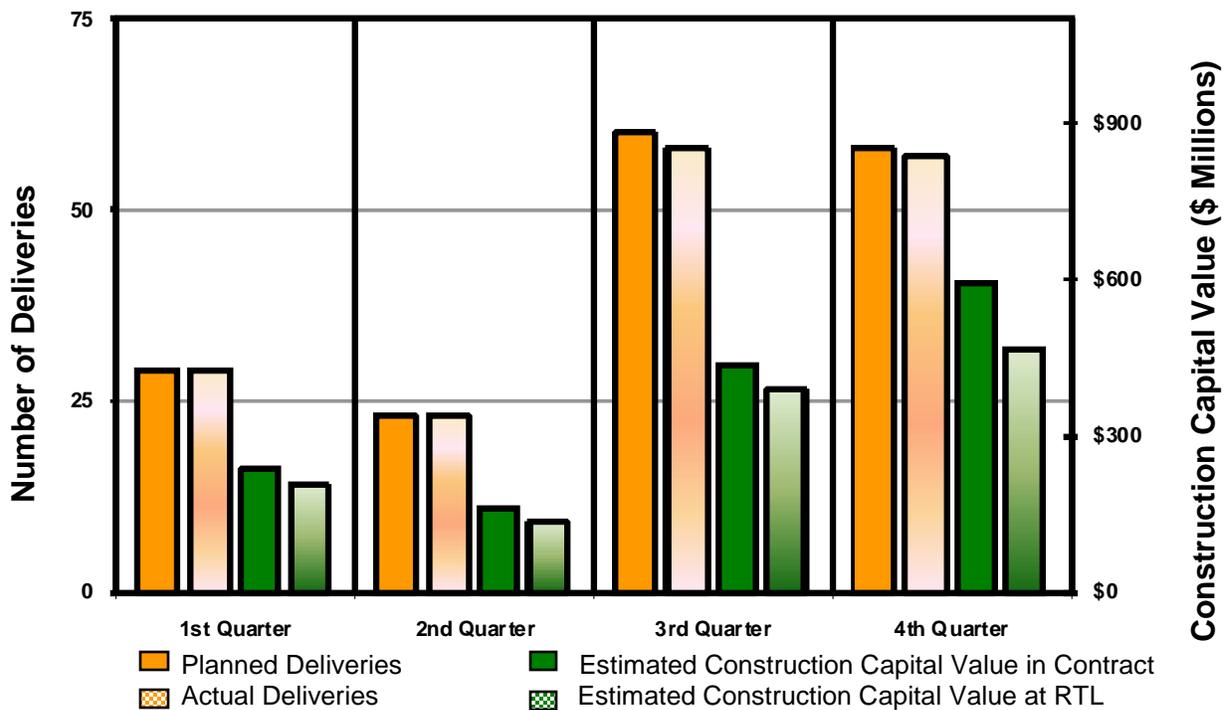
STATUS AS OF JUNE 30, 2013



STATEWIDE Contract for Delivery FY 2012-13

Ready to List (RTL) Milestone Delivery

| Description | 1st Quarter | 2nd Quarter | 3rd Quarter | 4th Quarter | TOTAL |
|---|-------------|-------------|-------------|-------------|-----------|
| NUMBER OF DELIVERIES | | | | | |
| Planned | 29 | 23 | 60 | 58 | 170 |
| Actual | 29 | 23 | 58 | 57 | 167 |
| CONSTRUCTION CAPITAL VALUE (\$ MILLIONS) | | | | | |
| Estimate in Contract | \$ 236.8 | \$ 161.9 | \$ 437.1 | \$ 594.5 | \$1,430.4 |
| Estimated at RTL | \$ 205.3 | \$ 135.3 | \$ 389.2 | \$ 467.0 | \$1,196.8 |





The California Department of Transportation Contract for Delivery! FY 2012/2013

4th Quarter Delivery Report 58 Planned Deliveries

| DISTRICT | PROJECT | PROGRAM | COUNTY | ROUTE | EST. CONST. CAPITAL VALUE IN CONTRACT (~1000's) | BUDGETED PE SUPPORT (1000's) | ACTUAL PE SUPPORT (1000's) | PROJECT DESCRIPTION | PROJ APP & ENV DOC | RIGHT OF WAY CERT | PLANS, SPECS, EST. | READY TO LIST | AWARD |
|----------|---------|---------|--------|-------|---|------------------------------|----------------------------|---|--------------------|-------------------|--------------------|---------------|------------|
| 1 | 0B100 | SHOPP | HUM | 101 | \$799 | \$415 | \$291 | INSTALL CABLE MEDIAN BARRIER | | ★ | AADD | ★ | 09/01/13 |
| 1 | 0C360 | SHOPP | MEN | 101 | \$919 | \$439 | \$126 | INSTALL HIGH FRICTION SURFACE | | ★ | AADD | ★ | 08/15/13 |
| 1 | 45090 | SHOPP | HUM | 169 | \$6,021 | \$2,992 | \$3,348 | WIDENING AND MBGR | | ★ | | | 10/15/13 |
| 1 | 47940 | STIP | DN | 199 | \$13,648 | \$4,231 | \$3,904 | REALIGNMENT AND WIDENING AT PATRICK CREEK NARROWS | | | | | 11/01/13 |
| 2 | 36070 | SHOPP | SHA | 299 | \$27,000 | \$5,500 | \$5,500 | ROADWAY REHABILITATION | | | | | 11/06/13 |
| 2 | 3C072 | SHOPP | LAS | 395 | \$2,500 | \$1,219 | \$879 | CAPM | | | AADD | ★ | ★ |
| 2 | 4E530 | SHOPP | SHA | 5 | \$6,100 | \$923 | \$620 | BRIDGE MAINTENANCE | | ★ | | | 09/06/13 |
| 3 | 1F330 | SHOPP | ED | 193 | \$1,625 | \$615 | \$542 | IMPROVE SUPERELEVATION OF CURVE | | | AADD | | 09/15/13 |
| 3 | 2F970 | SHOPP | COL | 20 | \$2,490 | \$400 | \$165 | PAVEMENT REHABILITATION | | ★ | AADD | ★ | 12/10/13 |
| 4 | 1A671 | SHOPP | ALA | 580 | \$49,290 | \$5,905 | \$4,025 | REHABILITATE BRIDGE DECK | | ★ | | | 11/19/2013 |
| 4 | 1G420 | SHOPP | SON | 116 | \$680 | \$717 | \$1,288 | CONSTRUCT RETAINING WALL, PLACE ROCK PROTECTION, MODIFY DRAINAGE, | | ★ | | | 09/22/13 |
| 4 | 23562 | SHOPP | SM | 101 | \$9,320 | \$4,356 | \$4,356 | REPLACE BRIDGE STRUCTURE AT SAN FRANCISQUITO CREEK | | ★ | | | 11/1/2013 |
| 4 | 2356A | LOCAL | SM | 101 | \$1,734 | \$585 | \$428 | REPLACEMENT LANDSCAPING | | | | ★ | 09/02/13 |
| 4 | 2A110 | SHOPP | NAP | 121 | \$6,200 | \$3,000 | \$3,798 | REPLACE CAPELL CREEK BRIDGE (SCOUR) | | ★ | ★ | ★ | |
| 4 | 2A250 | SHOPP | SCL | 152 | \$24,826 | \$7,652 | \$9,404 | IMPROVE SIGHT DISTANCE, UPGRADE SHOULDERS, MINOR REALIGNMENT, TURN- | | ★ | ★ | | 09/24/13 |
| 4 | 2A430 | SHOPP | SCL | 9 | \$8,746 | \$3,700 | \$4,255 | IMPROVE SIGHT DISTANCE, UPGRADE SHOULDERS, AND PROVIDE MINOR | | | | | 08/15/13 |
| 4 | 3A870 | SHOPP | CC | 680 | \$15,270 | \$3,600 | \$5,346 | BRIDGE REHABILITATION | | | | | 10/1/2013 |
| 4 | 4A510 | SHOPP | SF | 280 | \$9,004 | \$2,738 | \$1,875 | REPLACE BRIDGE HINGES | | | AADD | | 12/1/2013 |
| 4 | 4A630 | SHOPP | VAR | 000 | \$11,619 | \$2,700 | \$2,700 | CONSTRUCT WHEELCHAIR RAMPS | | | ★ | | 09/19/13 |
| 4 | 4S050 | SHOPP | SCL | 9 | \$2,780 | \$475 | \$1,380 | CONSTRUCT TIE-BACK WALL | | | | | 07/17/13 |
| 4 | 4S160 | SHOPP | SON | 1 | \$1,404 | \$1,270 | \$1,243 | INSTALL SUB-DRAINAGE SYSTEM, RECONSTRUCT EMBANKMENT | | ★ | ★ | ★ | 12/17/13 |
| 4 | 4S450 | SHOPP | MRN | 1 | \$1,100 | \$850 | \$1,256 | RECONSTRUCT SLOPE WITH RETAINING WALL | | | | | 11/01/13 |

FOURTH QUARTER APRIL 1 - JUNE 30

Status as of 6/30/2013



- AADD - Authority to Advertise District Delegation
- B - CMIA - Bond - Corridor Mobility Improvement Account
- B - RTE99 - P1B SR99 Improvement
- HM - b - Highway Maintenance - bridge
- HM - d - Highway Maintenance - drainage
- HM - p - Highway Maintenance - pavement
- L - Reimb - Local Reimbursed
- M - Reimb - Measure Reimbursed
- MTC - Metropolitan Transportation Commission
- PE - Preliminary Engineering
- PH2 Ret - Phase 2 Retrofit
- RA - Recovery Act
- Retro-SW - Retrofit Soundwall
- RM2 - Regional Measure 2
- STIPP - State Transportation Improvement Program
- TCIP - Trade Corridors Improvement Program
- TCRP - Traffic Congestion Relief Program
- TOLL - Other Toll
- TOLL-R - Toll Retrofit
- VAR - Various
- SHOPP - State Highway Operation Protection Prog.
- B-SHOPP - Bond - State Highway Operations Protection Program Augmentation

- Completed
- Completed Ahead of Schedule
- Behind Schedule
- To Be Completed/Awarded
- PE Support <= 80% of Budget
- PE Support >= 120% of Budget
- Awarded
- Awarded Ahead of Schedule
- Awarded Behind Schedule
- Future RTL Status Date
- PE Support Within Budget



The California Department of Transportation Contract for Delivery! FY 2012/2013

4th Quarter Delivery Report 58 Planned Deliveries

| DISTRICT | PROJECT | PROGRAM | COUNTY | ROUTE | EST. CONST. CAPITAL VALUE IN CONTRACT (~'1000's) | BUDGETED PE SUPPORT (~'1000's) | ACTUAL PE SUPPORT (~'1000's) | PROJECT DESCRIPTION | PROJ APP & ENV DOC | RIGHT OF WAY CERT | PLANS, SPECS, EST. | READY TO LIST | AWARD |
|----------|---------|---------|--------|-------|--|--------------------------------|------------------------------|--|--------------------|-------------------|--------------------|---------------|-----------|
| 4 | 4S770 | SHOPP | MRN | 1 | \$880 | \$480 | \$498 | REPLACE FAILED CULVERT AND EXTEND ANOTHER CULVERT IN ANOTHER | | ★ | AADD | | 08/08/13 |
| 5 | 0C901 | SHOPP | SCR | 1 | \$2,956 | \$1,009 | \$818 | INSTALL CCTV AND SIGNS | | | | ★ | 10/01/13 |
| 5 | 0G070 | SHOPP | SB | 101 | \$17,169 | \$3,749 | \$6,158 | UPGRADE EXISTING DRAINAGE CULVERTS | | | | | 11/15/13 |
| 6 | 0J930 | SHOPP | KER | 119 | \$2,097 | \$1,363 | \$1,363 | INSTALL GUARDRAIL AND EXTEND CULVERTS | | | AADD | | 10/15/13 |
| 7 | 25901 | SHOPP | LA | 710 | \$10,950 | \$1,470 | \$1,966 | SAND FILTERS & INFILTRATION DEVICES *PHASE 2 OF 10. | | | | | 10/10/13 |
| 7 | 27240 | SHOPP | LA | 5 | \$2,033 | \$465 | \$465 | STORM WATER MITIGATION | | ★ | AADD | | 10/08/13 |
| 7 | 27490 | SHOPP | LA | 110 | \$1,250 | \$300 | \$300 | INSTALL PLANTS FOR EROSION CONTROL | | | AADD | | 10/09/13 |
| 7 | 27590 | SHOPP | LA | 110 | \$1,300 | \$300 | \$300 | INSTALL PLANTS FOR EROSION CONTROL | | | AADD | | 10/09/13 |
| 7 | 2777U | SHOPP | LA | 5 | \$3,500 | \$900 | \$595 | INSTALL PLANTS FOR EROSION CONTROL *COMB FR 27750, 27760 & 27770 | | ★ | AADD | | 09/23/13 |
| 7 | 27830 | SHOPP | LA | 405 | \$9,200 | \$1,700 | \$1,883 | BRIDGE REHAB *BRIDGE# 53-1198 | | | AADD | ★ | 09/27/13 |
| 7 | 3X390 | SHOPP | LA | 1 | \$3,500 | \$500 | \$500 | REPLACE ENTIRE CRIB WALL SYSTEM *DIR | | | AADD | | 11/12/13 |
| 7 | 3X410 | SHOPP | LA | 2 | \$3,500 | \$490 | \$527 | CONSTRUCT DEBRIS WALL, GRADE SLOPE, PLACE EROSION CONTROL *DIR | | ★ | AADD | | 11/13/13 |
| 7 | 3X450 | SHOPP | LA | 1 | \$3,500 | \$525 | | REPAIR FAILED DRAINAGE *DIR | | 06/14/13 | 04/15/13 | 06/28/13 | 10/09/13 |
| 7 | 4H900 | SHOPP | LA | 60 | \$2,606 | \$646 | \$1,340 | WINDEN OFF-RAMP | | | AADD | | 08/28/13 |
| 7 | 4T490 | SHOPP | LA | 1 | \$570 | \$399 | \$398 | CONSTRUCT CURB RAMPS & SIDEWALK | | | AADD | ★ | 09/16/13 |
| 7 | 4T570 | SHOPP | LA | 105 | \$985 | \$255 | \$255 | RDWRK/FLSHNG BCN/LGTHNG DRNG, STRPNG | | ★ | | | 08/22/13 |
| 7 | 4T580 | SHOPP | LA | 210 | \$370 | \$151 | \$296 | INSTALL TRAFFIC SIGNAL | ★ | ★ | | ★ | 11/07/13 |
| 8 | 0M450 | SHOPP | SBD | 38 | \$765 | \$843 | \$1,008 | ADD LEFT TURN POCKETS | | ★ | AADD | ★ | 10/28/13 |
| 8 | 0N570 | SHOPP | SBD | 40 | \$1,175 | \$632 | \$480 | BRIDGE SIESMIC RETROFIT | | ★ | | ★ | 10/07/13 |
| 8 | 43541 | SHOPP | SBD | 40 | \$489 | \$477 | \$415 | PLACE ROCK SLOPE PROTECTION | ★ | ★ | AADD | | 09/05/13 |
| 8 | 44910 | SHOPP | RIV | 111 | \$7,398 | \$2,572 | \$2,431 | REPLACE BRIDGE | | ★ | | | 12/20/13 |
| 9 | 35160 | SHOPP | INY | 395 | \$5,573 | \$430 | \$265 | PAVEMENT PRESERVATION | | | AADD | | 7/15/2013 |

FOURTH QUARTER APRIL 1 - JUNE 30

Status as of 6/30/2013



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- Completed
- Completed Ahead of Schedule
- Behind Schedule
- To Be Completed/Awarded
- PE Support <= 80% of Budget
- PE Support >= 120% of Budget
- Awarded
- Awarded Ahead of Schedule
- Awarded Behind Schedule
- Future RTL Status Date
- PE Support Within Budget



The California Department of Transportation Contract for Delivery! FY 2012/2013

4th Quarter Delivery Report 58 Planned Deliveries

| DISTRICT | PROJECT | PROGRAM | COUNTY | ROUTE | EST. CONST. CAPITAL VALUE IN CONTRACT (~1000's) | BUDGETED PE SUPPORT (1000's) | ACTUAL PE SUPPORT (1000's) | PROJECT DESCRIPTION | PROJ APP & ENV DOC | RIGHT OF WAY CERT | PLANS, SPECS, EST. | READY TO LIST | AWARD |
|----------|---------|---------------|--------|-------|---|------------------------------|----------------------------|--|--------------------|-------------------|--------------------|---------------|----------|
| 9 | 35410 | SHOPP | MNO | 395 | \$2,045 | \$151 | \$158 | PAVEMENT PRESERVATION | ★ | ★ | AADD | ★ | 9/1/2013 |
| 10 | 0S110 | TCIF/LOCAL | SJ | 4 | \$121,808 | \$17,400 | \$3,795 | EXTEND FREEWAY | | ★ | | | 11/27/13 |
| 10 | 0T160 | SHOPP | SJ | 26 | \$2,789 | \$1,625 | \$1,275 | HORIZONTAL CURVE REALIGNMENT | | ★ | AADD | | 08/06/13 |
| 10 | 0T230 | SHOPP | SJ | 4 | \$739 | \$763 | \$763 | TRAFFIC CONTROL INSTALLATION AND WIDENING SHOULDER | | | | ★ | 09/04/13 |
| 11 | 00270 | SHOPP | SD | 5 | \$15,927 | \$2,652 | \$5,250 | CONSTRUCT AUXILIARY LANES/ WIDEN CONNECTOR | | ★ | AADD | ★ | 09/06/13 |
| 11 | 05632 | CIF/LOCAL/ ST | SD | 11 | \$67,100 | \$13,140 | \$12,209 | CONSTRUCT FREEWAY TO FREEWAY CONNECTORS | | ★ | AADD | ★ | 03/30/16 |
| 11 | 40670 | SHOPP | SD | 5 | \$53,315 | \$3,715 | \$3,715 | PAVEMENT PRESERVATION (CAPM) | | | AADD | | 11/21/13 |
| 12 | 0G331 | STIP | ORA | 91 | \$2,275 | \$379 | \$379 | HIGHWAY REPLACEMENT PLANTING | | ★ | AADD | ★ | 07/29/13 |
| 12 | 0H440 | SHOPP | ORA | 73 | \$18,044 | \$4,100 | \$3,914 | STORM WATER MITIGATION & SLOPE STABILITY | | ★ | | | 09/08/13 |
| 12 | 0L380 | SHOPP | ORA | 39 | \$3,090 | \$899 | \$928 | INSTALL NEW & UPGRADE CURB RAMPS AT VARIOUS LOCATIONS | | | ★ | ★ | 08/01/13 |
| 12 | 0L740 | SHOPP | ORA | 55 | \$16,900 | \$2,200 | \$2,200 | PAVEMENT RESURFACING INCLUDES RAMPS & APPROACH SLAB REPLACEMENT. | | | ★ | ★ | 09/22/13 |
| 12 | 0L750 | SHOPP | ORA | 91 | \$748 | \$329 | \$563 | SHOULDER WIDENING, SIGNING, STRIPING AND GURDRAIL MODIFICATION | | | ★ | ★ | 08/15/13 |
| 12 | 0L970 | SHOPP | ORA | 39 | \$919 | \$1,040 | \$688 | ADD SAFETY LIGHTING, MODIFY SIGNALS AND PAVEMENT MARKING, ADA UPDATE | | ★ | ★ | ★ | 11/01/13 |
| 12 | 0M360 | SHOPP | ORA | 55 | \$4,000 | \$1,040 | \$1,040 | CONSTRUCT CONCRETE MEDIAN BARRIER IN PLACE OF TEMPORARY K-RAIL | | | ★ | ★ | 09/22/13 |
| | | | | | \$594,540 | \$123,371 | \$115,867 | | | | | | |

FOURTH QUARTER APRIL 1 - JUNE 30

Status as of 6/30/2013



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The California Department of Transportation Contract for Delivery! FY 2012/2013

3rd Quarter Delivery Report 60 Planned Deliveries

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|----------|---------|------------|--------|-------|---|------------------------------|----------------------------|---|--------------------|-------------------|--------------------|---------------|----------|
| 1 | 0B190 | SHOPP | HUM | 101 | \$1,105 | \$541 | \$294 | INSTALL MEDIAN BARRIER | | ★ | AADD | | 07/24/13 |
| 1 | 26202 | STIP | MEN | 101 | \$26,290 | \$714 | \$1,112 | WETLAND/RIPARIAN MITIGATION | ★ | | AADD | | 05/01/13 |
| 1 | 37816 | SHOPP | MEN | 128 | \$5,000 | \$4,272 | \$3,968 | CULVERT REHABILITATION | | ★ | | ★ | ★ |
| 1 | 40280 | SHOPP | MEN | 101 | \$1,600 | \$2,259 | \$2,259 | CULVERT REHABILITATION | | | | | 07/01/13 |
| 1 | 45970 | SHOPP | HUM | 101 | \$9,969 | \$829 | \$1,458 | SEISMIC RETROFIT | | ★ | | | 07/01/13 |
| 1 | 47490 | SHOPP | MEN | 1 | \$3,400 | \$1,540 | | REPAIR STORM DAMAGE | | | | 03/01/13 | 07/01/13 |
| 1 | 47660 | SHOPP | MEN | 128 | \$10,329 | \$3,957 | \$1,766 | REPAIR STORM DAMAGE | | ★ | | | 07/01/13 |
| 1 | 48470 | SHOPP | MEN | 1 | \$2,500 | \$784 | | CONSTRUCT MBGR & CENTERLINE RUMBLE STRIPS, UPGRADE DRAINAGE INLETS | | | | 01/15/13 | 06/01/13 |
| 2 | 2C225 | SHOPP | TEH | 36 | \$1,300 | \$790 | \$920 | BRIDGE SCOUR | | ★ | AADD | ★ | ★ |
| 2 | 2E350 | SHOPP | TRI | 299 | \$2,385 | \$1,134 | \$2,078 | CURVE IMPROVEMENT | | ★ | | | 05/22/13 |
| 2 | 2E620 | SHOPP | TEH | 36 | \$2,500 | \$1,110 | \$1,011 | CURVE IMPROVEMENT | | ★ | | | ★ |
| 2 | 2E730 | SHOPP | TEH | 32 | \$1,900 | \$675 | \$658 | CURVE IMPROVEMENT AND SHOULDER WIDENING | | | | | |
| 2 | 3E710 | SHOPP | TRI | 36 | \$960 | \$352 | \$338 | CURVE IMPROVEMENT | | ★ | | | ★ |
| 3 | 0F230 | SHOPP | SAC | 50 | \$36,600 | \$4,020 | \$3,320 | INSTALL TWO 4" MICRODECK SYSTEMS TO REHABILITATE TWO BRIDGE DECKS | | | ★ | | 09/01/13 |
| 3 | 0F300 | SHOPP | ED | 50 | \$4,960 | \$882 | \$845 | RETROFIT COLUMNS AND ADD BRACING | | ★ | | | 08/15/13 |
| 3 | 3E100 | SHOPP | PLA | 80 | \$27,134 | \$4,695 | \$4,695 | VERTICAL CLEARANCE FOR PERMIT VEHICLE | | | | | 09/01/13 |
| 3 | 3F320 | SHOPP | SAC | 50 | \$1,456 | \$210 | \$205 | PLACE THIN HIGH FRICTION SURFACE TREATMENT AND OPEN GRADED ASPHALT | | ★ | AADD | ★ | ★ |
| 3 | 4E500 | STIP | SIE | 89 | \$450 | \$260 | \$298 | CONSTRUCT WILDLIFE CROSSING | | ★ | | ★ | |
| 4 | 15330 | CMAQ | SCL | 101 | \$26,548 | \$4,200 | \$3,785 | INSTALL RAMP METERING & TRAFFIC OPERATION SYSTEMS. | | ★ | | | 06/03/13 |
| 4 | 1A290 | SHOPP | SON | 12 | \$11,167 | \$4,375 | \$7,282 | REPLACE BRIDGE FOR SCOUR | | | | | 06/01/13 |
| 4 | 1G070 | SHOPP | SCL | 9 | \$2,633 | \$462 | \$684 | SHOULDER WIDENING | | ★ | | ★ | |
| 4 | 1G250 | BATA-REHAB | SF | 80 | \$2,200 | \$760 | \$713 | REPLACE FLUORESCENT LIGHTING WITH HIGH PRESSURE SODIUM VAPOR LIGHTING | | | | | 04/01/13 |

THIRD QUARTER JANUARY 1 - MARCH 31

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3rd Quarter Delivery Report 60 Planned Deliveries

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|----------|---------|---------------|--------|-------|---|------------------------------|----------------------------|---|--------------------|-------------------|--------------------|---------------|----------|
| 4 | 1G260 | BATA-REHAB | SF | 80 | \$2,800 | \$2,720 | \$554 | REPLACE FLUORESCENT LIGHTING WITH HIGH PRESSURE SODIUM VAPOR LIGHTING | | | | | 04/01/13 |
| 4 | 24544 | STIP | SON | 101 | \$2,450 | \$1,850 | \$1,850 | COLLEGE AVENUE IMPROVEMENT | | | | | 09/18/13 |
| 4 | 2A620 | SHOPP | SOL | 12 | \$9,935 | \$4,733 | \$6,040 | INSTALL LEFT TURN POCKETS, FROM AZAVEDO RD TO LIBERTY ISLAND RD | | | | | 06/07/13 |
| 4 | 2G361 | RM1 | ALA | 92 | \$1,490 | \$520 | \$614 | REPLACEMENT PLANTING AND IRRIGATION | | | | | |
| 4 | 4G160 | SHOPP | SF | 101 | \$570 | \$194 | \$260 | RECONSTRUCT BRIDGE RAILING AND DECK | | ★ | ★ | ★ | ★ |
| 4 | 4S070 | SHOPP | SCL | 101 | \$1,565 | \$240 | \$552 | INSTALL RSP | | ★ | | | 04/15/13 |
| 5 | 0Q631 | SHOPP | SLO | 101 | \$200 | \$152 | \$63 | Landscape mitigation | ★ | | | ★ | 04/15/13 |
| 5 | 0R910 | SHOPP | SCR | 1 | \$2,469 | \$1,406 | \$1,356 | UPGRADE MBGR, CONSTRUCT CONCRETE BARRIER & RETAINING WALLS & GUARD | | | | | 07/01/13 |
| 6 | 0E660 | STIP | KER | 99 | \$1,126 | \$304 | \$354 | 99 CORRIDOR-BRIDGE ENHANCEMENT | | ★ | | ★ | 08/01/13 |
| 6 | 0E670 | STIP | TUL | 99 | \$534 | \$233 | \$418 | 99 CORRIDOR-BRIDGE ENHANCEMENT | | ★ | | ★ | 08/01/13 |
| 6 | 0G850 | LOCAL | KER | 58 | \$21,085 | \$2,950 | \$3,021 | WIDEN FREEWAY FROM 4 TO 6 LANES | ★ | | | | |
| 6 | 0L390 | SHOPP | KER | 99 | \$1,136 | \$1,085 | \$1,045 | RELOCATE RIGHT TURN LANE OF THE SB ONRAMP TO SR 99 | | | | | ★ |
| 6 | 0N380 | SHOPP | KER | 178 | \$342 | \$149 | \$428 | CONSTRUCT RETAINING STRUCTURES | ★ | ★ | | ★ | 07/01/13 |
| 6 | 0N390 | SHOPP | TUL | 245 | \$406 | \$466 | \$332 | CONSTRUCT ROCK SLOPE PROTECTION | | ★ | AADD | | 08/15/13 |
| 7 | 21595 | OCAL/SLPP/ ST | LA | 5 | \$131,786 | \$15,851 | \$15,851 | ROADWAY WIDENING & STRIPING -SEG 5 | | | | | 06/17/13 |
| 7 | 25920 | SHOPP | LA | 10 | \$5,654 | \$759 | \$759 | SAND FILTERS & INFILTRATION DEVICES *PHASE 2 OF 10 | | | AADD | | 07/29/13 |
| 7 | 2768U | SHOPP | LA | 210 | \$2,400 | \$600 | \$377 | INSTALL PLANTS FOR EROSION CONTROL *COMB FR 27680 & 27710 | | ★ | AADD | | 08/07/13 |
| 7 | 27880 | SHOPP | LA | 5 | \$1,647 | \$264 | \$913 | UPGRADE WEIGH STATION | | | | | 08/14/13 |
| 7 | 3X350 | SHOPP | LA | 105 | \$500 | \$100 | \$100 | RECONSTRUCT THE FAILED SLOPE / HYDRO SEED *DIR | | ★ | AADD | | 09/12/13 |
| 7 | 3X660 | SHOPP | LA | 10 | \$1,500 | \$270 | \$139 | CONSTRUCT RETAINING WALL AND EXTEND DRAINAGE SYSTEM | | | AADD | | 08/16/13 |
| 7 | 4T560 | SHOPP | LA | 107 | \$408 | \$140 | \$408 | INSTALL ADA SIGNALS | | | AADD | | 08/01/13 |
| 8 | 0N510 | SHOPP | RIV | 15 | \$2,830 | \$788 | \$783 | REPLACE EXISTING GUARDRAIL WITH CONCRETE BARRIER | | ★ | AADD | ★ | 09/30/13 |

THIRD QUARTER JANUARY 1 - MARCH 31

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| 8 | 49180 | SHOPP | RIV | 62 | \$15,309 | \$2,194 | \$1,548 | PAVEMENT REHAB INCLUDING SHOULDERS, | | | ★ | | 08/15/13 |
| 10 | 0N830 | SHOPP | SJ | 000 | \$430 | \$187 | \$187 | INSTALL DESIGNED SOIL REMEDIATION | | ★ | | | 05/10/13 |
| 10 | 0S950 | STIP | MER | 99 | \$900 | \$183 | \$390 | CORRIDOR BRIDGE ENHANCEMENT | | ★ | AADD | ★ | 06/21/13 |
| 10 | 0T040 | SHOPP | AMA | 104 | \$433 | \$216 | \$149 | HIGHWAY RAIL GRADE CROSSING WARNING DEVICE | | ★ | AADD | | 05/01/13 |
| 10 | 0U280 | SHOPP | AMA | 88 | \$652 | \$282 | \$236 | INSTALL CENTERLINE RUMBLE STRIPS | | ★ | AADD | | 05/29/13 |
| 10 | 0U500 | SHOPP | MER | 5 | \$654 | \$373 | \$268 | INSTALL DOUBLE BEAM BARRIER (DTBB) IN THE CENTER MEDIAN | | ★ | AADD | | |
| 10 | 0U610 | SHOPP | SJ | 12 | \$2,200 | \$605 | \$281 | REMOVE & REPLACE EXISTING CONCRETE BRIDGE DECK & REPLACE JOINT SEALS | ★ | ★ | AADD | | 08/07/13 |
| 11 | 26501 | STIP | SD | 163 | \$3,976 | \$725 | \$1,091 | SCENIC/HISTORIC HIGHWAY PRESERVATION (PHASE 2A) TRANSPORTATION ENHANCEMENT | | ★ | AADD | | 07/11/13 |
| 11 | 28240 | SHOPP | SD | 15 | \$6,550 | \$1,564 | \$1,043 | STORM WATER MITIGATION: CONSTRUCT BIOSWALES AND INFILTRATION TRENCHES, | | | AADD | | 07/26/13 |
| 11 | 29480 | STIP | IMP | 186 | \$1,535 | \$566 | \$1,250 | PEDESTRIAN/TRANSIT FACILITIES -(TE) | | ★ | AADD | | 06/29/13 |
| 11 | 2T183 | LOCAL/DEMO | SD | 805 | \$13,379 | \$4,187 | \$7,888 | CONSTRUCT SOUNDWALLS | | ★ | AADD | | 06/27/13 |
| 11 | 40140 | SHOPP | SD | 5 | \$8,450 | \$1,462 | \$1,829 | REMOVE EXISTING MBGR AND REPLACE WITH CONCRETE BARRIER AND UPGRADE | | ★ | AADD | | 07/06/13 |
| 11 | 40430 | SHOPP | SD | 5 | \$3,971 | \$811 | \$876 | CONSTRUCT OUTER SEPARATION BARRIER | | ★ | AADD | | 07/18/13 |
| 11 | 40890 | SHOPP | SD | 5 | \$1,950 | \$352 | \$550 | CLEAN AND TREAT BRIDGE DECK WITH METHACRYLATE AND REPLACE JOINT SEALS | | ★ | AADD | | 06/06/13 |
| 12 | 0L77U | SHOPP | ORA | 39 | \$950 | \$635 | \$497 | INSTALL ADDITIONAL SAFETY LIGHTING AND MODIFY SIGNALS. | | ★ | ★ | ★ | ★ |
| 12 | 0L870 | SHOPP | ORA | 5 | \$575 | \$484 | \$518 | SIGNAL MODIFICATION SAFETY/TRAFFIC OPERATION | | ★ | ★ | ★ | ★ |
| | | | | | \$437,133 | \$89,421 | \$92,507 | | | | | | |

THIRD QUARTER JANUARY 1 - MARCH 31

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2nd Quarter Delivery Report 23 Planned Deliveries

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| 1 | 36432 | SHOPP | MEN | 20 | \$1,883 | \$2,890 | \$3,382 | REHABILITATE DRAINAGE | | ★ | | | 02/01/13 |
| 1 | 47690 | SHOPP | DN | 101 | \$6,700 | \$1,357 | \$1,320 | REMOVE & RECONSTRUCT HINGES @ SPANS 2, 8 & 11 | | ★ | AADD | ★ | |
| 2 | 3E650 | SHOPP | VAR | 5 | \$3,305 | \$735 | \$446 | BRIDGE MAINTENANCE | | ★ | ★ | ★ | ★ |
| 2 | 3E690 | SHOPP | MOD | 299 | \$1,293 | \$730 | \$505 | SHOULDER WIDENING | | | | | ★ |
| 3 | 0F680 | SHOPP | SAC | 80 | \$1,730 | \$448 | \$393 | REPLACE JOINTS AND SUPER-REHAB | | ★ | AADD | | |
| 3 | 1A731 | SHOPP | ED | 50 | \$13,139 | \$6,615 | \$6,373 | STORM WATER QUALITY IMPROVEMENTS, OVERLAY, WIDEN SHOULDER, REPLACE | | | | | 08/01/13 |
| 3 | 1A844 | SHOPP | ED | 89 | \$20,659 | \$5,809 | \$6,107 | STORM WATER QUALITY IMPROVEMENTS O/L, WIDEN, ADD DIKES & RET BASINS | | | | | |
| 3 | 3F030 | SHOPP | NEV | 80 | \$1,774 | \$375 | \$445 | INSTALL CONCRETE MEDIAN BARRIER | | ★ | AADD | ★ | |
| 3 | 4E590 | SHOPP | ED | 49 | \$1,495 | \$697 | \$769 | INCREASE SUPERELEVATION OF CURVE | | ★ | AADD | ★ | |
| 4 | 1123H | STIP | SM | 1 | \$1,150 | \$151 | \$1,190 | MITIGATION AT DISPOSAL SITE, N & S PORTALS, S ROCK CUT & POND REPAIR | | ★ | | | 04/15/13 |
| 4 | 4A260 | SHOPP | ALA | 580 | \$4,537 | \$800 | \$1,220 | INSTALL METAL BEAM GUARDRAIL | | ★ | ★ | ★ | 05/01/13 |
| 5 | 0M980 | SHOPP | SCR | 1 | \$1,543 | \$582 | \$667 | GUARDRAIL UPGRADE | | | | | |
| 5 | 0Q570 | SHOPP | MON | 101 | \$8,000 | \$977 | \$1,160 | INSTALL MEDIAN BARRIER | | | ★ | ★ | |
| 5 | 33075 | STIP | SLO | 46 | \$4,300 | \$1,024 | \$1,326 | BRIDGE REPLACEMENT | | | ★ | ★ | ★ |
| 6 | 34252 | P/LOCAL/ FUTU | FRE | 180 | \$26,500 | \$8,449 | \$8,962 | CONSTRUCT 4 LANE EXPRESSWAY ON EXISTING ALIGNMENT | | | | | ★ |
| 7 | 26590 | SHOPP | LA | 101 | \$3,241 | \$956 | \$1,831 | UPGRADE BRIDGE RAILS | | | AADD | | 05/19/14 |
| 8 | 0K310 | SHOPP | SBD | 95 | \$3,797 | \$1,148 | \$1,318 | VERTICAL CURVE ALIGNMENT | | ★ | | | 05/23/13 |
| 8 | 0Q110 | SHOPP | RIV | 10 | \$3,570 | \$595 | \$740 | REPLACE CHAIN LINK FENCE & BARBED WIRE FENCE WITH CONCRETE BARRIER | | ★ | ★ | ★ | ★ |
| 10 | 0G800 | SHOPP | SJ | 12 | \$31,000 | \$3,983 | \$3,635 | ROADWAY REHABILITATION BY WIDENING THE SHOULDERS | | ★ | | | 07/03/13 |
| 11 | 06381 | SHOPP | SD | 8 | \$1,697 | \$315 | \$581 | HIGHWAY PLANTING/IRRIGATION SYSTEM FOR PPNO 0187P | | ★ | AADD | | ★ |
| 11 | 29040 | SHOPP | SD | 94 | \$14,513 | \$2,225 | \$1,419 | PAVEMENT REHABILITATION | | ★ | AADD | | 06/13/13 |
| 11 | 40280 | SHOPP | SD | 52 | \$3,500 | \$790 | \$987 | PAVEMENT REHABILITATION | | | AADD | | 05/23/13 |

SECOND QUARTER OCTOBER 1 - DECEMBER 31

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| 11 | 40370 | SHOPP | SD | 163 | \$2,605 | \$461 | \$518 | INSTALL OUTER SEPARATION BARRIER | | | AADD | ★ | ★ |
| | | | | | \$161,931 | \$42,112 | \$45,294 | | | | | | |

SECOND QUARTER OCTOBER 1 - DECEMBER 31

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- SHOPP - State Highway Operation Protection Prog.
- B-SHOPP - Bond - State Highway Operations Protection Program Augmentation

- Completed
- Completed Ahead of Schedule
- Behind Schedule
- To Be Completed/Awarded
- PE Support <= 80% of Budget
- PE Support >= 120% of Budget
- Awarded
- Awarded Ahead of Schedule
- Awarded Behind Schedule
- PE Support Within Budget
- Future RTL Status Date



The California Department of Transportation Contract for Delivery! FY 2012/2013

1st Quarter Delivery Report 29 Planned Deliveries

| DISTRICT | PROJECT | PROGRAM | COUNTY | ROUTE | EST. CONST. CAPITAL VALUE IN CONTRACT (~1000's) | BUDGETED PE SUPPORT (1000's) | ACTUAL PE SUPPORT (1000's) | PROJECT DESCRIPTION | PROJ APP & ENV DOC | RIGHT OF WAY CERT | PLANS, SPECS, EST. | READY TO LIST | AWARD |
|----------|---------|---------------|--------|-------|---|------------------------------|----------------------------|--|--------------------|-------------------|--------------------|---------------|----------|
| 2 | 0E440 | STIP | SIS | 97 | \$743 | \$239 | \$313 | TURN LANE | | | AADD | ★ | ★ |
| 2 | 0E840 | STIP | SIS | 3 | \$743 | \$239 | \$304 | INSTALL LEFT TURN LANE AT JUNIPER DRIVE | | ★ | AADD | ★ | ★ |
| 2 | 2E291 | SHOPP | SIS | 96 | \$8,200 | \$20 | \$44 | BRIDGE PREVENTIVE MAINTENANCE | | | AADD | ★ | |
| 3 | 1A732 | SHOPP | ED | 50 | \$10,144 | \$4,889 | \$4,443 | STORM WATER QUALITY IMPROVEMENTS, OVERLAY, WIDEN SHOULDER, REPLACE | | ★ | | | |
| 4 | 00394 | BATA-REHAB | CC | 580 | \$3,500 | \$2,720 | \$2,727 | REPLACE MAINTENANCE BUILDINGS | | | ★ | | |
| 4 | 01408 | OPP/BATA-REH | ALA | 80 | \$39,000 | \$4,850 | \$1,586 | ALA-80-1.8/0 SFOBB MAINTENANCE OPERATIONS BUILDING-PHASE 1 | | | | | |
| 4 | 0A090 | SHOPP | SOL | 80 | \$2,500 | \$1,898 | \$3,119 | LENGTHENING ON-RAMP AND WIDEN ALAMO CREEK BRIDGE. | | ★ | ★ | ★ | |
| 4 | 4A925 | LSP/STIP/LOCA | SM | 101 | \$6,970 | \$690 | \$244 | INSTALL INTELLIGENT TRANSPORTATION SYSTEM ELEMENTS | | | | | |
| 5 | 0G160 | SHOPP | SB | 166 | \$3,731 | \$2,633 | \$2,441 | RELOCATE DRAINAGE DITCHES | | | ★ | | |
| 6 | 0H100 | SHOPP | FRE | 168 | \$3,700 | \$446 | \$569 | AC OVERLAY | | ★ | AADD | ★ | ★ |
| 6 | 0H170 | SHOPP | FRE | 180 | \$3,564 | \$1,938 | \$1,743 | BRIDGE REPLACEMENT | | | | | 02/01/13 |
| 6 | 0H180 | SHOPP | KER | 14 | \$14,450 | \$2,206 | \$2,116 | BRIDGE REPLACEMENT (SCOUR) | | ★ | | | |
| 6 | 0M800 | SHOPP | MAD | 99 | \$680 | \$368 | \$346 | INSTALL MEDIAN BARRIER | | | AADD | | ★ |
| 6 | 36023 | STIP | TUL | 99 | \$17,700 | \$1,850 | \$377 | 4 LANE FREEWAY TO 6 LANE FREEWAY | | | ★ | | 11/30/12 |
| 6 | 48750 | STIP | KIN | 198 | \$15,491 | \$3,996 | \$5,398 | RECONSTRUCT INTERCHANGE | | | | | 05/15/13 |
| 7 | 25880 | SHOPP | LA | 5 | \$2,600 | \$756 | \$589 | SOIL STABILIZATION & REVEGETATION | | | AADD | | |
| 7 | 3X180 | SHOPP | LA | 47 | \$415 | \$83 | \$179 | STORM DAMAGE REPAIRS *DIR | | | AADD | | |
| 8 | 0G840 | SHOPP | SBD | 15 | \$11,335 | \$3,626 | \$3,687 | UPGRADE AND INCREASE CAPACITY AT THE SAFETY ROADSIDE REST AREA | | | | | 04/01/13 |
| 8 | 0Q860 | SHOPP | SBD | 15 | \$176 | \$180 | \$207 | REPLACE OVERHEAD SIGN STRUCTURE | | | | | |
| 10 | 0G350 | SHOPP | SJ | 12 | \$2,745 | \$1,342 | \$1,024 | REPLACE BEARING PADS, JOINT SEALS | | ★ | | | 01/02/13 |
| 10 | 0K330 | SHOPP | SJ | 5 | \$2,590 | \$1,406 | \$1,491 | INSTALL TRAFFIC MONITORING STATIONS (TMS) AT VARIOUS LOCATIONS | | ★ | ★ | | ★ |
| 10 | 0S780 | STIP | STA | 99 | \$1,075 | \$572 | \$575 | BRIDGE ENHANCEMENT, 16 STRUCTURES | | | AADD | ★ | |

FIRST QUARTER JULY 1 - SEPTEMBER 30

Status as of 6/30/2013



- AADD - Authority to Advertise District Delegation
- B - CMIA - Bond - Corridor Mobility Improvement Account
- B - RTE99 - P1B SR99 Improvement
- HM - b - Highway Maintenance - bridge
- HM - d - Highway Maintenance - drainage
- HM - p - Highway Maintenance - pavement
- L - Reimb - Local Reimbursed
- M - Reimb - Measure Reimbursed
- MTC - Metropolitan Transportation Commission
- PE - Preliminary Engineering
- PH2 Ret - Phase 2 Retrofit
- RA - Recovery Act
- Retro-SW - Retrofit Soundwall
- RM2 - Regional Measure 2
- STIPP - State Transportation Improvement Program
- TCIP - Trade Corridors Improvement Program
- TCRP - Traffic Congestion Relief Program
- TOLL - Other Toll
- TOLL-R - Toll Retrofit
- VAR - Various
- SHOPP - State Highway Operation Protection Prog.
- B-SHOPP - Bond - State Highway Operations Protection Program Augmentation

- Completed
- Completed Ahead of Schedule
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- PE Support <= 80% of Budget
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- Awarded Ahead of Schedule
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- Future RTL Status Date
- PE Support Within Budget



The California Department of Transportation Contract for Delivery! FY 2012/2013

1st Quarter Delivery Report 29 Planned Deliveries

| DISTRICT | PROJECT | PROGRAM | COUNTY | ROUTE | EST. CONST. CAPITAL VALUE IN CONTRACT (~1000's) | BUDGETED PE SUPPORT (1000's) | ACTUAL PE SUPPORT (1000's) | PROJECT DESCRIPTION | PROJ APP & ENV DOC | RIGHT OF WAY CERT | PLANS, SPECS, EST. | READY TO LIST | AWARD |
|----------|---------|-------------|--------|-------|---|------------------------------|----------------------------|--|--------------------|-------------------|--------------------|---------------|----------|
| 10 | OT140 | SHOPP | AMA | 49 | \$464 | \$476 | \$503 | INSTALL NEW SIGNAL | ★ | ★ | ★ | ★ | |
| 11 | 0223U | RTIP/SHOPP | SD | 5 | \$74,700 | \$3,417 | \$500 | REPLACE BRIDGE, RECONSTRUCT INTERCHANGE, SIGNAL INTERSECTION, ADD | | | AADD | | 11/12/12 |
| 11 | 27520 | SHOPP | IMP | 98 | \$5,440 | \$1,060 | \$479 | COLD PLANE AND OVERLAY PAVEMENT | | ★ | AADD | | |
| 11 | 2T230 | LOCAL/ DEMO | SD | 78 | \$720 | \$180 | \$253 | SR-78 LANDSCAPE | | | AADD | ★ | |
| 12 | OK330 | STIP | ORA | 91 | \$607 | \$127 | \$217 | WILDLIFE CORRIDOR CONNECTIVITY ENHANCEMENT (INSTALL VEGETATION) | | | | ★ | |
| 12 | OK530 | SHOPP | ORA | 91 | \$2,520 | \$560 | \$710 | RESURFACE ALL LANES WITH RUBBERIZED DENSE AC | | ★ | ★ | ★ | |
| 12 | 0M000 | SHOPP | ORA | 55 | \$300 | \$380 | \$443 | OVERLAY THE CONNECTOR WITH OGAC, MODIFY DRAINAGE, UPGRADE METAL BEAM | | | | ★ | |
| | | | | | \$236,803 | \$43,147 | \$36,627 | | | | | | |

FIRST QUARTER JULY 1 - SEPTEMBER 30 **Status as of 6/30/2013**

| | | | | |
|--|---|--|-------------------------------|-----------------------------|
| | AADD - Authority to Advertise District Delegation | RA - Recovery Act | Completed | Awarded |
| | B - CMIA - Bond - Corridor Mobility Improvement Account | Retro-SW - Retrofit Soundwall | ★ Completed Ahead of Schedule | ★ Awarded Ahead of Schedule |
| | B - RTE99 - P1B SR99 Improvement | RM2 - Regional Measure 2 | Behind Schedule | Awarded Behind Schedule |
| | HM - b - Highway Maintenance - bridge | STIPP - State Transportation Improvement Program | □ To Be Completed/Awarded | |
| HM - d - Highway Maintenance - drainage | TCIP - Trade Corridors Improvement Program | PE Support <= 80% of Budget | PE Support Within Budget | |
| HM - p - Highway Maintenance - pavement | TCRP - Traffic Congestion Relief Program | PE Support >= 120% of Budget | Future RTL Status Date | |
| L - Reimb - Local Reimbursed | TOLL - Other Toll | | | |
| M - Reimb - Measure Reimbursed | TOLL-R - Toll Retrofit | | | |
| MTC - Metropolitan Transportation Commission | VAR - Various | | | |
| PE - Preliminary Engineering | SHOPP - State Highway Operation Protection Prog. | | | |
| PH2 Ret - Phase 2 Retrofit | B-SHOPP - Bond - State Highway Operations Protection Program Augmentation | | | |

Program Delivery Summary

This section describes by funding programs the number and dollar value of all projects delivered.

Intercity Rail Program

For FY 2012-13, five Intercity Rail projects valued at \$44.0 million were programmed for delivery.

Number of Intercity Rail Projects

| | Q1 | Q2 | Q3 | Q4 | Annual |
|--------|----|----|----|----|--------|
| Plan | 0 | 0 | 2 | 3 | 5 |
| Actual | 0 | 0 | 2 | 0 | 2 |

Value of Intercity Rail Projects

| | Q1 | Q2 | Q3 | Q4 | Annual |
|--------|--------|--------|--------|---------|---------|
| Plan | \$ 0.0 | \$ 0.0 | \$ 6.6 | \$ 37.4 | \$ 44.0 |
| Actual | \$ 0.0 | \$ 0.0 | \$ 6.6 | \$ 0.0 | \$ 6.6 |

AB 1740 Retrofit Soundwall Program

All 63 planned projects with a construction value of \$215 million have been delivered within the program budget of \$226 million.

| | Delivered | | Construction Completed | |
|-----------|-----------|------|------------------------|-----|
| Locations | 63 | 100% | 61 | 97% |
| Value | \$ 215 | 95% | \$ 211 | 93% |

The balance of \$11 million is being held in reserve pending settlement of any potential claims and closing out of all projects. The last two projects under construction have completion dates in FY 2013-14.

Delivery Summary of All Programs

Though the end of the fourth quarter, FY 2012-13, Caltrans delivered a total of 450 projects valued at \$2,134 million from all programs.

Projects are shown below by the planned program and dollar value.

| Projects by Funding Programs | Number | | Value | |
|------------------------------|-------------|------|-------------|------------|
| | Annual Plan | FYTD | Annual Plan | FYTD |
| STIP (w TCRP,TFA) | 23 | 20 | \$ 137.8 | \$ 100.4 |
| SHOPP | 151 | 162 | \$ 863.1 | \$ 1,095.3 |
| BOND | 6 | 8 | \$ 214.7 | \$ 249.5 |
| Partnership* | 15 | 15 | \$ 310.5 | \$ 310.5 |
| Minor (CFD) | 2 | 2 | \$ 0.4 | \$ 0.4 |
| Subtotal | 197 | 207 | \$ 1,526.5 | \$ 1,756.1 |
| Emergency | | 40 | | \$ 59.8 |
| Minor | | 40 | | \$ 28.2 |
| Maintenance | | 163 | | \$ 289.4 |
| Total | | 450 | | \$ 2,133.5 |

* Partnership funds include all local funds and federal fund subventions given to local agencies.

Detailed Delivery Summary of All Projects by Programs

| Programs | Annual Number of Projects | | | Annual Dollar Value of Projects | | |
|--|---------------------------|------------|------------|---------------------------------|-------------------|------------|
| | Plan | Actual | Percent | Plan | Actual | Percent |
| STIP Program | | | | | | |
| STIP (w TCRP, TFA) | 18 | 18 | 100 | \$ 93.8 | \$ 93.8 | 100 |
| Intercity Rail | 5 | 2 | 40 | \$ 44.0 | \$ 6.6 | 15 |
| Advanced** STIP | | 0 | | | \$ 0.0 | |
| TOTAL STIP | 23 | 20 | 87 | \$ 137.8 | \$ 100.4 | 73 |
| SHOPP (w Augmentation) | | | | | | |
| SHOPP (w Augmentation) | 139 | 136 | 98 | \$ 812.1 | \$ 802.7 | 99 |
| Amended** SHOPP | 12 | 12 | 100 | \$ 51.0 | \$ 51.0 | 100 |
| Design Build SHOPP | | 1 | | | \$ 158.0 | |
| Advanced** SHOPP | | 13 | | | \$ 84.2 | |
| | 151 | 162 | 107 | \$ 863.1 | \$ 1,095.3 | 127 |
| Other ** Programs in Contract (excluding Intercity Rail Bond Program) | | | | | | |
| BOND | 6 | 6 | 100 | \$ 214.7 | \$ 214.7 | 100 |
| Amended** BOND | | 2 | | | \$ 34.8 | |
| Partnership | 15 | 15 | 100 | \$ 310.5 | \$ 310.5 | 100 |
| Minor | 2 | 2 | 100 | \$ 0.4 | \$ 0.4 | 100 |
| TOTAL "Other" | 23 | 25 | 109 | \$ 525.6 | \$ 560.4 | 107 |
| Additional ** Programs | | | | | | |
| Emergency | | 40 | | | \$ 59.8 | |
| Minor | | 40 | | | \$ 28.2 | |
| Maintenance | | 163 | | | \$ 289.4 | |
| TOTAL "Additional" | | 243 | | | \$ 377.4 | |
| TOTAL All Programs | | | | | | |
| STIP | 23 | 20 | 87 | \$ 137.8 | \$ 100.4 | 73 |
| SHOPP | 151 | 162 | 107 | \$ 863.1 | \$ 1,095.3 | 127 |
| Other | 23 | 25 | 109 | \$ 525.6 | \$ 560.4 | 107 |
| Subtotal | 197 | 207 | 105 | \$ 1,526.5 | \$ 1,756.1 | 115 |
| Additional | | 243 | | | \$ 377.4 | |
| TOTAL | | 450 | | | \$ 2,133.5 | |

**** Notes:**

Additional – Recent projects not in contract. Includes funding reservations.

Amended – Added or deleted to program by amendment.

Advanced – Delivered early from future program year. (Not included in planned numbers)

Other – planned non-STIP/SHOPP projects committed in contract.

Delivery Percentages – Advances in contracts are included in planned figures, other advances are not included in planned figures, but are added to delivered figures.

Due to multiple funding sources on some projects, the sum of contract projects by funding source will exceed the number of planned contract projects.

Historical Program Delivery Comparison

4th Quarter "Annual Plan" Comparison

Number of STIP Projects

| | 12-13 | 11-12 | 10-11 | 09-10 | 08-09 |
|-------------|-------|-------|-------|-------|-------|
| Annual Plan | 23 | 31 | 26 | 39 | 36 |
| FYTD | 20 | 27 | 23 | 37 | 36 |
| Percent | 87 | 87 | 88 | 95 | 100 |

Value of STIP Projects

| | 12-13 | 11-12 | 10-11 | 09-10 | 08-09 |
|-------------|--------|--------|--------|--------|--------|
| Annual Plan | \$ 138 | \$ 510 | \$ 320 | \$ 380 | \$ 454 |
| FYTD | \$ 100 | \$ 487 | \$ 314 | \$ 221 | \$ 454 |
| Percent | 73 | 95 | 98 | 58 | 100 |

Number of SHOPP Projects

| | 12-13 | 11-12 | 10-11 | 09-10 | 08-09 |
|-------------|-------|-------|-------|-------|-------|
| Annual Plan | 151 | 197 | 263 | 247 | 234 |
| FYTD | 162 | 194 | 269 | 263 | 245 |
| Percent | 107 | 98 | 102 | 106 | 105 |

Value of SHOPP Projects

| | 12-13 | 11-12 | 10-11 | 09-10 | 08-09 |
|-------------|---------|---------|---------|---------|---------|
| Annual Plan | \$ 863 | \$1,204 | \$2,882 | \$1,483 | \$1,475 |
| FYTD | \$1,095 | \$1,187 | \$2,949 | \$1,609 | \$1,557 |
| Percent | 127 | 99 | 102 | 108 | 106 |

Total Number of All Projects

| | 12-13 | 11-12 | 10-11 | 09-10 | 08-09 |
|------|-------|-------|-------|-------|-------|
| FYTD | 450 | 593 | 697 | 741 | 768 |

Total Value of All Projects

| | 12-13 | 11-12 | 10-11 | 09-10 | 08-09 |
|------|---------|---------|---------|---------|---------|
| FYTD | \$2,134 | \$3,851 | \$4,630 | \$3,758 | \$4,160 |

Past Years' Contract For Delivery Award Status

This section describes the contract award status projects in past years for the annual Contract for Delivery.

Contract Award Status

Progress continues to be made to get past years' contracts for delivery projects awarded.

| Contract Award Status | Plan | Awarded | Percent |
|----------------------------------|------|---------|---------|
| FY 2011-12 Contract for Delivery | 279 | 268 | 96 |
| FY 2010-11 Contract for Delivery | 346 | 346 | 100 |
| FY 2009-10 Contract for Delivery | 306 | 306 | 100 |
| FY 2008-09 Contract for Delivery | 334 | 334 | 100 |
| FY 2007-08 Contract for Delivery | 294 | 294 | 100 |
| FY 2006-07 Contract for Delivery | 286 | 286 | 100 |
| FY 2005-06 Contract for Delivery | 174 | 174 | 100 |

Historical Delivery Comparison

Through the fourth quarter FY 2012-13, for last year's contract for delivery (FY 2011-12), Caltrans has awarded 268 projects out of 279 projects or 96 percent of the planned projects. As a comparison, as reported a year ago for the same time period, Caltrans had awarded 340 projects out of 346 planned projects or 98 percent.

Contracts Not Yet Awarded

Of the 11 projects not yet awarded, 5 projects are currently out to bid. Issues for award delays on the other projects are as follows:

- 5 projects were future year funds.
- 2 projects are being prepared for bidding having secured upgraded RW.
- 1 project is a low priority SRRA project.
- 2 projects were advanced delivery and did not have funding capacity.
- 1 ADA project is having specs changed.

| Contracts Not Yet Awarded | Number |
|-------------------------------|-----------|
| PROJECTS ALLOCATED | |
| Project Currently Bid | 5 |
| Recently ready | 2 |
| PROJECTS NOT ALLOCATED | |
| ADA specs | 1 |
| Priority, funding capacity | 3 |
| Total | 11 |

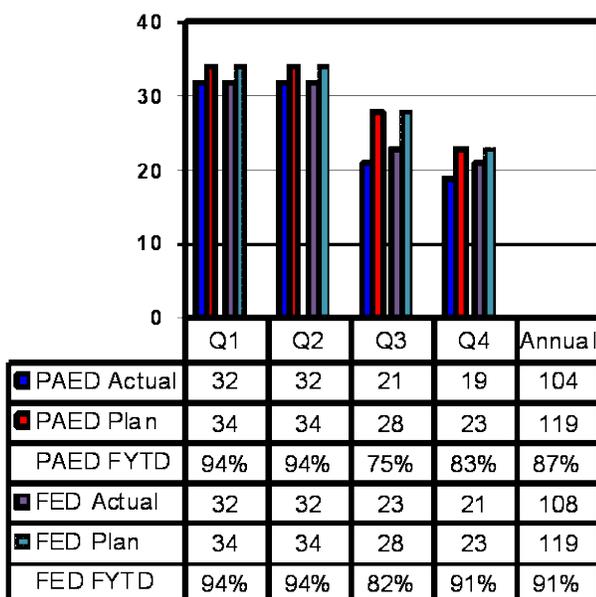
Environmental Document Milestones

Environmental Delivery Commitment

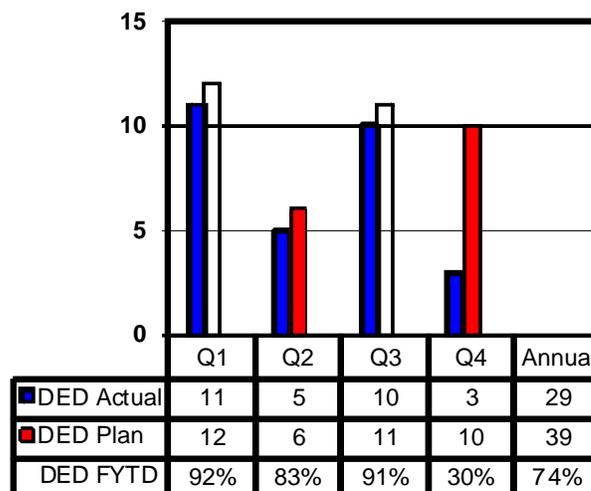
As part of this report, Caltrans reports on delivery for the upcoming year of project approval and environmental milestones that require CTC action for consideration of future funding. The milestones include Draft Environmental Documents (DED), and Project Approval and Environmental Document (PAED) which also includes the Final Environmental Documents (FED). To provide a comprehensive view of environmental documents under development, Caltrans also includes categorical exclusions that do not require CTC review or action. For FY 2012-13, Caltrans has planned delivery of 158 environmental milestones.

For FY 2012-13, through the end of the fourth quarter, Caltrans delivered 143 (91 percent of annual plan) environmental milestones.

Number of PAED & FED Milestones



Number of DED Milestones



Through the end of the fourth quarter, 15 PAED and 10 DED planned milestones have slipped outside FY 2012-13.

Historical Delivery Comparisons

As a benchmark for comparison, below are historical environmental milestone delivery trend charts for the current year and past 4 years.

Past 4th Qtr PAED & FED Milestones

| | 12-13 | 11-12 | 10-11 | 09-10 | 08-09 |
|--------------|-------|-------|-------|-------|-------|
| PAED Plan | 119 | 167 | 147 | 148 | 145 |
| PAED FYTD | 104 | 155 | 138 | 133 | 136 |
| PAED Percent | 87 | 93 | 94 | 90 | 94 |
| FED Plan | 119 | | | | |
| FED FYTD | 108 | | | | |
| FED Percent | 91 | | | | |

Past 4th Qtr DED Milestones

| | 12-13 | 11-12 | 10-11 | 09-10 | 08-09 |
|-------------|-------|-------|-------|-------|-------|
| DED Plan | 39 | 44 | 37 | 34 | 41 |
| DED FYTD | 29 | 31 | 31 | 26 | 33 |
| DED Percent | 74 | 70 | 84 | 76 | 80 |

Right of Way Program

Right of Way Delivery Commitment

Caltrans' R/W delivery commitment is twofold. One delivery commitment is to utilize funds approved by the CTC for acquisition of R/W. The second delivery commitment is to secure all necessary R/W requirements and to certify R/W for all projects scheduled for delivery in the current year.

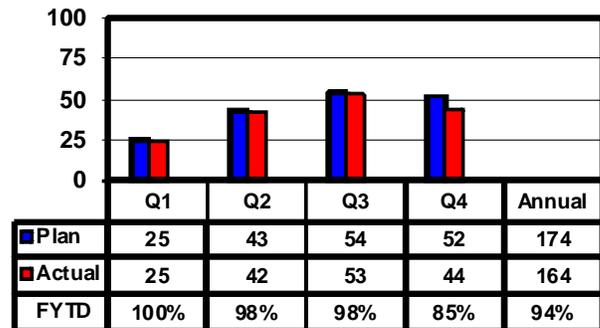
Right of Way Expenditures

R/W activities and expenditures are outlined by the categories below:

| Category (\$millions) | Plan | FYTD | Percent |
|----------------------------|----------|----------|---------|
| Capital Projects | | | |
| STIP | \$ 99.5 | \$ 159.7 | 161 |
| SHOPP | \$ 41.5 | \$ 22.1 | 53 |
| Subtotal | \$ 141.0 | \$ 181.8 | 129 |
| Specific Categories | | | |
| Post Certifications | \$ 64.7 | \$ 32.0 | 49 |
| Inverse Condemnation | \$ 20.3 | \$ 12.3 | 61 |
| Project Development | \$ 1.0 | \$ 1.0 | 100 |
| Subtotal | \$ 86.0 | \$ 45.3 | 53 |
| TOTAL | \$ 227.0 | \$ 227.1 | 100 |

For FY 2012-13, Caltrans requested and received a R/W allocation of \$227 million. Through the end of the fourth quarter, Caltrans expended a total of \$227 million, 100 percent of the annual plan.

Right of Way Certifications



For FY 2012-13, the planned number of R/W certifications is 174. Through the end of the fourth quarter, Caltrans completed a total of 164 R/W certifications, 94 percent of the annual plan.

Historical Delivery Comparisons

As a benchmark for comparison, below are historical R/W delivery trend charts for the current year and past 4 years.

Past 4th Qtr Right of Way Expenditures

| | 12-13 | 11-12 | 10-11 | 09-10 | 08-09 |
|---------|---------|---------|---------|---------|---------|
| Plan | \$227.0 | \$217.5 | \$219.4 | \$237.7 | \$231.2 |
| FYTD | \$227.1 | \$217.6 | \$219.4 | \$237.7 | \$231.3 |
| Percent | 100 | 100 | 100 | 100 | 100 |

Past 4th Qtr Right of Way Certifications

| | 12-13 | 11-12 | 10-11 | 09-10 | 08-09 |
|---------|-------|-------|-------|-------|-------|
| Plan | 174 | 275 | 311 | 283 | 304 |
| FYTD | 164 | 270 | 309 | 278 | 303 |
| Percent | 94 | 98 | 99 | 98 | 100 |

Construction Program

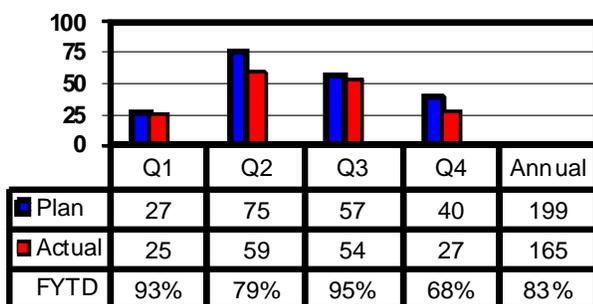
PLANNED CONSTRUCTION PROGRAM

(Excludes some projects such as minor, program amendments and emergency.)

Construction Delivery Commitment

Delivery in the eyes of our customers is achieved when capital improvements are delivered to the traveling public. This is best measured by when the construction contract is accepted.

Planned Construction Contracts Accepted



Through the end of the fourth quarter, FY 2012-13, Caltrans had accepted a total of 165 major construction contracts (83 percent) out of a total of 199 planned contracts identified in the Caltrans' delivery plan.

Historical Delivery Comparison

As a benchmark for comparison, shown are historical delivery trend charts for planned major construction contract acceptances.

Past 4th Qtr Construction Contracts Accepted

| | 12-13 | 11-12 | 10-11 | 09-10 | 08-09 |
|---------|-------|-------|-------|-------|-------|
| Plan | 199 | 272 | 216 | 226 | 213 |
| FYTD | 165 | 241 | 187 | 219 | 207 |
| Percent | 83 | 89 | 87 | 97 | 97 |

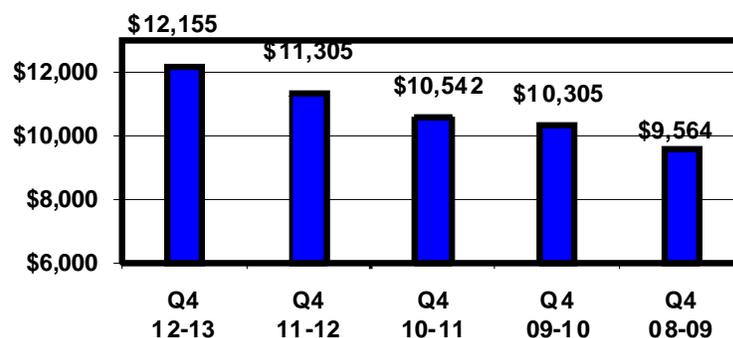
OVERALL CONSTRUCTION PROGRAM

(Includes planned programmed projects and additional minor A, amendments, and some minor B projects that are not programmed.)

Under Construction

At the end of the fourth quarter, FY 2012-13, Caltrans had 735 contracts valued at \$12,155 million under construction.

Value of Ongoing Contracts (\$ millions)



4th Quarter Construction Program Results

Construction Starts – 176 construction contracts valued at \$397 million were started (including minor A and some minor B projects that are not programmed).

Accepted Contracts – 94 construction contracts valued at \$588 million were accepted.

Arbitration - Caltrans currently has 25 construction contracts in arbitration. Six new arbitration case was filed, and three contracts were settled or received a arbitration decision.

Report on Completed Projects

In the 2010 STIP guidelines is a requirement for Caltrans to provide the Commission with a report on completed projects. This report provides cost information for projects that Caltrans has accepted the construction contract (CCA milestone).

Cost information at completion consists of all project expenditures to date. The expended costs in this report are compared to the latest approved budget costs resulting from actions taken by the commission on each project, including: programmed funds, allocated funds, funds adjusted at vote, supplemental funds, and AB 608 adjustments.

Reporting Program / Project Thresholds

Completed project cost information is presented in the following levels for analysis:

- Program Level
- STIP/SHOPP Component Level
- Individual Project Component Level
- Overall Project Level

Program Level

At the Program level, total costs are reported for STIP and SHOPP program funds.

STIP / SHOPP Component Level

The methodology used to determine the amount of committed funds is based on programmed amounts, allocated funds, or debit and credit adjustments made against county shares in accordance with STIP guidelines.

It should be noted that while some individual components may exceed their approved budget, other components often have

significant savings. STIP guidelines restrict the ability to capture savings and to supplement the budget. Consequently, some components are over expended while the overall project expenditures is less than the total county shares used to fund the entire project.

Individual Project Component Level

This provides an assessment of estimating trends for each of the six individual programmed cost components.

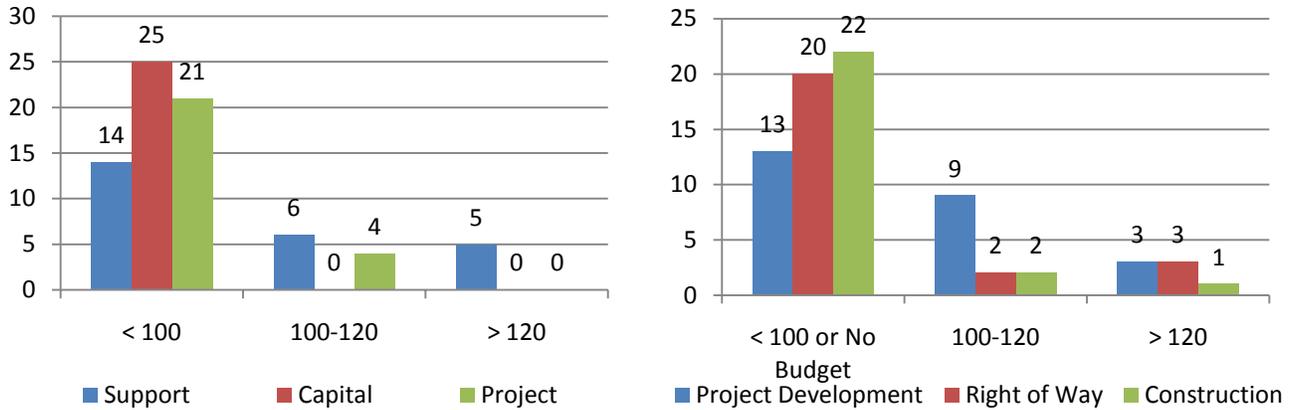
When projects are initially programmed into a programming document, there are a lot of unknown factors that could result in higher or lower costs by the time a project is ready for construction. A good example of unknowns is project refinements and changes that are implemented by the public hearing and project input process during preliminary engineering.

Sometimes Caltrans expenditures in one component are offset by savings in another component. A common example is additional right of support effort may result in lower right of way capital expenditures. Another example is additional environmental expenditures to produce a publicly acceptable environmental document may be offset by lower design expenditures.

Overall Project Level

This compares expended costs to the approved budget costs for the overall project. At the project level, greater flexibility is provided when costs can be managed within a project budget and transferred between components.

STIP Projects Completed Cost - Component Groupings



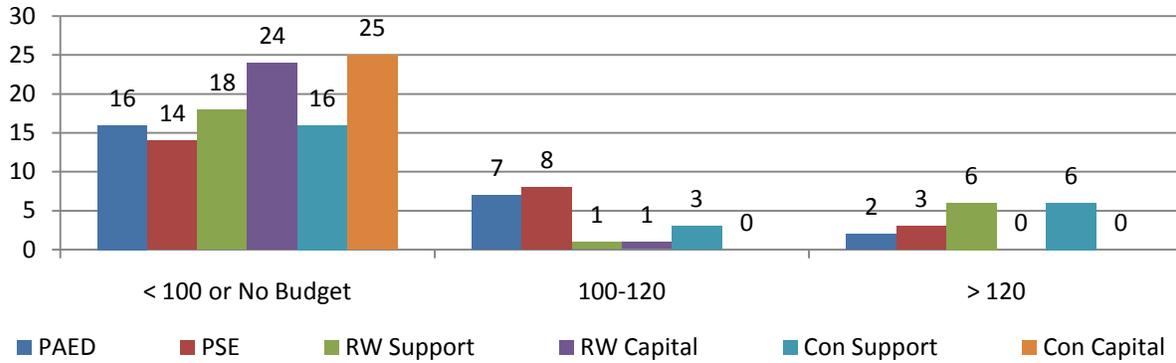
STIP Programmed and Completed Cost Information - Component Groupings

| | Expended / Budget Percent | Number of Completed Projects | | | Budget (\$1,000's) | Percent Budget | Spent (\$1,000's) | Percent Spent | (+/-) (\$1,000's) | Cost Ratios Spent / Budget | |
|------------------------------|---------------------------|------------------------------|------|---------|--------------------|-------------------|-------------------|-------------------|-------------------|----------------------------|-------------|
| | | Under | Over | Percent | | | | | | | |
| Capital / Support Components | Support | < 100 | 14 | | 56 % | \$ 123,746 | 72 % | \$ 101,478 | 63 % | Under Budget | |
| | | 100-120 ¹ | | 6 | 24 % | 36,049 | 21 % | 37,698 | 24 % | | |
| | | > 120 | | 5 | 20 % | 12,628 | 7 % | 21,206 | 13 % | | |
| | | Total | | | | \$ 172,423 | | \$ 160,382 | | \$ 12,041 | 93 % |
| | Capital | < 100 | 25 | | 100 % | \$ 565,270 | 100 % | \$ 527,579 | 100 % | Under Budget | |
| | | 100-120 ¹ | | 0 | 0 % | 0 | 0 % | 0 | 0 % | | |
| | | > 120 | | 0 | 0 % | 0 | 0 % | 0 | 0 % | | |
| | | Total | | | | \$ 565,270 | | \$ 527,579 | | \$ 37,691 | 93 % |
| | Project | < 100 | 21 | | 84 % | \$ 686,859 | 93 % | \$ 632,937 | 92 % | Under Budget | |
| | | 100-120 ¹ | | 4 | 16 % | 50,834 | 7 % | 55,024 | 8 % | | |
| | | > 120 | | 0 | 0 % | 0 | 0 % | 0 | 0 % | | |
| | | Total | | | | \$ 737,693 | | \$ 687,961 | | \$ 49,732 | 93 % |

| STIP Guidelines Components | | No Budget | Number of Completed Projects | | Budget (\$1,000's) | Percent Budget | Spent (\$1,000's) | Percent Spent | (+/-) (\$1,000's) | Cost Ratios Spent / Budget |
|----------------------------|--------------|----------------------|------------------------------|------|--------------------|------------------|-------------------|------------------|-------------------|----------------------------|
| | | | Under | Over | | | | | | |
| STIP Guidelines Components | PJD | No Budget | 1 | | 4 % | \$ 0 | 0 % | \$ 0 | 0 % | Under Budget |
| | | < 100 | 12 | | 48 % | 41,505 | 59 % | 31,768 | 50 % | |
| | | 100-120 ¹ | | 9 | 36 % | 23,253 | 33 % | 24,303 | 38 % | |
| | | > 120 | | 3 | 12 % | 5,569 | 8 % | 7,224 | 11 % | |
| | | Total | | | | \$ 70,327 | | \$ 63,294 | | |
| | Right of Way | No Budget | 2 | | 8 % | \$ 0 | 0 % | \$ 0 | 0 % | Under Budget |
| | | < 100 | 18 | | 72 % | 28,587 | 76 % | 19,853 | 66 % | |
| | | 100-120 ¹ | | 2 | 8 % | 9,113 | 24 % | 9,332 | 31 % | |
| | | > 120 | | 3 | 12 % | 93 | 0 % | 692 | 2 % | |
| | | Total | | | | \$ 37,793 | | \$ 29,877 | | |
| | Construction | No Budget | 0 | | 0 % | \$ 0 | 0 % | \$ 0 | 0 % | Under Budget |
| | | < 100 | 22 | | 88 % | 591,868 | 94 % | 553,037 | 93 % | |
| 100-120 ¹ | | | 2 | 8 % | 36,402 | 6 % | 40,186 | 7 % | | |
| > 120 | | | 1 | 4 % | 1,303 | 0 % | 1,568 | 0 % | | |
| Total | | | | | \$ 629,573 | | \$ 594,791 | | \$ 34,782 | |

¹ Reference: Table 2, California State Auditor Report 2010-122: State law requires that STIP project costs may not be changed to reflect differences that are within 20 percent of the amount programmed for actual project costs. Further, according to the chief of Caltrans' Division of Project Management, although there are no written requirements, Caltrans' practice is to manage SHOPP projects similar to STIP projects when a SHOPP project is 20 percent over its support budget.

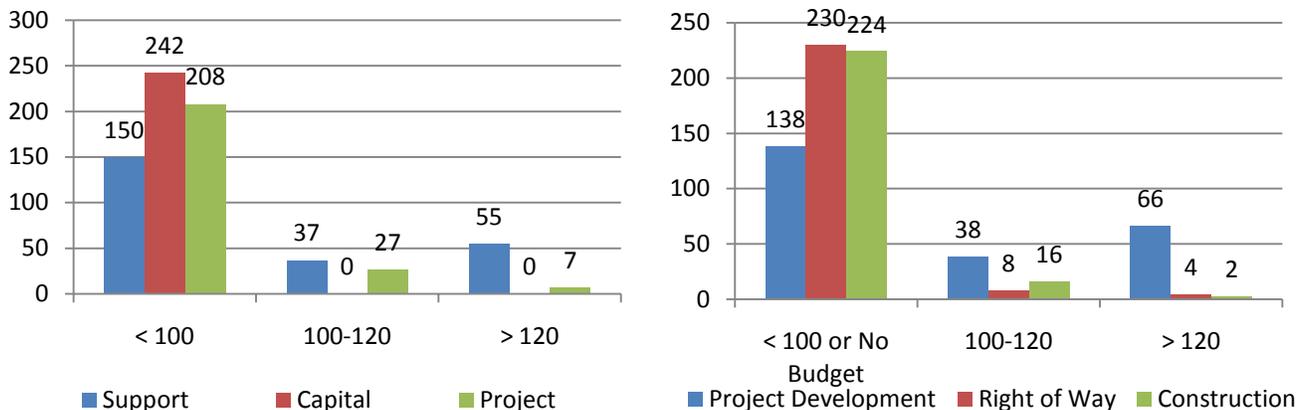
STIP Project Completed Cost - Individual Components



STIP Programmed and Completed Cost Information - Individual Components

| | Expended / Budget Percent | Number of Completed Projects | | | Budget (\$1,000's) | Percent Budget | Spent (\$1,000's) | Percent Spent | (+/-) (\$1,000's) | Cost Ratios Spent / Budget |
|-------------------------------|---------------------------|------------------------------|------|------------------|--------------------|------------------|-------------------|------------------|-------------------|----------------------------|
| | | Under | Over | Percent | | | | | | |
| Individual Project Components | PAED | No Budget | 3 | | 12 % | \$ 0 | 0 % | \$ 0 | 0 % | Under Budget |
| | | < 100 | 13 | | 52 % | 14,526 | 80 % | 11,026 | 74 % | |
| | | 100-120 ¹ | | 7 | 28 % | 3,428 | 19 % | 3,792 | 25 % | |
| | | > 120 | | 2 | 8 % | 108 | 1 % | 177 | 1 % | |
| | | Total | | | | \$ 18,062 | | \$ 14,995 | | |
| | PSE | No Budget | 1 | | 4 % | \$ 0 | 0 % | \$ 0 | 0 % | Under Budget |
| | | < 100 | 13 | | 52 % | 31,418 | 60 % | 24,219 | 50 % | |
| | | 100-120 ¹ | | 8 | 32 % | 18,230 | 35 % | 20,008 | 41 % | |
| | | > 120 | | 3 | 12 % | 2,617 | 5 % | 4,071 | 8 % | |
| | | Total | | | | \$ 52,265 | | \$ 48,298 | | |
| | RW Support | No Budget | 2 | | 8 % | \$ 0 | 0 % | \$ 0 | 0 % | Over Budget |
| | | < 100 | 16 | | 64 % | 6,298 | 66 % | 4,825 | 41 % | |
| | | 100-120 ¹ | | 1 | 4 % | 160 | 2 % | 178 | 2 % | |
| | | > 120 | | 6 | 24 % | 3,152 | 33 % | 6,629 | 57 % | |
| | | Total | | | | \$ 9,610 | | \$ 11,632 | | |
| | RW Capital | No Budget | 10 | | 40 % | \$ 0 | 0 % | \$ 0 | 0 % | Under Budget |
| | | < 100 | 14 | | 56 % | 28,183 | 100 % | 18,238 | 100 % | |
| | | 100-120 ¹ | | 1 | 4 % | 0 | 0 % | 6 | 0 % | |
| | | > 120 | | 0 | 0 % | 0 | 0 % | 0 | 0 % | |
| | | Total | | | | \$ 28,183 | | \$ 18,244 | | |
| Construction Support | Pre SB 1102 | No Budget | 0 | | 0 % | \$ 0 | 0 % | \$ 0 | 0 % | Under Budget |
| | | < 100 | 16 | | 64 % | 70,114 | 76 % | 54,984 | 64 % | |
| | | 100-120 ¹ | | 3 | 12 % | 17,683 | 19 % | 17,900 | 21 % | |
| | | > 120 | | 6 | 24 % | 4,688 | 5 % | 12,572 | 15 % | |
| | SB 1102 | No Budget | 0 | | 0 % | 0 | 0 % | 0 | 0 % | |
| | | < 100 | 0 | | 0 % | 0 | 0 % | 0 | 0 % | |
| | | 100-120 ¹ | | 0 | 0 % | 0 | 0 % | 0 | 0 % | |
| | | > 120 | | 0 | 0 % | 0 | 0 % | 0 | 0 % | |
| Total | | | | \$ 92,485 | | \$ 85,456 | | \$ 7,029 | 92 % | |
| Construction Capital | No Budget | 0 | | 0 % | \$ 0 | 0 % | \$ 0 | 0 % | Under Budget | |
| | < 100 | 25 | | 100 % | 537,087 | 100 % | 509,335 | 100 % | | |
| | 100-120 ¹ | | 0 | 0 % | 0 | 0 % | 0 | 0 % | | |
| | > 120 | | 0 | 0 % | 0 | 0 % | 0 | 0 % | | |
| | Total | | | | \$ 537,087 | | \$ 509,335 | | | \$ 27,752 |

SHOPP Projects Completed Cost Percentages - Component Groupings



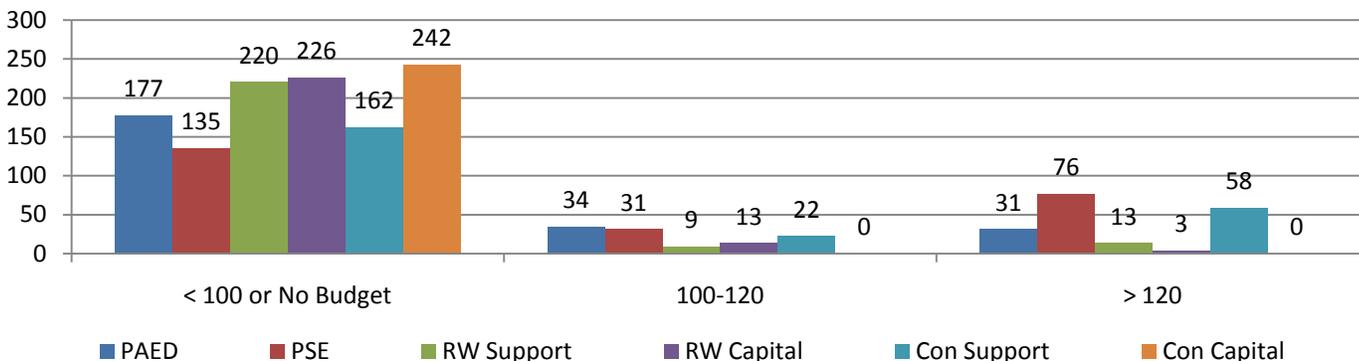
SHOPP Programmed and Completed Cost Information - Component Groupings

| | Expended / Budget Percent | Number of Completed Projects | | | Budget (\$1,000's) | Percent Budget | Spent (\$1,000's) | Percent Spent | (+/-) (\$1,000's) | Cost Ratios Spent / Budget |
|------------------------------|---------------------------|------------------------------|------|---------|--------------------|--------------------|-------------------|--------------------|-------------------|----------------------------|
| | | Under | Over | Percent | | | | | | |
| Capital / Support Components | Support | < 100 | 150 | | 62% | \$ 298,374 | 70% | \$ 183,473 | 53% | Under Budget |
| | | 100-120 ¹ | | 37 | 15% | 83,725 | 20% | 90,936 | 26% | |
| | | > 120 | | 55 | 23% | 45,533 | 11% | 70,331 | 20% | |
| | | Total | | | | \$ 427,632 | | \$ 344,740 | | |
| | Capital | < 100 | 242 | | 100% | \$1,226,562 | 100% | \$ 883,162 | 100% | Under Budget |
| | | 100-120 ¹ | | 0 | 0% | \$0 | 0% | 0 | 0% | |
| | | > 120 | | 0 | 0% | \$0 | 0% | 0 | 0% | |
| | | Total | | | | \$1,226,562 | | \$ 883,162 | | |
| | Project | < 100 | 208 | | 86% | \$1,569,435 | 95% | \$1,134,001 | 92% | Under Budget |
| | | 100-120 ¹ | | 27 | 11% | 73,105 | 4% | 78,214 | 6% | |
| | | > 120 | | 7 | 3% | 11,653 | 1% | 15,686 | 1% | |
| | | Total | | | | \$1,654,193 | | \$1,227,901 | | |

| STIP Guidelines Components | | No Budget | Number of Completed Projects | | Budget (\$1,000's) | Percent Budget | Spent (\$1,000's) | Percent Spent | (+/-) (\$1,000's) | Cost Ratios Spent / Budget |
|----------------------------|--------------|----------------------|------------------------------|------|--------------------|-------------------|--------------------|-------------------|-------------------|----------------------------|
| | | | Under | Over | | | | | | |
| STIP Guidelines Components | PJD | No Budget | 35 | | 14% | \$ 0 | 0% | \$ 0 | 0% | Under Budget |
| | | < 100 | 103 | | 43% | 91,806 | 46% | 52,505 | 29% | |
| | | 100-120 ¹ | | 38 | 16% | 71,267 | 36% | 76,728 | 42% | |
| | | > 120 | | 66 | 27% | 34,664 | 18% | 54,216 | 30% | |
| | | Total | | | | \$ 197,737 | | \$ 183,449 | | |
| | Right of Way | No Budget | 23 | | 10% | \$ 0 | 0% | \$ 0 | 0% | Under Budget |
| | | < 100 | 207 | | 86% | 49,078 | 90% | 17,203 | 74% | |
| | | 100-120 ¹ | | 8 | 3% | 5,496 | 10% | 5,804 | 25% | |
| | | > 120 | | 4 | 2% | 113 | 0% | 177 | 1% | |
| | | Total | | | | \$ 54,687 | | 23,184 | | |
| | Construction | No Budget | 0 | | 0% | \$ 0 | 0% | \$ 0 | 0% | Under Budget |
| | | < 100 | 224 | | 93% | 1,358,533 | 97% | 974,845 | 95% | |
| 100-120 ¹ | | | 16 | 7% | 40,425 | 3% | 42,916 | 4% | | |
| > 120 | | | 2 | 1% | 2,812 | 0% | 3,508 | 0% | | |
| Total | | | | | \$1,401,770 | | \$1,021,269 | | \$ 380,501 | |

¹ Reference: Table 2, California State Auditor Report 2010-122: State law requires that STIP project costs may not be changed to reflect differences that are within 20 percent of the amount programmed for actual project costs. Further, according to the chief of Caltrans' Division of Project Management, although there are no written requirements, Caltrans' practice is to manage SHOPP projects similar to STIP projects when a SHOPP project is 20 percent over its support budget.

SHOPP Project Completed Cost Percentages - Individual Components



SHOPP Programmed and Completed Cost Information - Individual Components

| | Expended / Budget Percent | Number of Completed Projects | | | Budget (\$1,000's) | Percent Budget | Spent (\$1,000's) | Percent Spent | (+/-) (\$1,000's) | Cost Ratios Spent / Budget | |
|-------------------------------|---------------------------|------------------------------|------|---------|--------------------|-------------------|-------------------|-------------------|-------------------|----------------------------|------------------|
| | | Under | Over | Percent | | | | | | | |
| Individual Project Components | PAED | No Budget | 82 | | 34% | \$ 0 | 0% | \$ 0 | 0% | Under Budget | |
| | | < 100 | 95 | | 39% | 29,617 | 59% | 16,497 | 37% | | |
| | | 100-120 ¹ | | 34 | 14% | 17,189 | 34% | 18,296 | 41% | | |
| | | > 120 | | 31 | 13% | 3,556 | 7% | 9,698 | 22% | | |
| | | Total | | | | \$ 50,362 | | \$ 44,491 | | | \$ 5,871 |
| | PSE | No Budget | 36 | | 15% | \$ 0 | 0% | \$ 0 | 0% | Under Budget | |
| | | < 100 | 99 | | 41% | 75,025 | 51% | 43,086 | 31% | | |
| | | 100-120 ¹ | | 31 | 13% | 37,339 | 25% | 40,288 | 29% | | |
| | | > 120 | | 76 | 31% | 35,011 | 24% | 55,584 | 40% | | |
| | | Total | | | | \$ 147,375 | | \$ 138,958 | | | \$ 8,417 |
| | RW Support | No Budget | 26 | | 11% | \$ 0 | 0% | \$ 0 | 0% | Under Budget | |
| | | < 100 | 194 | | 80% | 11,728 | 75% | 4,871 | 48% | | |
| | | 100-120 ¹ | | 9 | 4% | 3,042 | 19% | 3,281 | 33% | | |
| | | > 120 | | 13 | 5% | 910 | 6% | 1,934 | 19% | | |
| | | Total | | | | \$ 15,680 | | \$ 10,086 | | | \$ 5,594 |
| | RW Capital | No Budget | 87 | | 36% | \$ 0 | 0% | \$ 0 | 0% | Under Budget | |
| | | < 100 | 139 | | 57% | 34,540 | 89% | 8,101 | 62% | | |
| | | 100-120 ¹ | | 13 | 5% | 4,263 | 11% | 4,567 | 35% | | |
| | | > 120 | | 3 | 1% | 204 | 1% | 427 | 3% | | |
| | | Total | | | | \$ 39,007 | | \$ 13,095 | | | \$ 25,912 |
| Construction Support | Pre SB 1102 | No Budget | 0 | | 0% | \$ 0 | 0% | \$ 0 | 0% | Under Budget | |
| | | < 100 | 162 | | 67% | 176,975 | 83% | 97,298 | 64% | | |
| | | 100-120 ¹ | | 22 | 9% | 14,825 | 7% | 15,935 | 11% | | |
| | | > 120 | | 58 | 24% | 22,415 | 10% | 37,971 | 25% | | |
| | SB 1102 | No Budget | 0 | | 0% | 0 | 0% | 0 | 0% | | |
| | | < 100 | 0 | | 0% | 0 | 0% | 0 | 0% | | |
| | | 100-120 ¹ | | 0 | 0% | 0 | 0% | 0 | 0% | | |
| | | > 120 | | 0 | 0% | 0 | 0% | 0 | 0% | | |
| | Total | | | | \$ 214,215 | | \$ 151,204 | | \$ 63,011 | | 71% |
| | Construction Capital | No Budget | 0 | | 0% | \$ 0 | 0% | \$ 0 | 0 | | Under Budget |
| < 100 | | 242 | | 100% | 1,187,554 | 100% | 870,065 | 100% | | | |
| 100-120 ¹ | | | 0 | 0% | 0 | 0% | 0 | 0 | | | |
| > 120 | | | 0 | 0% | 0 | 0% | 0 | 0 | | | |
| Total | | | | | \$1,187,554 | | \$ 870,065 | | \$ 317,489 | 73% | |