

# Memorandum

## TAB 43

**To:** CHAIR AND COMMISSIONERS  
CALIFORNIA TRANSPORTATION COMMISSION

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Information Item

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Chief Financial Officer

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**Subject:** **FY 2014-15 – FIRST QUARTER PROJECT DELIVERY REPORT**

Attached is the California Department of Transportation's Fiscal Year 2014-15 First Quarter Project Delivery Report.

Attachment



# **First Quarter Fiscal Year 2014-15 Project Delivery Report**

**Quarterly Report to the  
California Transportation  
Commission**



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The project delivery report is prepared quarterly and is published 45 days after the end of the quarter in November, February, May, and November.

# Executive Summary

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## Purpose of Report

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

## Project Milestones and Accomplishments

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Caltrans is highlighting projects that achieved a major milestone or significant accomplishment in the past quarter.

### Promoting Goods Movement:

*Sha-99-Capstone project on Highway 299 awarded. This project is the last of six projects with a combined construction value of \$64 million to improve the alignment of Buckhorn Grade, allowing large trucks to travel from Redding to the coast on highway 299, improving goods movement.*

### Project Approved, Environmental Document Completed:

*Ora-5-Freeway widening project approved. \$357 million project completed environmental document and project approval. Project is being designed as three segments for construction.*

### Open to Traffic:

*But-99-Chico Auxiliary Lanes ribbon cutting Sep. 4, 2014. \$27 million partnership project with good community, local agency, and Caltrans interaction.*

*Mer-99-Freeway conversion ribbon cutting Dec. 5, 2014. \$78 million project for expressway to freeway conversion in Merced County between Buchanan Hollow Rd. to Child Ave. and new Arboleda interchange.*

*Ora-5-High Occupancy Vehicle Connectors opened. \$217 million project for four freeway to freeway connectors opened to traffic in Dec. 2014. (Routes 22, 405, 605.)*

*Ora-57-Freeway widening opened. \$68 million project for freeway widening of Route 57 was completed in Nov. 2014.*

### Innovation:

*Mpa-140-Ferguson Slide project awarded for removal of material blocking highway. This is the first "Construction Manager / General Contractor" contract awarded.*

## Performance Measures

### Our Commitment to Delivery

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

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

Measures - 1st Quarter Fiscal Year 2014-15						
Measure	Annual Plan		Year-End Projection		Progress	Status
	Committed Delivery	Delivery Goal	Forecasted Delivery	Percent Forecasted		
<b>Delivery</b>						
Projects Ready for Construction	343	100%	338	99%	X	5 high risk projects
Capital Value Ready for Allocation (millions)	\$2,633.1	100%	\$2,581.7	98%	X	5 high risk projects
<b>Project Approval, Environmental Documents</b>						
Projects Approved	258	90%	253	98%	✓	On target to meet goal
Draft Environmental Documents Completed	74	80%	72	97%	✓	On target to meet goal
<b>Right of Way</b>						
Projects Certified	335	100%	330	99%	X	5 high risk projects
Allocation Funds Committed	\$163.0	100%	\$163.0	100%	✓	On target to meet goal
<b>Construction</b>						
Contracts Accepted	174	95%	170	98%	✓	On target to meet goal
<b>Closeout Costs</b>						
State Transportation Improvement Program Costs	NA	< 100%	97%	97%	✓	On target to meet goal
State Highway Operations and Protection Program Costs	NA	< 100%	96%	96%	✓	On target to meet goal
<b>Legend</b>						
✓ It is expected that Caltrans will meet the delivery goal. X There is high risk on enough projects that Caltrans may not meet the delivery goal. ✗ It is likely that Caltrans will not meet the delivery goal.						

## Project Watch List

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

The project watch list will change from one quarter to another (projects dropped or added) as supplemental funds are approved, budget risks are mitigated, and schedule risks are resolved. Since the report is prepared quarterly, in order to keep projects on track to award, there may be supplemental funds request or costs requiring additional funds prior to award presented to the Commission for approval on new projects between reports.

### Budget Risk

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

In the past five years, 97 percent of construction projects were completed within the Commission's capital allocation and Caltrans delegated funding authority.

#### Projects with Significant Risk for Supplemental Funds

Risks are categorized as : H High M Moderate L Low

Notes: \* STIP - State Transportation Improvement Program, SHOPP State Highway Operations and Protection Program, CMAQ - Congestion Management and Air Quality Program  
\*\* Costs are in millions

Caltrans currently has 657 projects valued at \$11.2 billion under construction. We have identified risks below on 21, or 3 percent of the projects in construction. Risks have also been identified on 8 projects in preconstruction for contract award.

#### Construction Projects Completed or Nearly Complete

Location	Project Description	Program	Capital \$	Support \$	Risk	Risk Component
Ala 880	Replace High Street Bridge	SHOPP	\$ 84.8	\$ 32.4	H	Construction Capital
<i>Supplemental funds may be needed to close-out construction contract. Issues include claims for rebar escalation, item adjustment, soil disposal.</i>						
Sol 80	Relocate Cordelia Truck Scales	Bond SHOPP	\$ 31.8	\$ 29.1	H	Construction Capital
<i>Supplemental funds may be needed to close-out construction contract to settle claims. Joint funding between state (bond) and region.</i>						

Location	Project Description	Program*	Capital** \$	Support** \$	Risk	Risk Component
SM 1	Pond Repair	STIP	\$ 1.3	\$ 1.3	H	Construction Capital
<i>Supplemental funds may be needed to close-out construction contract to settle claims, water quality constraints issues.</i>						
LA 10	Metal Beam Guardrail	SHOPP	\$ 2.7	\$ 3.3	H	Construction Capital
<i>Supplemental funds may be needed to close-out construction contract. Issues include quantities, right of way delay, and costs to remove a fixed object.</i>						
LA 405	Widen Highway	SHOPP	\$ 22.3	\$ 13.5	H	Construction Capital
<i>Supplemental funds may be needed to close-out construction contract and pay interest on claims with merit.</i>						
Tuo 108	Sonoma Bypass	Bond, STIP	\$ 27.0	\$ 14.4	H	Construction Capital
<i>Supplemental funds needed to close-out construction contract and pay storm water fine.</i>						
Ora 39	Sidewalk, Culvert	Minor	\$ 1.1	\$ 2.3	H	Construction Capital
<i>Supplemental funds may be needed to close-out construction contract to settle 7 notices of potential claims.</i>						

### Construction Projects In Progress

Location	Project Description	Program*	Capital** \$	Support** \$	Risk	Risk Component
Son 101	Widen Freeway - Sonoma Narrows	STIP, Bond	\$ 94.6	\$ 32.7	H	Construction Support
<i>Supplemental funds needed for construction support due to additional staffing requirements for bird monitoring protocols. Modifications to design and stage construction added a year to the construction contract schedule.</i>						
LA 1	Repair failed slope	SHOPP	\$ 7.3	\$ 3.5	H	Construction Capital Construction Support
<i>As a result of inverse law suit from adjacent property owner, additional funds is required for the law suit settlement and to redesign and construct a taller wall. Project is currently under suspension.</i>						
LA 710	Long-life pavement	SHOPP	\$ 119.3	\$ 31.2	H	Construction Capital
<i>Potential for supplemental funds to settle 26 outstanding claims.</i>						
Sta 219	Widen to four lanes	STIP, Bond	\$ 32.8	\$ 9.9	H	Right of Way Capital
<i>Potential for supplemental funds (county share debit adjustment of right of way) at completion of construction, due to final condemnation and final right of way acquisition costs.</i>						
Men 101	Willits Bypass	STIP	\$ 209.1	\$ 99.7	M	Construction Capital
<i>Supplemental funds approved Dec. 10, 2014, based on a 50 percent confidence level of risks. Significant risks remain to complete the project.</i>						
SF 101	Doyle Drive	STIP	\$ 852.0		M	Construction Capital
<i>(a) January meeting has a request for an allocation of \$3.8 million from the project reserve funds for Presidio project review.</i>						
<i>(b) Risk of supplemental funds to complete construction. \$100 million in 34+ outstanding claims. Project is a "P3" contract (public-private-partnership contract).</i>						

Location	Project Description	Program*	Capital** \$	Support** \$	Risk	Risk Component
SCI 9	Realignment	SHOPP	\$ 5.7	\$ 4.9	M	Construction Capital
<i>Potential for supplemental funds due to differing site conditions.</i>						
LA 10	Flyover Connector	SHOPP	\$ 67.5	\$ 12.7	M	Construction Capital
<i>Potential for supplemental funds due to time-related overhead delays from adjacent contract exceeds budget.</i>						
LA 47	Schuyler Heim Bridge	SHOPP	\$ 247.3	\$ 32.6	M	Construction Capital
<i>Potential for supplemental funds due to unknown subsurface conditions, right of way delay issues with port, and to settle potential claims.</i>						
DN 199	Bridge Replacement	STIP	\$ 14.7	\$ 6.0	L	Construction Capital Construction Support
<i>Federal injunction, 1-year delay, time related overhead costs may result in a need to supplement the budget for construction capital. Additional construction season may result in a need to supplement the construction support budget due to another construction season.</i>						
Son 101	College Avenue Widening	STIP	\$ 6.5	\$ 2.4	L	Construction Capital
<i>Potential for supplemental funds due to delay claims and item adjustments from change orders.</i>						
SCr 9	Pollution Control	SHOPP	\$ 1.9	\$ 3.0	L	Construction Capital
<i>Potential for supplemental funds due to differing site conditions.</i>						
SBd 15	Point of Entry, Truck Enforcement	SHOPP	\$ 41.6	\$ 24.1	L	Construction Capital
<i>Potential for supplemental funds due to time-related overhead delays by fire marshal site reviews, well drilling, and painting issues.</i>						
SJ 12	Bouldin Island Rehabilitation	SHOPP	\$ 35.9	\$ 9.7	L	Construction Capital
<i>Potential for supplemental funds due to discrepancies in bid items and larger than anticipated settlement of fill material.</i>						

### Preconstruction - Contract Award

Location	Project Description	Program*	Capital** \$	Support** \$	Risk	Risk Component
Mon 1	Construct Viaduct	SHOPP	\$ 3.4	\$ 2.1	H	Construction Capital
<i>Costs requiring additional funds to award approval needed to advertise.</i>						
LA 1	Repair Drainage	SHOPP	\$ 6.7	\$ 1.9	H	Construction Capital
<i>Costs requiring additional funds to award approved Dec. 2014. Bid results require supplemental to award.</i>						
Men 101	Willits Mitigation Riparian Wetland	STIP	\$ 43.0	\$ 3.0	M	Construction Capital
<i>Bids rejected. Repackage and re-advertise. Analysis increased estimate. Final estimate pending results of first project re-advertised.</i>						
Ala 880	Median Barrier	SHOPP	\$ 35.7	\$ 12.5	M	Construction Capital
<i>Bids rejected. Based on analysis, the cost estimate increased.</i>						
Tuo 120	Bridge Rehabilitation	SHOPP	\$ 13.7	\$ 5.8	M	Construction Capital
<i>Costs requiring additional funds to award approval may be needed to advertise due to unique construction, environmental and tourists constraints.</i>						



Location	Project Description	Program*	Capital** \$	Support** \$	Risk	Risk Component
ED 89	Stormwater Improvements	SHOPP	\$ 9.4	\$ 6.6	L	Construction Capital
<i>Bids rejected. Repackage and re-advertise. Analysis increased estimate.</i>						
SM 101	Bridge Replacement	SHOPP	\$ 17.0	\$ 7.1	L	Construction Capital
<i>Re-bid. Estimate increased based on analysis of prior bids.</i>						
Fre 168	Enhance Vista Point	STIP	\$ 1.5	\$ \$ 1.6	L	Construction Capital
<i>Initial bids rejected. Repackage, remove items and re-advertise.</i>						

## Schedule Risk

In managing delivery, Caltrans is taking intelligent and reasonable risks to deliver projects. In the past nine years, Caltrans has delivered 2,389 out of 2,408 projects committed, or 99.2 percent.

### Contract For Delivery Projects with Significant Risk to Miss Delivery in Fiscal Year

Caltrans currently has 343 projects valued at \$2.6 billion in the Contract for Delivery. We have identified 17, or 5 percent of committed projects at risk in the delivery contract.

Risks are categorized as : **H** High **M** Moderate **L** Low

Notes: \* STIP - State Transportation Improvement Program, SHOPP State Highway Operations and Protection Program, CMAQ - Congestion Management and Air Quality Program  
\*\* Costs are in millions

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

### High-Risk Delivery

Location	Project Description	Program*	Capital** \$	Support** \$	Risk	Risk Component
Sha 44	Curve Improvement	SHOPP	\$ 3.1	\$ 2.1	H	Fiscal Year Delivery
<i>Safety project, public opposition. Change in environmental document type challenge.</i>						
Ala 680	Freeway Performance Initiative	Local	\$ 17.7	\$ 9.5	H	Fiscal Year Delivery
<i>Funding pending negotiation with region.</i>						
Ala 880	Freeway Performance Initiative	Local	\$ 11.0	\$ 5.5	H	Fiscal Year Delivery
<i>Funding pending negotiation with region.</i>						
Mrn 101	Freeway Performance Initiative	Local	\$ 8.6	\$ 7.2	H	Fiscal Year Delivery
<i>Funding pending negotiation with region.</i>						
LA 710	Long-life Pavement, Widen Bridge	SHOPP	\$ 149.7	\$ 28.8	H	Fiscal Year Delivery
<i>Railroad issues.</i>						

Location	Project Description	Program*	Capital** \$	Support** \$	Risk	Risk Component
LA 405	Paint Structure <i>Railroad service agreement, Department of General Services exemption, hazardous waste liability.</i>	SHOPP	\$ 8.1	\$ 3.1	H	Fiscal Year Delivery
LA 103	Paint Bridge <i>Railroad service agreement, identification of property owners.</i>	SHOPP	\$ 4.8	\$ 2.4	H	Fiscal Year Delivery
SBd 247	Construct Paved Shoulder <i>Condemnation (8 parcels). Target date of Jun. 30, 2015 for right of way certification. Will request an allocation extension.</i>	SHOPP	\$ 19.5	\$ 9.7	H	Fiscal Year Delivery
Riv 371	Left-turn Lane <i>Utility relocation with a small company utility owner resisting relocation.</i>	SHOPP	\$ 0.6	\$ 0.9	H	Fiscal Year Delivery

### Moderate to Low-Risk Delivery

Location	Project Description	Program*	Capital** \$	Support** \$	Risk	Risk Component
Hum 99	Curve Improvement <i>Blasting needed in areas with endangered species.</i>	SHOPP	\$ 1.4	\$ 1.6	M	Fiscal Year Delivery
LA 5	Widen Freeway <i>Permits, right of way work around, and utilities.</i>	Local CMAQ	\$ 545.8	\$ 69.4	M	Fiscal Year Delivery
LA 10	High Occupancy Vehicle Lanes <i>Possession and use agreement with Cal Poly Pomona parcel.</i>	Local CMAQ	\$ 180.9	\$ 53.9	M	Fiscal Year Delivery
Cal 26	Install Two-Way Left Turn-lane <i>Right of way impacts involving illegal encroachment and eviction.</i>	SHOPP	\$ 1.7	\$ 1.9	M	Fiscal Year Delivery
Plu 147	Replace Bridge <i>Environmental document being challenged by permitting agency.</i>	SHOPP	\$ 8.3	\$ 4.8	L	Fiscal Year Delivery
SBd 138	Realign Roadway <i>Permit risks, right of way owners not responsive, storm water waiver.</i>	SHOPP	\$ 32.4	\$ 8.4	L	Fiscal Year Delivery
Tuo 120	Replace Bridge Deck, Retrofit <i>Stage construction and closure impacts to tourists.</i>	SHOPP	\$ 13.7	\$ 5.8	L	Fiscal Year Delivery
Ora 5	Advanced Traffic Management System <i>Intelligent transportation system project challenges due to procurement and approvals.</i>	SHOPP	\$ 1.9	\$ 0.9	L	Fiscal Year Delivery

# Delivery

## Summary

### Our Contract to Deliver

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

*In fiscal year 2014–15, we committed to deliver in the Contract for Delivery 343 projects, valued at \$2.6 billion. Through the end of the first quarter, we delivered 18, or 5 percent of the annual commitment, with an estimated value of \$53 million.*

### Program Delivery

Program delivery includes the contract for delivery and additional projects not in the contract for delivery. Additional projects include: Program amendments, Minor, Maintenance, and Emergency projects.

*Through the end of the first quarter, fiscal year 2014-15, Caltrans delivered:*

- *3, or 21 percent of committed State Transportation Improvement Program construction contracts with an estimated value of \$9 million, or 9 percent of committed funding.*
- *15, or 5 percent of committed State Highway Operations and Protection Program construction contracts with an estimated value of \$39 million, or 2 percent of committed funding.*
- *18 additional emergency, minor and maintenance projects with an estimated value of \$21 million.*

*The sum of all projects delivered from all program funding sources is 41 projects, valued at \$100 million.*

## Measure: Projects Delivered - 1st Quarter Fiscal Year 2014-15

Fiscal Year 2014-15 Contract for Delivery

	Projects Delivered	Year-to-Date		Annual Commitment		Goal	Year-End Projection	
		Committed	Percent	Committed	Percent		Forecast	Percent
Projects Delivered	18	19	95	343	5	100%	338	99

Projects Delivered - Five-Year Trend

	1st Quarter Year-to-Date					1st Quarter Annual Commitment				
	10-11	11-12	12-13	13-14	14-15	10-11	11-12	12-13	13-14	14-15
Projects Delivered	128%	128%	86%	123%	95%	17%	13%	15%	7%	5%

*Five-Year Trend Analysis:* The number of projects committed for delivery in the first quarter was lower than past years. This resulted in a lower annual delivery percentage compared to past years in the five-year trend. The year-to-date percentage, however, is comparable to past years. A few projects are high risk and may not be delivered.

### Measure: Capital Value Delivered - 1st Quarter Fiscal Year 2014-15

#### Fiscal Year 2014-15 Contract for Delivery

Value Delivered	Year-to-Date		Annual Commitment		Goal	Year-End Projection		
	Committed	Percent	Committed	Percent		Forecast	Percent	
<b>Capital Value Delivered</b> (millions)	<b>\$53.3</b>	<b>\$57.5</b>	<b>93</b>	<b>\$2,633.1</b>	<b>2</b>	<b>100%</b>	<b>\$2,581.7</b>	<b>98</b>

#### Construction Capital Value - Delivered Five-Year Trend

Capital Value Delivered	1st Quarter Year-to-Date					1st Quarter Annual Commitment				
	10-11	11-12	12-13	13-14	14-15	10-11	11-12	12-13	13-14	14-15
	104%	105%	31%	111%	93%	16%	9%	5%	7%	2%

*Five-Year Trend Analysis:* The construction capital value of projects committed for delivery in the first quarter was lower than past years. This resulted in a lower annual delivery percentage compared to past years in the five-year trend. The year-to-date percentage, however, is comparable to past years.

### Program Delivery

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

*Costs are in millions.*

	Capital Value Committed	Capital Value Delivered	Capital Value Delivered	Projects Committed	Projects Delivered	Projects Delivered
State Transportation Improvement Program	\$ 83.6	\$ 0.4		10	1	
State Transportation Improvement Program Rail	\$ 12.2	\$ 8.2		4	2	
Amended State Transportation Improvement Program	\$ 0.0	\$ 0.0		0	0	
Advanced State Transportation Improvement Program		\$ 0.0		0	0	
<b>Subtotal State Transportation Improvement Program</b>	<b>\$ 95.8</b>	<b>\$ 8.6</b>	<b>9 %</b>	<b>14</b>	<b>3</b>	<b>21 %</b>
State Highway Operations and Protection Program	\$ 2,123.9	\$ 23.3		317	12	
Amended State Highway Operations and Protection Program	\$ 15.4	\$ 15.4		3	3	
Advanced State Highway Operations and Protection Program		\$ 0.0		0	0	
<b>Subtotal State Highway Operations and Protection Program</b>	<b>\$ 2,139.3</b>	<b>\$ 38.7</b>	<b>2 %</b>	<b>320</b>	<b>15</b>	<b>5 %</b>
Partnership (Local and regional funding contributions)	\$ 408.9	\$ 32.3		18	5	
Proposition 1B Bond	\$ 16.5	\$ 0		1	0	
Minor Program Funds in Contract for Delivery	\$ 0.2	\$ 0.2		0	0	
Emergency Repair		\$ 3.2			3	
Minor Program		\$ 5.7			6	
Maintenance Program		\$ 11.7			9	
<b>Total Delivery All Program Funding Sources</b>		<b>\$ 100.4</b>			<b>41</b>	

Contract for Delivery support costs (18 projects delivered) Budget \$ 18.3 million Expended \$ 16.7 million

# Project Approval, Environmental Documents

## Summary

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

### Project Approval

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

*In fiscal year 2014-15, we committed to deliver 258 project approvals and environmental documents. Through the end of the first quarter, fiscal year 2014-15, Caltrans has approved a total of 81, or 31 percent of the commitment.*

### Draft Environmental Documents Completed

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

*In fiscal year 2014-15, we committed to deliver 74 draft environmental documents. Through the end of the first quarter, fiscal year 2014-15, Caltrans has completed a total of 14, or 19 percent of the commitment.*

## Measure: Projects Approved, Environmental Documents - 1st Quarter Fiscal Year 2014-15

### Fiscal Year 2014-15 Projects Approved

Projects Approved	Year-to-Date		Annual Commitment		Goal	Year-End Projection	
	Committed	Percent	Committed	Percent		Forecast	Percent
<b>81</b>	<b>55</b>	<b>147</b>	<b>258</b>	<b>31</b>	<b>90%</b>	<b>253</b>	<b>98</b>

### Projects Approved - Five-Year Trend

Projects Approved	1st Quarter Year-to-Date					1st Quarter Annual Commitment				
	10-11	11-12	12-13	13-14	14-15	10-11	11-12	12-13	13-14	14-15
	131%	98%	65%	114%	147%	43%	33%	19%	21%	31%

*Five-Year Trend Analysis:* The number of project approvals and environmental documents to date is comparable to past years. Five project approvals are forecast outside of the current year. Caltrans, however, remains on track to meet the goal for 90 percent of committed project approvals by the end of the year.

**Measure: Draft Environmental Documents Completed - 1st Quarter  
Fiscal Year 2014-15**

**Fiscal Year 2014-15 Draft Environmental Documents**

	Documents Completed	Year-to-Date		Annual Commitment		Goal	Year-End Projection	
		Committed	Percent	Committed	Percent		Forecast	Percent
<b>Number of Draft Environmental Documents Completed</b>	<b>14</b>	<b>19</b>	<b>74</b>	<b>74</b>	<b>19</b>	<b>80%</b>	<b>72</b>	<b>97</b>

**Environmental Documents Completed - Five-Year Trend**

	1st Quarter Year-to-Date					1st Quarter Annual Commitment				
	10-11	11-12	12-13	13-14	14-15	10-11	11-12	12-13	13-14	14-15
<b>Draft Environmental Documents Completed</b>	233%	91%	25%	125%	74%	21%	23%	8%	9%	19%

*Five-Year Trend Analysis:* The number of draft environmental documents completed to date is comparable to past years. Two documents will likely not be completed this year. Caltrans, however, remains on track to meet a goal of 80 percent completed by the end of the year.

# Right of Way

## Summary

### Project Certifications

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

*In fiscal year 2014-15, we committed to certify right of way for 335 projects. Through the end of the first quarter, fiscal year 2014-15, Caltrans has certified a total of 20, or 6 percent of the annual commitment.*

### Allocation Funds Committed

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

*For fiscal year 2014-15, the Right of Way Capital Plan outlines funding needed to keep programmed projects on track for delivery as planned. Caltrans requested and received an allocation of \$163.0 million. Through the end of the first quarter, fiscal year 2014-15, Caltrans has committed \$65 million, or 40 percent of the right of way allocation approved by the Commission.*

## Measure: Projects Certified - 1st Quarter Fiscal Year 2014-15

### Fiscal Year 2014-15 Project Certifications

Projects Certified	Year-to-Date		Annual Commitment		Goal	Year End Projection		
	Committed	Percent	Committed	Percent		Forecast	Percent	
<b>Number of Projects Certified</b>	<b>20</b>	<b>25</b>	<b>80</b>	<b>335</b>	<b>6</b>	<b>100%</b>	<b>330</b>	<b>99</b>

### Projects Certified - Five-Year Trend

Projects Certified	1st Quarter Year-to-Date					1st Quarter Annual Commitment				
	10-11	11-12	12-13	13-14	14-15	10-11	11-12	12-13	13-14	14-15
	200%	136%	132%	100%	80%	36%	22%	19%	11%	6%

*Five-Year Trend Analysis:* The number of projects committed for delivery in the first quarter was lower than past years. This resulted in a lower annual delivery percentage compared to past years in the five-year trend. The year-to-date percentage, however, is comparable to past years. A few projects are high risk and may not be delivered.

**Measure: Allocation Funds Committed - 1st Quarter Fiscal Year 2014-15**

**Fiscal Year 2014-15 Right of Way Allocation**

Allocation Funds Committed (millions)	Funds Committed	Annual Commitment		Goal	Year-End Projection	
	\$53.3	Committed	Percent		Forecast	Percent
	\$163.0	40	100%	\$163.0	100	

**Allocation Funds Committed - Five-Year Trend**

Allocation Funds Committed	1st Quarter Annual Commitment				
	10-11	11-12	12-13	13-14	14-15
	17%	24%	22%	26%	40%

*Five-Year Trend Analysis:* Funds committed to date are higher than past years. Caltrans anticipates that we will stay within the annual allocation.

**Right of Way Capital Plan**

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

Category	Allocation (millions)	Committed (millions)	Percent Committed
<b>Capital Projects</b>			
State Transportation Improvement Program	\$ 94.6	\$ 49.3	52
State Highway Operations and Protection Program	\$ 34.8	\$ 8.2	24
<b>Subtotal</b>	<b>\$ 129.4</b>	<b>\$ 57.5</b>	<b>44</b>
<b>Specific Categories</b>			
Post-certification	\$ 25.1	\$ 5.6	22
Permit Fees	\$ 1.0	\$ 0.2	20
Damage to Property (Inverse)	\$ 7.5	\$ 1.3	17
<b>Subtotal</b>	<b>\$ 33.6</b>	<b>\$ 7.1</b>	<b>21</b>
<b>TOTAL</b>	<b>\$ 163.0</b>	<b>\$ 64.6</b>	<b>40</b>



# Construction

## Summary

### Contracts Accepted

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

- In fiscal year 2014-15, we committed to accept 174 construction contracts. Through the end of the first quarter, fiscal year 2014-15, Caltrans has accepted 31, or 18 percent of the annual commitment.
- At the end of the first quarter, fiscal year 2014-15, Caltrans had 657 projects valued at \$11.2 billion under construction.

## Measure: Contracts Accepted - 1st Quarter Fiscal Year 2014-15

### Fiscal Year 2014-15 Contracts Accepted

Contracts Accepted	Year-to-Date		Annual Commitment		Goal	Year-End Projection	
	Committed	Percent	Committed	Percent		Forecast	Percent
<b>31</b>	<b>32</b>	<b>97</b>	<b>174</b>	<b>18</b>	<b>95%</b>	<b>170</b>	<b>98</b>

### Contracts Accepted - Five-Year Trend

Contracts Accepted	1st Quarter Year-to-Date					1st Quarter Annual Commitment				
	10-11	11-12	12-13	13-14	14-15	10-11	11-12	12-13	13-14	14-15
	219%	155%	107%	97%	97%	31%	24%	15%	19%	18%

*Five-Year Trend Analysis:* The number of contracts accepted to date is comparable to past years. Four contract completions are forecast outside of the year. Caltrans, however, remains on track to meet the goal for 95 percent of committed contracts to be accepted by the end of the year.

## Construction Program Quarterly Status Notes

*Contractor Payments:* To date, in fiscal year 2014-15, \$868 million has been paid to contractors.

*Construction Starts and Completions:* 74 construction contracts valued at \$493 million were started (including minor A and some minor B projects that are not programmed), and 101 construction contracts valued at \$245 million were completed during the past quarter.

*Claims and Arbitration:* Caltrans has 45 construction contracts in post-contract acceptance with notice of potential claims in the amount of \$49 million. We have 17 construction contracts in arbitration filed for \$43 million. Three new arbitration cases were filed, and four contracts were settled or received an arbitration decision.

# Closeout Costs

## Summary

### Program Costs

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

- *Through the end of the first quarter, fiscal year 2014-15, Caltrans is reporting closeout of 8 State Transportation Improvement Program projects. The final approved budget for these projects was \$134 million. The actual cost to complete these projects was \$130 million, or 97 percent of the final approved budget.*
- *Through the end of the first quarter, fiscal year 2014-15, Caltrans is reporting closeout of 35 State Highway Operations and Protection Program projects. The final approved budget for these projects was \$328 million. The actual cost to complete these projects was \$316 million, or 96 percent of the final approved budget.*

## Measures: Program Costs - 1st Quarter Fiscal Year 2014-15

### Fiscal Year 2014-15 Program Costs

		Actual Cost Percent of Approved Budget	
		State Transportation Improvement Program	State Highway Operations and Protection Program
Program Costs		97	96

### Program Costs - Five-Year Trend

		State Transportation Improvement Program					State Highway Operations and Protection Program				
		1st Quarter Year-To-Date					1st Quarter Year-To-Date				
		10-11	11-12	12-13	13-14	14-15	10-11	11-12	12-13	13-14	14-15
Program Cost		93%	99%	83%	91%	97%	70%	69%	72%	75%	96%

*Five Year Trend Analysis:* Total program actual costs remain under the approved program's budgets.

In 2014, Caltrans updated its change management policy by issuing Project Management Directive 022, "Capital Outlay Support Change Management Policy, Process, and Procedures." This policy establishes Caltrans management practices to monitor and manage project support costs. It also outlines documentation and approvals needed when costs change.

The tables below provide program closeout cost information for completed projects.

**State Transportation Improvement Program<sup>1</sup> Closeout – Program Costs**

Budget (\$1,000's)	Actually Spent (\$1,000's)	(+/-) (\$1,000's)		Cost Ratios Actual / Budget
		Under	(Over)	
\$ 133,759	\$ 129,284	\$ 4,475		97 %

<sup>1</sup> State Transportation Improvement Program includes projects with one or more components funded from the State Transportation Improvement Program funds, and all contributor funds on all project components.

A list of State Transportation Improvement Program closeout projects is included in the appendix, "(A) Caltrans Fiscal Year 2014-15 State Transportation Improvement Program Project Closeout".

**State Highway Operations and Protection Program Closeout – Program Costs**

Budget (\$1,000's)	Actually Spent (\$1,000's)	(+/-) (\$1,000's)		Cost Ratios Actual / Budget
		Under	(Over)	
\$ 327,534	\$ 315,520	\$ 12,014		96 %

A list of State Highway Operations and Protection Program closeout projects is included in the appendix, "(B) Caltrans Fiscal Year 2014-15 State Highway Operations and Protection Program Project Closeout".

## Appendix

- (A) Caltrans Fiscal Year 2014-15 State Transportation Improvement Program Project Closeout
- (B) Caltrans Fiscal Year 2014-15 State Highway Operations and Protection Program Project Closeout

**(A) Caltrans Fiscal Year 2014-15 State Transportation  
Improvement Program<sup>1</sup> Project Closeout**

Project Description	Support		Capital		Program	
	Approved Support Budget <sup>2</sup>	Actual Support Costs	Approved Capital Budget <sup>2</sup>	Actual Capital Costs	Approved Project Budget <sup>2</sup>	Actual Project Costs
<sup>1</sup> State Transportation Improvement Program includes projects with one or more components funded from State Transportation Improvement Program funds and all contributor funds on all project components. <sup>2</sup> Budget information includes only budget information that expenditures are reflected in State data systems. Excludes local budgets with local expenditures.						
<b>1st Qtr STIP Closeout</b>						
SHA 044 Landscape	\$ 144	\$ 446	\$ 672	\$ 634	\$ 816	\$ 1,080
YOL 005 Tree Planting	\$ 158	\$ 176	\$ 499	\$ 498	\$ 657	\$ 674
SM 101 Plant Establishment	\$ 33	\$ 65	\$ 195	\$ 114	\$ 228	\$ 179
MON 001 Salinas IC	\$ 11,373	\$ 12,496	\$ 20,318	\$ 19,667	\$ 31,691	\$ 32,163
SLO 046 Replace Bridge	\$ 2,485	\$ 2,290	\$ 4,185	\$ 4,115	\$ 6,670	\$ 6,405
LA 138 Rte 138 Widening	\$ 12,205	\$ 9,691	\$ 18,939	\$ 14,939	\$ 31,144	\$ 24,630
LA 101 Widen Ramps	\$ 3,683	\$ 4,252	\$ 5,478	\$ 5,165	\$ 9,161	\$ 9,417
TUO 108 Sonora Bypass	\$ 14,440	\$ 15,827	\$ 38,952	\$ 38,909	\$ 53,392	\$ 54,736
	\$ 44,521	\$ 45,243	\$ 89,238	\$ 84,041	\$ 133,759	\$ 129,284

**(B) Caltrans Fiscal Year 2014-15 State Highway Operations  
and Protection Program Project Closeout**

Project Description	Support		Capital		Program	
	Approved Support Budget	Actual Support Costs	Approved Capital Budget	Actual Capital Costs	Approved Project Budget	Actual Project Costs
<b>1st Qtr SHOPP Closeout</b>						
HUM 255 Rehab Bridge	\$ 625	\$ 292	\$ 2,005	\$ 1,781	\$ 2,630	\$ 2,074
HUM 096 Repair Slipout	\$ 800	\$ 1,071	\$ 5,110	\$ 5,099	\$ 5,910	\$ 6,171
LAK 020 Damage Fires	\$ 150	\$ 133	\$ 1,210	\$ 528	\$ 1,360	\$ 662
HUM 036 Repair Culvert	\$ 150	\$ 96	\$ 410	\$ 199	\$ 560	\$ 296
MEN 001 Bridge, Fish Weir	\$ 2,791	\$ 3,746	\$ 4,720	\$ 4,630	\$ 7,511	\$ 8,375
LAK 053 Widen Roadway	\$ 5,534	\$ 7,285	\$ 14,370	\$ 13,226	\$ 19,904	\$ 20,511
PLU 089 Bridge Slab	\$ 2,191	\$ 2,325	\$ 3,071	\$ 2,829	\$ 5,262	\$ 5,154
SAC 012 Rehab Pavement	\$ 1,550	\$ 1,310	\$ 4,491	\$ 4,000	\$ 6,041	\$ 5,309
SCL 082 Signals Ramps	\$ 640	\$ 846	\$ 704	\$ 694	\$ 1,344	\$ 1,540
ALA 084 Erosion Control	\$ 170	\$ 117	\$ 201	\$ 146	\$ 371	\$ 263
SON 012 Traffic Signal	\$ 3,027	\$ 4,405	\$ 3,987	\$ 4,413	\$ 7,014	\$ 8,818
ALA 880 Roadway Rehab	\$ 4,860	\$ 6,637	\$ 16,225	\$ 14,733	\$ 21,085	\$ 21,370
SCL 009 Shoulder Widen	\$ 1,302	\$ 969	\$ 1,052	\$ 638	\$ 2,354	\$ 1,607
ALA 080 Bikeway	\$ 2,095	\$ 2,773	\$ 2,477	\$ 2,044	\$ 4,572	\$ 4,816
SM 101 Ramp Metering	\$ 2,903	\$ 5,126	\$ 11,505	\$ 10,568	\$ 14,408	\$ 15,694
ALA 880 Copper Wires	\$ 300	\$ 360	\$ 1,000	\$ 911	\$ 1,300	\$ 1,271
ALA 680 Repair Pavement	\$ 875	\$ 161	\$ 3,500	\$ 2,574	\$ 4,375	\$ 2,735
SCL 880 Eletrical Systems	\$ 400	\$ 366	\$ 1,500	\$ 1,500	\$ 1,900	\$ 1,866
NAP 029 Slope And Culverts	\$ 2,831	\$ 3,268	\$ 3,070	\$ 2,589	\$ 5,901	\$ 5,857
SON 001 Culvert,Rock Slope	\$ 440	\$ 483	\$ 425	\$ 301	\$ 865	\$ 785
MON 001 Bridge Rock Shed	\$ 10,854	\$ 11,095	\$ 34,234	\$ 33,312	\$ 45,088	\$ 44,406
MON 001 Soldier Pile	\$ 1,363	\$ 493	\$ 5,505	\$ 5,439	\$ 6,868	\$ 5,932
KER 058 Replace Bridge	\$ 1,125	\$ 1,571	\$ 1,871	\$ 1,610	\$ 2,996	\$ 3,181
KER 099 Replace Pavement	\$ 5,104	\$ 6,321	\$ 91,789	\$ 80,562	\$ 96,893	\$ 86,883
KIN 041 Rehab Roadway	\$ 6,916	\$ 7,081	\$ 11,627	\$ 9,856	\$ 18,543	\$ 16,936
LA 005 Median Barrier	\$ 2,668	\$ 4,283	\$ 5,349	\$ 5,297	\$ 8,017	\$ 9,580
LA 005 Restore Roadway	\$ 5,300	\$ 5,886	\$ 11,520	\$ 10,540	\$ 16,820	\$ 16,426
LA 210 Flume Liner	\$ 495	\$ 545	\$ 586	\$ 532	\$ 1,081	\$ 1,078
LA 001 Bridge Preservation	\$ 1,425	\$ 1,442	\$ 3,016	\$ 2,728	\$ 4,441	\$ 4,170
LA 605 Bridge Decks	\$ 680	\$ 960	\$ 2,428	\$ 2,297	\$ 3,108	\$ 3,257
RIV 074 Widen Intersection	\$ 1,145	\$ 1,723	\$ 1,316	\$ 1,006	\$ 2,461	\$ 2,729
RIV 086 Median Cross Over	\$ 210	\$ 290	\$ 591	\$ 536	\$ 801	\$ 825
SBD 040 Bridge Abutment	\$ 165	\$ 51	\$ 500	\$ -	\$ 665	\$ 51
AMA 012 Ada Curb Ramps	\$ 1,411	\$ 861	\$ 195	\$ 172	\$ 1,606	\$ 1,033
SD 075 Paint Bridge	\$ 644	\$ 1,389	\$ 2,835	\$ 2,470	\$ 3,479	\$ 3,859
	\$ 73,139	\$ 85,761	\$ 254,395	\$ 229,759	\$ 327,534	\$ 315,520