



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.”

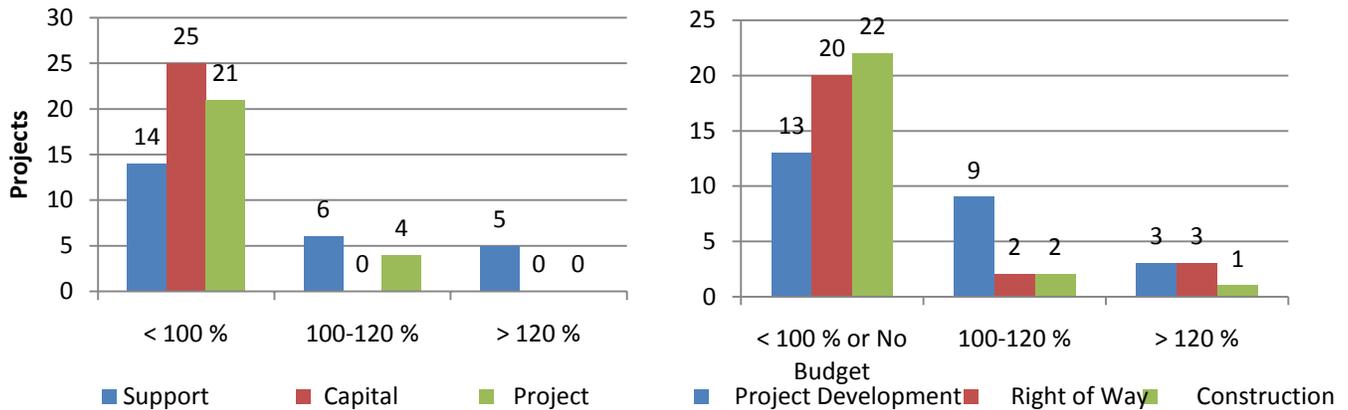
The BSA audit was focused on support costs and all audit recommendations apply to support. Support, however, is only a portion of a project's overall cost. Caltrans is also including capital cost information where appropriate to complete project cost

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



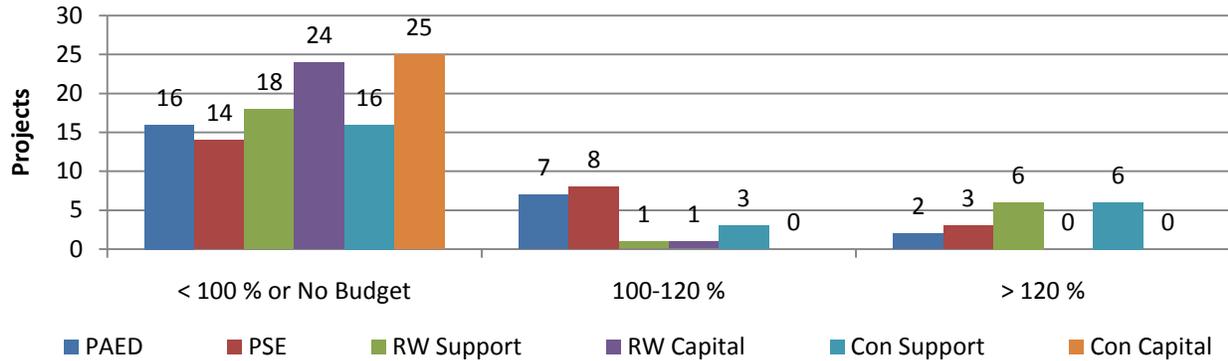
STIP Programmed and Completed Cost Information - Component Groupings

		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.

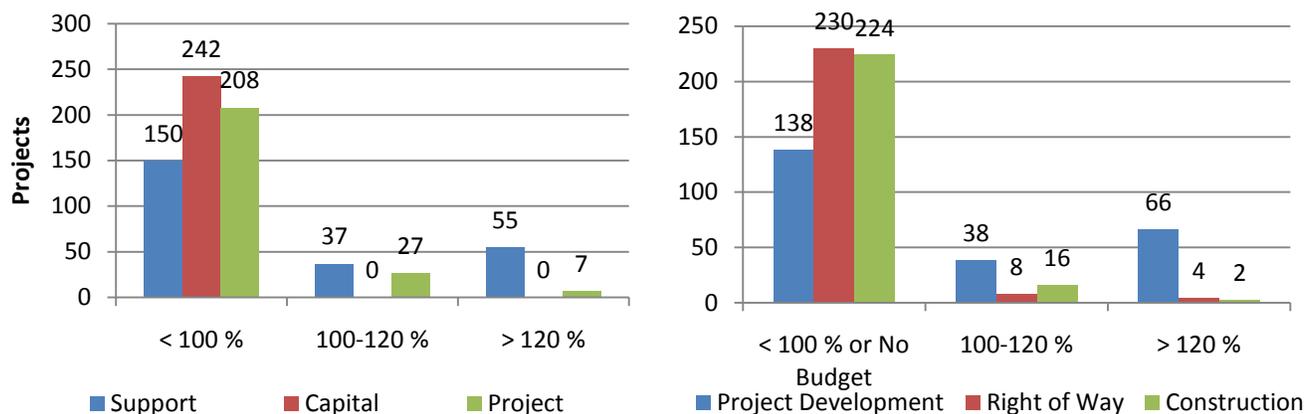
STIP Project Completed Cost - Individual Components



STIP Programmed and Completed Cost Information - Individual Components

Individual Project Components	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	83 %
	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				\$ 3,967
	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		(\$ 2,022)		
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				\$ 9,939
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	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 %			
	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



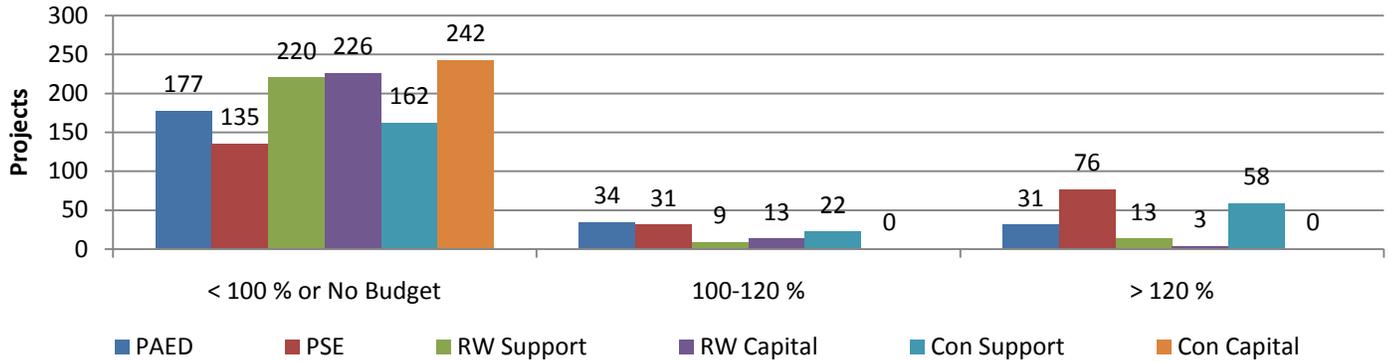
SHOPP Programmed and Completed Cost Information - Component Groupings

		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			

		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						
STIP Guidelines Components	PJD (PAED & 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.		
		< 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.

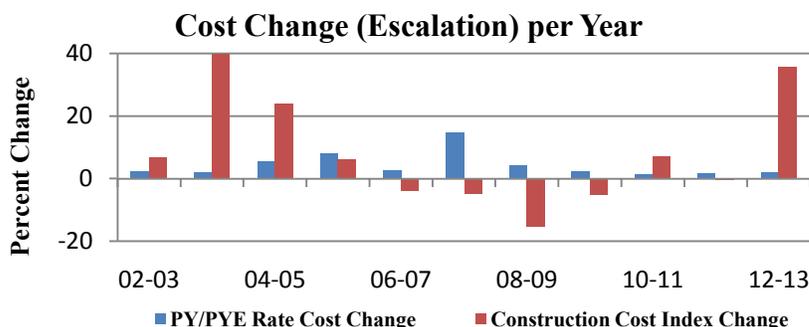
- A single number S/C ratio goal leads to certain misconceptions concerning costs. Programmatic goals should not be used to evaluate individual projects. This goal has been misused in evaluations of the COS program.

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.



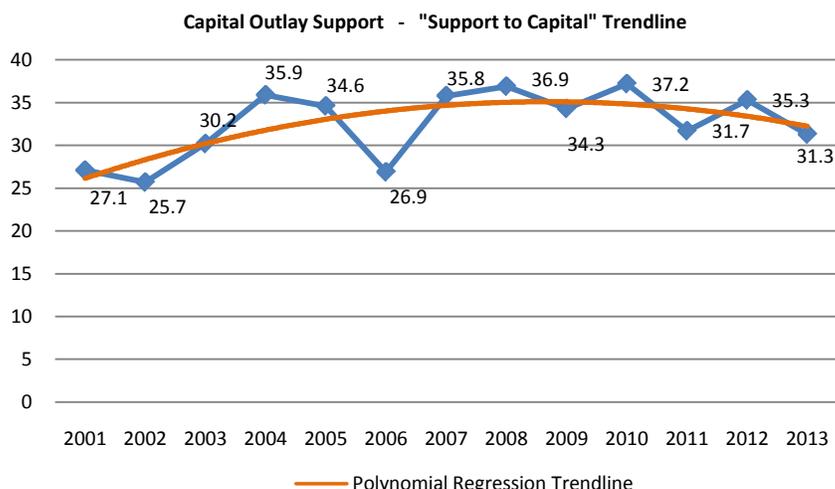
	03-04	04-05	05-06	06-07	07-08	08-09	09-10	10-11	11-12	12-13
Capital Value (millions)	\$1,067.4	\$1,223.8	\$2,123.1	\$1,559.0	\$1,876.3	\$2,784.5	\$2,103.6	\$2,644.3	\$2,361.4	\$1,896.5
Annual Capital Value Change (millions)		\$ 156.4	\$ 899.3	-\$ 564.1	\$ 317.3	\$ 908.2	-\$ 680.9	\$ 540.7	-\$ 282.9	-\$ 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 12-13	\$ 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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Construction Program.....	pg20
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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.

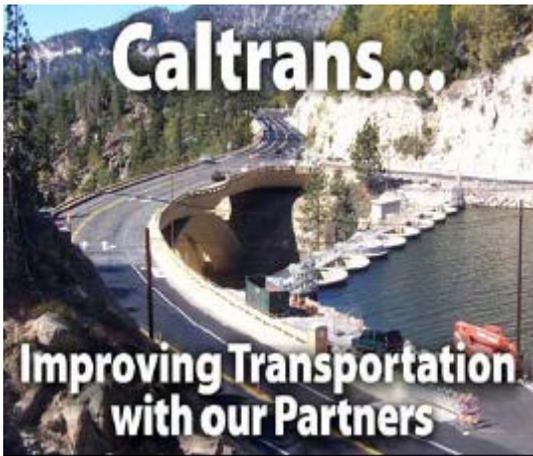
The Contract for Delivery is Caltrans' FY plan and includes programmed projects and projects funded from other sources including maintenance, toll bridge, and partnership projects. The contract is not subject to change, so it does not include program amendments, emergency, or minor program projects.

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.

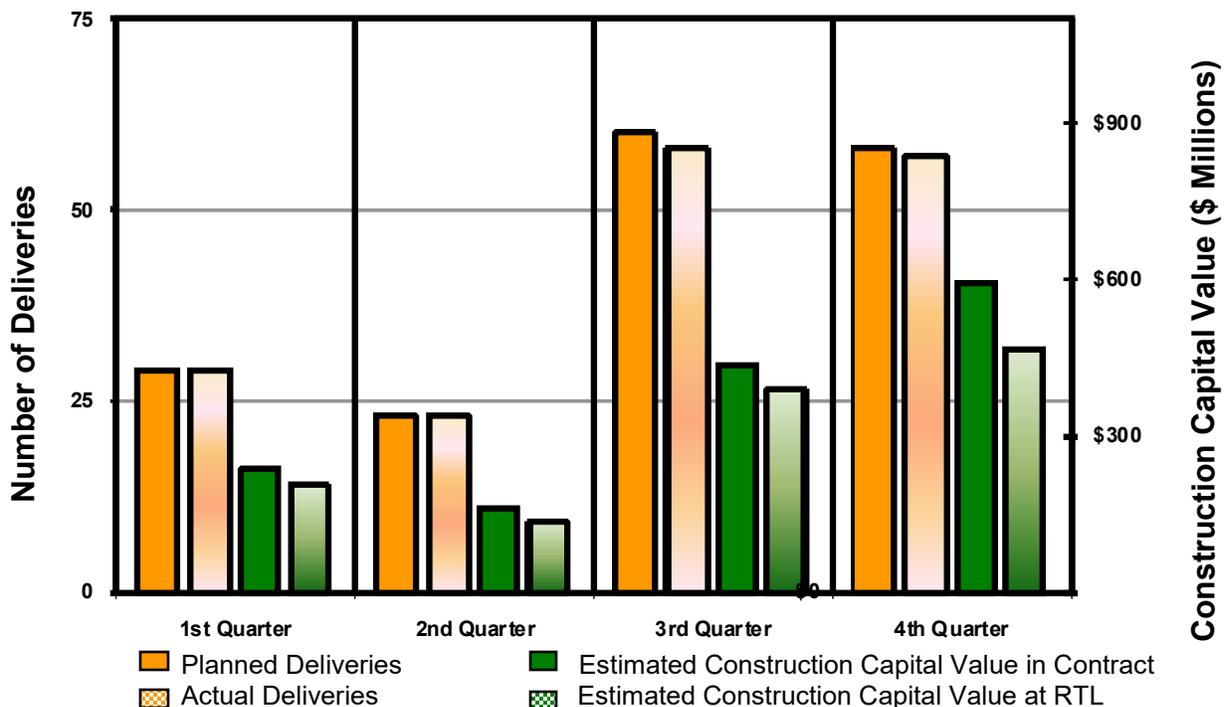
STATUS AS OF JUNE 30, 2013

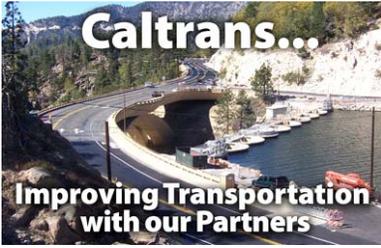


STATEWIDE Contract for Delivery FY 2012-13

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



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- Completed
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- PE Support Within Budget
- Future RTL Status Date



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

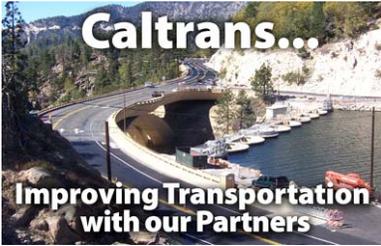
FOURTH QUARTER APRIL 1 JUNE 30

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- PE Support <= 80% of Budget
- PE Support Within Budget
- PE Support >= 120% of Budget
- Future RTL Status Date



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						

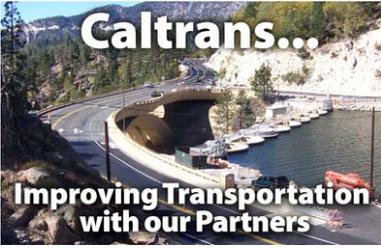
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The California Department of Transportation Contract for Delivery! FY 2012/2013

3rd Quarter Delivery Report 60 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	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

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

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

3rd Quarter Delivery Report 60 Planned Deliveries

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

2nd Quarter Delivery Report 23 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	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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The California Department of Transportation Contract for Delivery! FY 2012/2013

2nd Quarter Delivery Report 23 Planned Deliveries

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

1st Quarter Delivery Report 29 Planned Deliveries

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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	DPP/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

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1st Quarter Delivery Report 29 Planned Deliveries

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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

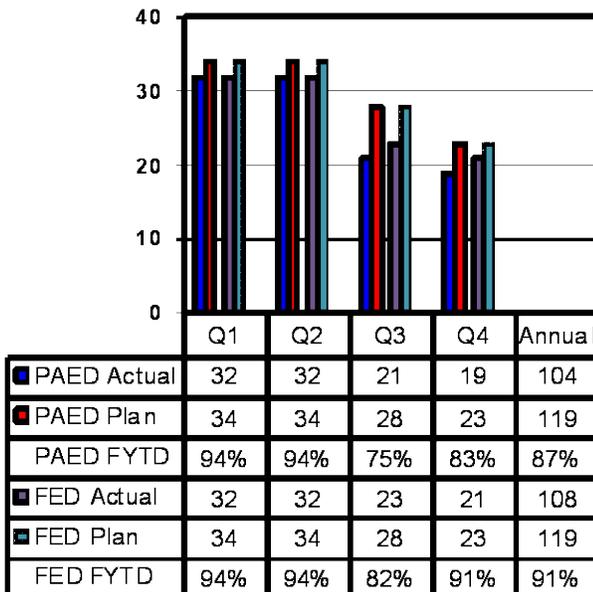
Environmental Document Milestones

Environmental Delivery Commitment

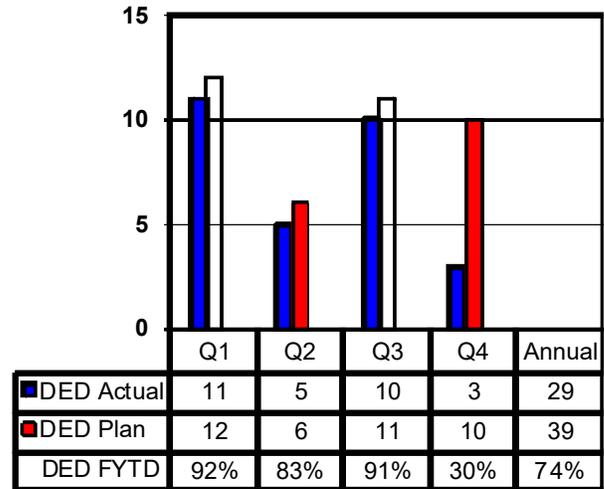
As part of this report, Caltrans reports on delivery for the upcoming year of project approval and environmental milestones that require CTC action for consideration of future funding. The milestones include Draft Environmental Documents (DED), and Project Approval and Environmental Document (PAED) which 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.

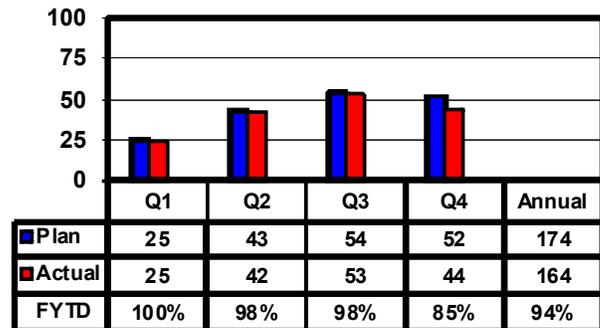
Right of Way Expenditures

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

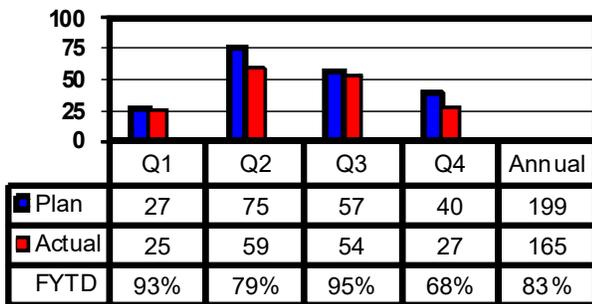
PLANNED CONSTRUCTION PROGRAM

(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

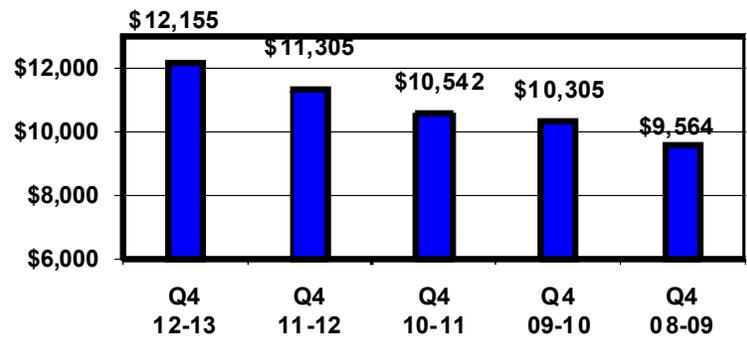
OVERALL CONSTRUCTION PROGRAM

(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.

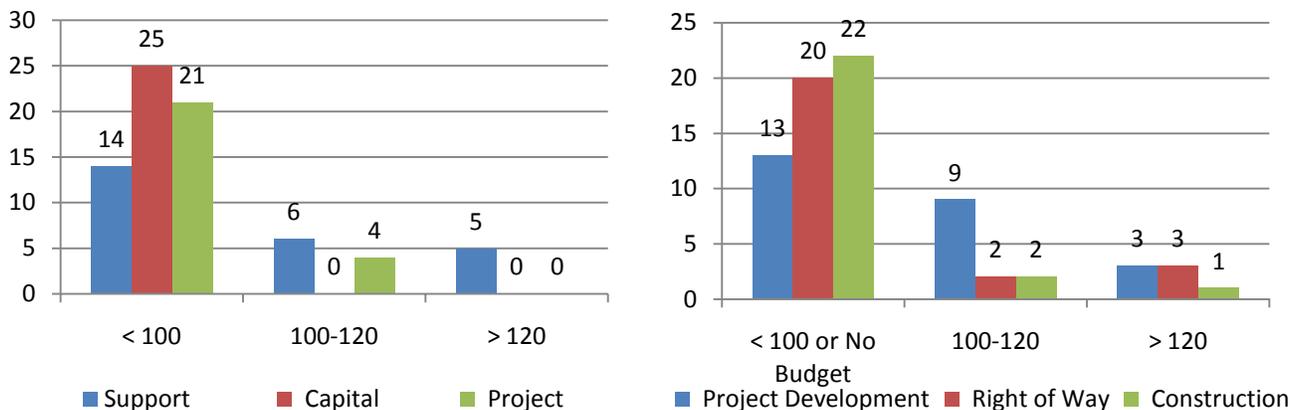
When projects are initially programmed into a programming document, there are a lot of unknown factors that could result in higher or lower costs by the time a project is ready for construction. A good example of unknowns is project refinements and changes that are implemented by the public hearing and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



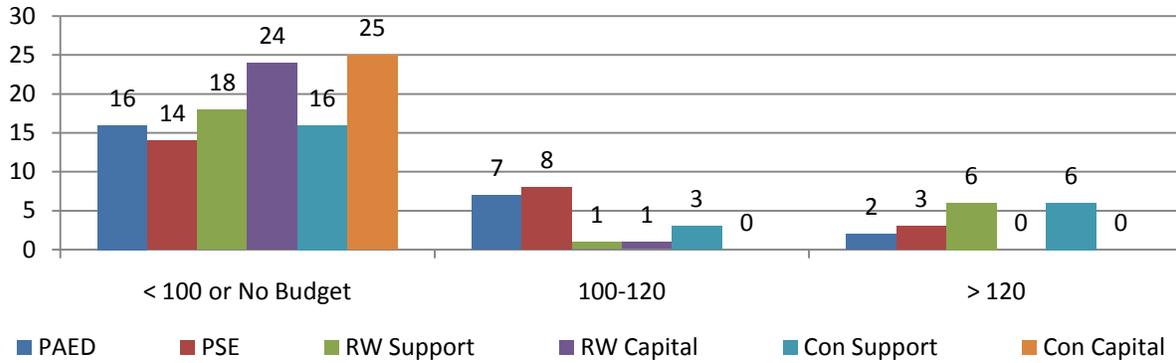
STIP Programmed and Completed Cost Information - Component Groupings

	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		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						
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			\$ 7,032
	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			\$ 7,916
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	94 %

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.

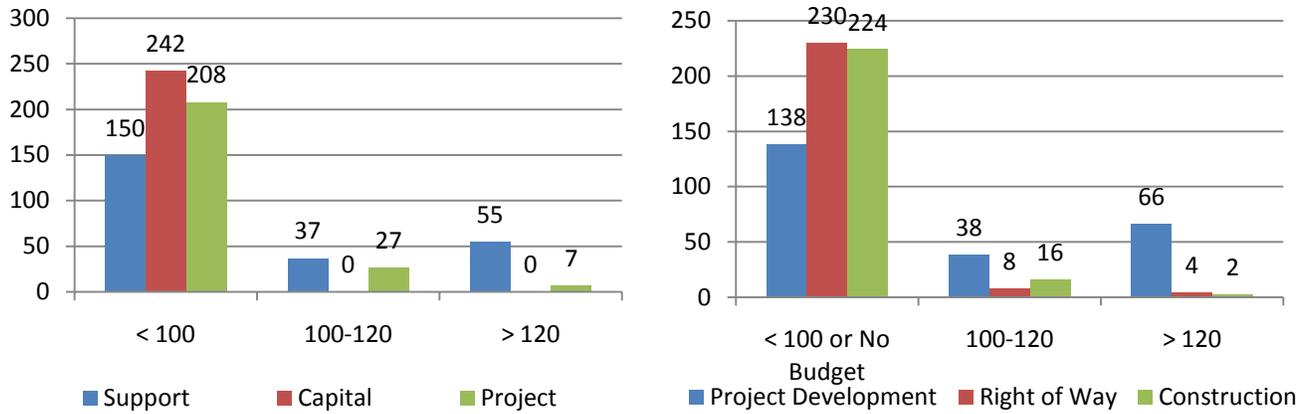
STIP Project Completed Cost - Individual Components



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		\$ 9,939	
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



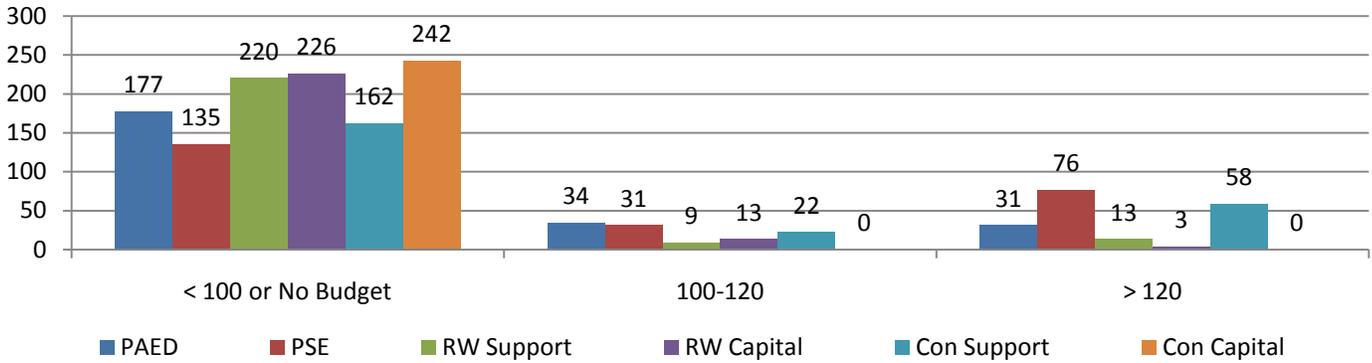
SHOPP Programmed and Completed Cost Information - Component Groupings

	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		
	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		
	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		
	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		
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