

# Memorandum

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To: CHAIR AND COMMISSIONERS

CTC Meeting: October 18-19, 2017

Reference No.: 4.7  
Action Item

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Subject: **INTERIM STATE HIGHWAY OPERATION AND PROTECTION PROGRAM  
GUIDELINES QUARTERLY REPORTING FORMAT AND CONTENT**

## **ISSUE:**

Should the California Transportation Commission (Commission) approve standard quarterly report formats for the California Department of Transportation (Caltrans) to follow when reporting to the Commission on progress made towards meeting the targets and performance measures set forth in Senate Bill (SB) 1 and adopted by the Commission pursuant to SB 486 (DeSaulnier, 2014) as required by section XI subsections 57, 58 and 60 of the Interim State Highway Operation and Protection Program (SHOPP) Guidelines?

## **RECOMMENDATION:**

Commission staff recommends that the Commission approve the attached quarterly report formats for Caltrans to use when reporting to the Commission on progress made towards meeting the targets and performance measures set forth in SB 1 and adopted by the Commission pursuant to SB 486 as required by section XI subsections 57, 58 and 60 of the Interim State Highway Operation and Protection Program (SHOPP) Guidelines.

## **BACKGROUND:**

Pursuant to Government Code Section 14526.7(b) and the adopted Interim SHOPP Guidelines, Caltrans shall report quarterly to the Commission on progress made towards meeting the targets and performance measures set forth in SB 1 and adopted by the Commission pursuant to SB 486. Subsections 57, 58, and 60 of Section XI of the Commission adopted Interim SHOPP Guidelines contain the reporting and accountability requirements that Caltrans is to follow. Commission staff has developed the attached standard reporting formats to facilitate the transmission of the quarterly information to the Commission.

Attachment

**Interim SHOPP Guidelines: Section 57 a.** A list of completed projects by phase showing planned and actual performance measures including progress made towards achieving the Commission approved targets and 2027 targets set forth in Senate Bill 1. **Section 60 b.** Caltrans shall report quarterly and more often as requested by the Commission on the progress it has made in achieving the 2027 targets/goals set forth in SB 1 and the Commission's adopted targets.

REPORT DATE: *<Refer to Section 57 of the SHOPP Guidelines for Reporting Dates >*

QUARTERLY PERFORMANCE REPORT for Projects that Complete Construction: *<Enter Year and Quarter >*

Senate Bill 1 and Commission approved Performance Goal		Projects Completed this Quarter			End of Quarter Asset Condition	On Track to Meet Annual Performance Benchmark? (Yes/No*)	On Track to Meet Performance Targets/Goals by 2027? (Yes/No*)
		Project Identifier	Planned Performance Measure	Actual Performance Measure			
PAVEMENT	Not less than 98 percent of pavement on the state highway system in good or fair condition				<XX> percent of highway pavement in good or fair condition		
	Not less than 90 percent level of service achieved for maintenance of potholes, spalls, and cracks				<XX> percent level of service achieved for maintenance of potholes, spalls, and cracks		
	<b>Total</b>						
CULVERTS	Not less than 90 percent of culverts in good or fair condition				<XX> percent of culverts in good or fair condition		
		<b>Total</b>					
TRANSPORTATION MANAGEMENT SYSTEM UNITS	Not less than 90 percent of the transportation management system units in good condition				<XX> percent of transportation management systems in good condition		
		<b>Total</b>					
BRIDGES	Fix not less than an additional 500 bridges				<Number> additional bridges fixed		
	Fifteen percent of bridge deck area to be in fair condition and no more than 1.5 percent in poor condition				<XX> percent of deck area in good, <XX> percent in fair, and <XX> percent in poor condition		
	<b>Total</b>						

\* A "No" response requires a Remediation Plan to adjust performance to meet the goal

Note: Additional performance goals will be added as needed to align with Commission adopted performance goals for supplemental assets in subsequent phases of the Transportation Asset Management Plan.

**Interim SHOPP Guidelines: Section 57 b.** A summary, by phase and fund type, of the funds programmed, allocated, and expended at the time the construction contract was accepted. For projects with a total project cost of less than \$50 million and a total SHOPP programmed amount (in right-of-way and/or construction) of less than \$15 million, the information may be aggregated.

REPORT DATE: <Refer to Section 57 of the SHOPP Guidelines for Reporting Dates>

QUARTERLY AGGREGATED REPORT for Projects that Complete Construction: <Enter Year and Quarter>

Number of Projects in this Aggregated Summary: <Number>

Phase	Fund-Type	Initial Programmed Amount	Initial Allocated Amount	Supplemental Allocated Amount	Initial Programmed vs. Allocated Variance Amount	Expended Amount	Total Allocated vs. Expended Variance Amount
		Column ( A )	Column ( B )	Column ( B2 )	[ A - ( B + B2 ) ]	( C )	[ ( B + B2 ) - C ]
		(\$1,000)	(\$1,000)	(\$1,000)	(\$1,000)	(\$1,000)	(\$1,000)
PA&ED Support	SHOPP						
	Other						
	Total						
PS&E Support	SHOPP						
	Other						
	Total						
Right of Way Support	SHOPP						
	Other						
	Total						
Construction Support	SHOPP						
	Other						
	Total						
Right of Way Capital	SHOPP						
	Other						
	Total						
Construction Capital	SHOPP						
	Other						
	Total						
Total	SHOPP						
	Other						
	Total						

Aggregated summary discussion of benefits anticipated prior to construction compared to actual benefits achieved

**Interim SHOPP Guidelines: Section 57 b.** A summary, by phase and fund type, of the funds programmed, allocated, and expended at the time the construction contract was accepted. For projects with a total cost of \$50 million or greater or a total SHOPP programmed amount (in right-of-way and/or construction) of \$15 million or greater, each report shall also include a discussion of the project benefits that were anticipated prior to construction compared to an estimate of the actual benefits achieved.

**REPORT DATE:** <Refer to Section 57 of the SHOPP Guidelines for Reporting Dates>

**QUARTERLY PERFORMANCE REPORT for LARGE Projects that Complete Construction:** <Enter year and Quarter>

Project Identification Dist-Co-Rte-PM			Phase	Fund-Type	Initial	Initial	Supplemental	Initial	Expended	Total	Project Benefits Anticipated Prior to Construction Compared to Actual Benefits Achieved
					Programmed Amount	Allocated Amount	Allocated Amount	vs. Allocated Variance Amount		Allocated vs. Expended Variance Amount	
					Column ( A )	Column ( B )	Column ( B2 )	A - ( B + B2 )	( C )	( B + B2 ) - C ]	
					(\$1,000)	(\$1,000)	(\$1,000)	(\$1,000)	(\$1,000)	(\$1,000)	
			PA&ED Support								
			PS&E Support								
			Right of Way Support								
			Construction Support								
			Right of Way Capital								
			Construction Capital								
				Project Total							
			PA&ED Support								
			PS&E Support								
			Right of Way Support								
			Construction Support								
			Right of Way Capital								
			Construction Capital								
				Project Total							
			PA&ED Support								
			PS&E Support								
			Right of Way Support								
			Construction Support								
			Right of Way Capital								
			Construction Capital								
				Project Total							
			PA&ED Support								
			PS&E Support								
			Right of Way Support								
			Construction Support								
			Right of Way Capital								
			Construction Capital								
				Project Total							
			PA&ED Support								
			PS&E Support								
			Right of Way Support								
			Construction Support								
			Right of Way Capital								
			Construction Capital								
				Project Total							

