

SENATE BILL 1

Semi-Annual Report to the
California Transportation Commission
For the period: July 1, 2020 – December 31, 2020



March 2021



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Section 1 - Senate Bill 1 Program Progress Report

Overall Program Summary - July 1, 2020 – December 31, 2020

Purpose

Senate Bill 1 (SB 1) increased the California Transportation Commission's (Commission) oversight responsibilities to ensure the California Department of Transportation (Caltrans) and local governments are held accountable for the efficient investment of public funds through performance goals that are tracked and reported. The Commission adopted the SB 1 Accountability and Transparency Guidelines on March 21, 2018, and amended on May 16, 2018, and August 15, 2018, to require Caltrans to prepare and submit to the Commission progress reports for each SB 1 Program at specified timelines. Progress reports will include information appropriate to assess the current state of the overall program.



SB 1 Programs

The Commission developed the Accountability and Transparency guidelines outlining the requirements for reporting progress on projects' approved scope, cost, schedule and benefits. The guidelines apply to the following programs: Solutions for Congested Corridors Program (SCCP), the Trade Corridor Enhancement Program (TCEP), the Local Partnership Program – Competitive (LPP-C), Local Partnership Program Formulaic (LPP-F), the State Highway Operation & Protection Program (SHOPP), and the Active Transportation Program (ATP).

Programs at a Glance:	SCCP	TCEP	LPP-C	LPP-F	ATP
Total programmed funds	\$1.0 B	\$1.4 B	\$309 M	\$477.1 M	\$1.6 B
Number of programmed projects/ segments	34	38	34	138	816
Total cost of all programmed projects ¹	\$3.4 B	\$4.5 B	\$1.7 B	\$8.8 B	\$3.1 B
Number of projects/ segments allocated	18	28	25	108	1,423
Total dollars allocated	\$893.4 M	\$1 B	\$180 M	\$323.2 M	\$948 M
Number of awarded projects	17	12	22	63	544
Total dollars of awarded projects	\$743.4 M	\$532.4 M	\$160.7 M	\$209.7 M	\$580 M
Remaining funds available for programming or allocation	\$0	\$61.27 M	\$0	\$171.9 M	\$441 M

M = Million B = Billion

¹Total programmed dollars includes projects funded by multiple programs, in addition to federal, state and local funds.

*Reflects project awards in reporting period.

Section 1 - Senate Bill 1 Program Progress Report

Overall Program Summary - July 1, 2020 – December 31, 2020

SHOPP Projects with RMRA Funding ¹ :	Construction not Complete	Construction Complete
Total cost of all programmed projects (all funds)	\$19.4 Billion ²	\$967 Million ⁴
Number of projects programmed	689	87
Total programmed SHOPP funds	\$15.7 Billion ³	\$936 Million ⁴
Number of projects with SHOPP construction allocations	258	87
Total SHOPP dollars allocated (all phases)	\$9.0 Billion ³	\$1,045 Million ³
Total SHOPP dollars allocated (construction capital)	\$6.1 Billion ³	\$797 Million ³
Number of awarded projects this period	74	0
Total construction capital dollars awarded this period	\$814 Million ²	\$0
Remaining SHOPP funds available for allocation	\$6.7 Billion	\$0

¹ Does not include projects that have completed construction.

² Includes funds from the RMRA (SB 1) State Highway Account, Federal Trust Fund and some of the competitive programs.

³ Includes funds from the RMRA (SB 1), State Highway Account, and Federal Trust Fund.

⁴ Actual expenditures.

Major Activities and Accomplishments

Baseline Agreements Approved

	Approved to Date	Future ¹	Total
SCCP	9	0	9
TCEP	26	0	26
LPP-C	12	0	12
SHOPP	76	83	151
ATP	13	3	16
Total	123	91	214

¹This does not reflect Baseline agreements for Cycle 2 adopted in December 2020.

Construction Contract Awards

	Awarded this Period	To Date
SCCP	6	17
TCEP	2	12
LPP-C	5	22
SHOPP	74	204

Section 1 - Senate Bill 1 Program Progress Report

Overall Program Summary - July 1, 2020 – December 31, 2020

ATP	27	544
Total	114	799

Program Benefits

Infrastructure benefits for each program are highlighted in each program report, along with the status of benefits achieved to date. Some projects are funded by multiple programs; therefore, those project benefits will be shown under multiple programs.

Completion Reports

As of December 31, 2020, a total of 225 completion reports have been received for the ATP program. The SCCP and SHOPP Programs have two completion reports due.

Final Delivery Reports

As of December 31, 2020, 46 final delivery reports have been received for the ATP program. The other programs do not have final delivery reports due.

Summarize changes to the scope, cost, schedule and expected benefits

The Department actively monitors projects with changes to scope, cost, schedule, and/or expected benefits to determine the best solution. A full listing of projects with closer monitoring is included in each program's report as an attachment.

Project Lists are located under each respective program at <https://dot.ca.gov/programs/sb1/progress-reports>.



Solutions for Congested Corridors Program (SCCP)

The SCCP was established by SB 1 to fund projects designed to reduce congestion in highly traveled and highly congested corridors through performance improvements that balance transportation improvements, community impacts, and that provide environmental benefits. The SCCP is a statewide, competitive program for projects that implement specific transportation performance improvements and are part of a comprehensive corridor plan by providing more transportation choices while preserving the character of local communities and creating opportunities for neighborhood enhancement.

The 2018 SCCP Program

The 2018 SCCP is a four-year program with \$1 Billion in funding for 2017-18 to 2020-21. The California Transportation Commission (Commission) adopted the SCCP in May 2018, consisting of 9 projects which now consists of 34 segments, valued at more than \$3.4 billion, and leveraging more than \$2.4 billion in other federal, state and local funds. The selected projects are part of a comprehensive corridor plan that will reduce congestion in highly traveled corridors, including the state highway system, local streets and roads, public transit facilities, bicycle and pedestrian facilities or required mitigation and/or restoration projects.

2018 SCCP at a Glance:	
Total programmed SCCP funds (4-year period)	\$1.0 Billion
Total number of programmed project segments within the 9 approved projects	34
Total cost of all programmed projects	\$3.4 Billion ¹
Number of project segments allocated	18
SCCP dollars allocated	\$893.4 Million
Number of awarded project segments	17
SCCP dollars awarded	\$743.4 Million
Remaining SCCP funds available for programming	\$0

¹ Total cost of all programmed projects includes SCCP funds, as well as other federal, state and local funds.

Program Status

The first cycle of SCCP included four years of project programming for 2017-18 to 2020-21. At the end of the last reporting period, the program consisted of 32 programmed project segments. The following actions took place this reporting period:

- August 2020 meeting – The Commission approved a project amendment to revise the project funding plan for the South Coast 101 HOV Lanes -Segment 4C project in Santa Barbara County and to split-off the follow-up landscaping and the mitigation monitoring contracts. This action added two segments to the program for a total of 34 programmed segments. Furthermore, the Commission also approved a change in the preferred alternative for the Santa Monica Road Via Real Interchange Improvement project and revised the project funding plan to reflect that change. This change does not result in any change in project benefits.

As of December 31, 2020, 18 projects have received allocations, \$893.4 million in SCCP and \$51 million in TCEP funds, leveraging over \$1.8 billion in other state and local construction funding. Twenty-four of the programmed SCCP project segments are multi-funded and are leveraging funds from other programs.

At its December 2020 meeting, the Commission adopted 7 new projects with a total of 21 segments as part of Cycle 2 of SB1 programming. The 2020 SCCP is a two-year program with \$494 million in SCCP funding for 2021-22 to 2022-23. The delivery progress for these newly adopted SB 1 Cycle 2 SCCP projects will be reported as part of the next reporting cycle.

Program Infrastructure Improvements (outputs)

Expected infrastructure improvements (outputs) for the nine programmed SCCP projects are as follows:

Category of Benefits	Approved Into Program ⁽¹⁾		Delivered and Ready for Construction at Allocation		Completed and Open to Traffic	
	Miles	Each	Miles	Each	Miles	Each
High Occupancy Vehicle lanes constructed	141.9	-	127.9	-	-	-
Auxiliary lanes constructed	3	-	0.6	-	-	-
Operational improvements	-	22	-	13	-	-
Modified/Reconstructed bridges	-	16	-	10	-	-
Pedestrian/Bicycle facilities constructed	14.6	-	9.6	-	-	-
Sound walls constructed	7.6	-	6.9	-	-	-
New track	9.5	-	9.5	-	-	-
Purchase rail cars/transit vehicles	-	20	-	-	-	-
Station/Bus Stop Improvements ⁽²⁾	-	58	-	6	-	-
Traffic Light Synchronization ⁽³⁾	35	109	35	109	-	-
Zero Emission buses	-	5	-	5	--	
Intelligent Transportation System (ITS) elements		17		17		

Notes:

- (1) Approved outputs reflect the original outputs adopted into the program and updated by any subsequent program/project amendment(s) approval by the Commission.
- (2) Output description expanded to capture bus stop improvements.
- (3) Reported using dual units to better describe the scope of improvements.

Baseline Agreements

As of December 31, 2020, all nine projects have an approved baseline agreement.

Construction Contract Awards

As of December 31, 2020, seventeen project segments have awarded construction contracts. Eleven contracts were awarded as of the last reporting period. The following six contracts were awarded this reporting period and are expected to be completed as noted.



Section 2 - Solutions for Congested Corridors Program Progress Report: July 1, 2020 – December 31, 2020

1. South Coast 101 HOV Lanes – Carpinteria (Segment 4C) – Fall 2024
2. San Mateo US 101 Managed Lanes – Tolling System Integrator – Fall 2022
3. Central Orange County Corridor – Bravo! Main Street Rapid Bus – Winter 2023
4. Central Orange County Corridor – Traffic Light Synchronization (Warner Avenue) – Winter 2024
5. Central Orange County Corridor – Traffic Light Synchronization (MacArthur Boulevard) – Winter 2024
6. Central Orange County Corridor – Traffic Light Synchronization (Edinger Avenue) – Winter 2024

Completion Reports

As of December 31, 2020, one completion report was required.

Final Delivery Reports

As of December 31, 2020, no final delivery reports were required.

Summarize changes to the scope, cost, schedule and expected benefits

In the last Semi-Annual Report, Attachment 2, the Corrective Action Plan (CAP) listed 14 project segments with potential risk to the scope, cost or schedule. One project has been removed since it has now completed construction. One new project has been added. The status of the remaining projects on the list has been updated.

Attachments:

1. SCCP Project List and Corrective Action Plan is located on the SB 1 Portal at <https://dot.ca.gov/programs/sb1/progress-reports>

Trade Corridor Enhancement Program (TCEP)



The TCEP was established by SB 1 to provide funding for infrastructure improvements on federally designated Trade Corridors of National and Regional Significance, on the Primary Freight Network as identified in the California Freight Mobility Plan, and along other corridors that have a high volume of freight movement. The TCEP will also support the goals of the National Highway Freight Program, the California Freight Mobility Plan, and the guiding principles in the California Sustainable Freight Action Plan. TCEP is a statewide, competitive program that will provide approximately \$300 million per year in state funding and on average \$154 million annually in National Highway Freight Program funds.

The 2018 TCEP Program

The 2018 TCEP is a three-year program which includes funds from the National Highway Freight Program, the Trade Corridor Enhancement Account, and a one-time appropriation from the Budget Act of 2015. In May 2018, the California Transportation Commission (Commission) approved \$1.4 billion for the programming of 28 projects with 41 segments. Collectively, these projects are valued at more than \$4.5 billion, leveraging other federal, state and local funds. Subsequently, two projects with three segments were removed from the program, reducing the total to 26 projects with 38 segments and reducing the amount of programmed funds. The selected projects include improvements to goods movement on corridors with high volumes of freight, improvements to safety by eliminating at-grade crossings, reduce impacts to surrounding communities, reduce border wait times, and increase rail capacity with double tracking.

TCEP at a Glance:	
Total programmed TCEP funds (3-year period)	\$1.426 Billion ¹
Total cost of all programmed projects	\$4.538 Billion ²
Number of programmed project segments within the 26 approved projects	38
Number of project segments allocated	28
TCEP dollars allocated	\$1.027 Billion
Number of awarded construction project segments	12
TCEP construction dollars awarded	\$532.4 Million
TCEP funds programmed over the established target	\$61.27 Million

¹This represents total amount of funds programmed for TCEP projects. The Commission funded this program with SB 1 funds and the National Highway Freight Program and a one-time appropriation from the Budget Act of 2015.

² This amount represents the total cost of all programmed projects, SB1 funds and other federal, state and local funds.

Section 2 - Trade Corridor Enhancement Program

Semi-Annual Progress Report: July 1, 2020 – December 31, 2020

³ At the time of program adoption, the approved funding for TCEP programming exceeded the identified targets by \$44 million. This amount has increased as a result of four supplemental awards, removing two projects from the program, and four projects that came in under allocation.

Program Status

The first funding cycle of TCEP included three years of project programming for 2017-18 to 2019-20 and included 41 projects/ segments. In the third and fourth quarters, two projects/ segments were removed, leaving the program with 38 programmed projects/segments. The 38 programmed projects/segments include 46 project phases. Of the 38 programmed project/segments, 30 project phases received \$1.03 billion in allocated funds. Five projects/ segments in TCEP are multi-funded, leveraging funds from other SB 1 programs. The Commission adopted Cycle 2 in December 2020, again approving a three-year program.

Program Infrastructure Benefits

Expected infrastructure benefits (outputs) for the 26 programmed TCEP projects are as follows:

Category of Benefits	Planned as Adopted Into Program		Awarded and Ready for Construction		Completed and Open to Traffic	
	Miles	Each	Miles	Each	Miles	Each
Grade Separation/Rail Crossing Improvements	-	9	-	1	-	-
Miles of new track	10.6	-	2.7	-	-	-
Intersections modified		21		13	-	-
Lane-miles rehabilitated	1.67	-	1.27	-	-	-
Operational improvements	-	38	0	26	-	-
New bridge structure	-	9	-	3	-	-
Modified/ reconstructed bridges	-	36	-	16		
Truck climbing lanes constructed	7	-	-	-	-	-
Auxiliary lane miles constructed	8.45	-	3.2	-	-	-
High Occupancy Vehicle/ High Occupancy Toll lane miles constructed	89.4	-	47.2	-	-	-
Intelligent Transportation Systems	-	166	-	-	-	-
Mixed flow lane miles constructed	50.95	-	42.05	-	-	-

Baseline Agreements

As of December 31, 2020, all 26 projects have an approved baseline agreement.

Construction Contract Awards

As of December 31, 2020, sixteen construction contracts were awarded.

- 3 contracts were awarded since the last reporting period and are expected to be completed as follows:
 - Southern Terminus Gap Closure – December 2023
 - Fyffe Avenue Grade Separation – November 2023
 - Route 98 Improvements – December 20223
- 13 previously awarded contracts are expected to be completed as follows:
 - Route 132 Expressway, Phase 1 – September 2022
 - Freight Intelligent Transportation System – August 2022
 - Pier G and J Double Track – November 2022
 - Route 57/ Lambert Rd. Interchange Improvement – May 2022
 - Route 395 Widening from State Route 18 to Chamberlain Way – March 2022
 - Route 58/99, Bakersfield Freeway Connector – February 2022
 - Route 10, Express Lanes-San Antonio Ave. to Route 15 (Contract 1) – September 2024
 - Route 5, Redding to Anderson Six Lane – Phase 1 and 2 – November 2021
 - Otoy Mesa Truck Route, Phase 4A – February 2023
 - Route 99 Livingston Widening – December 2022
 - Rt 80/680/12 Interchange, Package 2A – August 2023
 - South Coast 101 HOV- Carpentaria Segment 4A – April 2023
 - Rt 125/905 Connector – August 2023

Completion Reports

As of December 31, 2020, no completion reports were required.

Final Delivery Reports

As of December 31, 2020, no final delivery reports were required.

Summarize changes to the scope, cost, schedule and expected benefits

The 29 project segments listed in Attachment 2, are identified as reporting scope, cost or schedule issues. The following projects are being highlighted due to substantial issues that may impact the delivery of the currently approved cost and schedule.

- The Route 605 / 91 Interchange Improvement: Gateway Cities Freight Crossroads Project has experienced significant delays to the completion of PS&E and RW. A project amendment is expected at the May 2021 CTC meeting.

Section 2 - Trade Corridor Enhancement Program

Semi-Annual Progress Report: July 1, 2020 – December 31, 2020

- The Route 57/60 Confluence: Chokepoint Relief Project is experiencing additional delays completing PS&E and RW. An expenditure extension is expected at the May 2021 CTC meeting.
- The Quiet Zone Safety Engineering Measure project required scope changes and a reduction in project benefits due to negotiations with the Union Pacific Railroad. A project amendment is expected at the March 2021 CTC meeting.

Attachments:

1. TCEP projects and the Corrective Action Plan are located on the SB 1 Portal at <https://dot.ca.gov/programs/sb1/progress-reports>

Section 2 - Local Partnership Program
Progress Report: July 1, 2020 – December 31, 2020

Local Partnership Program (LPP)



The LPP was established to provide local and regional transportation agencies that have passed voter approved tax measures, tolls or fees, or imposed transportation fees with a continuous appropriation of \$200M annually from the Road Maintenance and Rehabilitation Account established by SB 1. The LPP provides funding for local and regional agencies to improve aging infrastructure, road conditions, active transportation, and health and safety. The initial programming cycle for fiscal years 2017-18 to 2019-20, distributed 50 percent of the funds through the formulaic process (LPP-F) and 50 percent through a competitive process (LPP-C). Programming for fiscal years 2020-21 through 2022-23 will distribute 60 percent via formulaic and 40 percent via competitive.

The LPP Formulaic Program (LPP-F)

Cycles 1 and 2 of the LPP-F Program distributed \$300M to projects programmed in fiscal years 2017-18 through 2019-20. Cycle 3 of the LPP-F Program distributed \$324M to projects programmed in fiscal years 2020-21, 2021-22 and 2022-23. Taxing Authorities that are deemed eligible to receive formulaic funding are listed in the 2020 Local Partnership Formulaic Program Funding Distribution.

LPP-F Program Status

There are currently 138 projects programmed using \$477.1M of LPP-F funds. As of December 31, 2020, 108 projects have received allocations of LPP-F funds totaling \$323.2M and 63 projects have been awarded construction contracts, using \$209.7M LPP-F construction funds. There have been 14 Completion Reports submitted that are in the approval process.

LPP Formulaic at a Glance:	
Total programmed LPP-F funds	\$477.1 Million
Number of programmed projects	138
Total cost of all programmed projects	\$8.8 Billion
Number of projects allocated	108
Total LPP-F dollars allocated	\$323.2 Million
Number of awarded projects	63
Total LPP-F dollars awarded	\$209.7 Million
Remaining LPP-F funds available for programming	\$171.9 Million

Section 2 - Local Partnership Program
Progress Report: July 1, 2020 – December 31, 2020

The LPP Competitive Program (LPP-C)

LPP-C Cycle 1 is a three-year program, with nearly \$309 M in funding for 2017-18, 2018-19 and 2019-20. The selected projects provide multimodal improvements in localities across the state, including new transit stations, tracks for passenger rail, high occupancy vehicle and express lanes, active transportation improvements, traffic light synchronization, bus purchases, and local road improvements and rehabilitation. Projects not selected for funding in the current cycle will have the opportunity to apply for funding in subsequent cycles. Cycle 2 was adopted in December 2020 and includes 21 projects with 26 segments to be funded in fiscal years 2020-21, 2021-22 and 2022-23.

LPP-C Program Status

Cycle 1 of LPP-C was adopted in May 2018 by The California Transportation Commission (Commission). There were 27 projects with 34 segments programmed, valued at more than \$1.7 B, and leveraging more than \$1.3 B in other funding. Six projects in LPP-C Cycle 1 are also funded with other SB 1 funding sources such as the Active Transportation Program (ATP), Local Partnership Program Formulaic (LPP-F), Solutions for Congested Corridors (SCCP) and the State Highway Operation and Protection Program (SHOPP). Twenty-Five projects have received allocations of LPP-C funds totaling \$180M with a total project cost of \$1.27B leveraged with other state and local funds. Two projects have completed construction and have submitted Completion Reports.

LPP Competitive at a Glance (Cycle 1):	
Total programmed LPP-C funds (3-year period)	\$309 Million
Number of programmed project segments within the 27 approved projects	34
Total cost of all programmed projects	\$1.7 Billion ¹
Number of project segments allocated	25
Total LPP-C dollars allocated	\$180 Million
Number of awarded project segments	22
Total LPP-C dollars awarded	\$160.7 Million

¹Total project cost includes funding from various sources, including LPP-C, LPP-F, ATP, SCCP, SHOPP, and local funds.



Section 2 - Local Partnership Program
Progress Report: July 1, 2020 – December 31, 2020

Program Infrastructure Benefits

Expected benefits (Outputs) for the LPP-C projects are as follows:

Outputs	Approved into Program ¹		Delivered and Ready for Construction		Completed and Open to Traffic	
	Miles	Each	Miles	Each	Miles	Each
New Roadway Lane	14.1	-	6.6	-	-	-
Intersections Modified	-	40	-	24	-	-
Bicycle Lane Miles	17	-	7	-	0.1	-
Local Road Operational Improvements (miles)	53.3	-	51.2	-	-	-
Local Road Lane Miles Rehab	11.4	-	6	-	-	-
Sidewalk	4.4	-	1.9	-	0.1	-
Pedestrian Bicycle Facilities	19.8	-	12.7	-	4	-
Signs, Lights, Greenway & Other Safety Beautification	-	50	-	50	-	-
Mixed Flow Lane	9.4	-	7.8	-	-	-
New Bridge	-	4	-	2	-	-
Operational Improvements (each)	-	47	-	10	-	-
Intersections Constructed New	-	3	-	2	-	-
Turn Pockets Constructed	1	-	1	-	-	-
Transit Vehicles	-	40	-	40	-	-
Grade Separation / Rail Crossing Improvements	-	2	-	-	-	-
Station Improvements	-	2	-	2	-	-
New Track	10	-	10	-	-	-
Modified Reconstructed Bridges	-	5	-	5	-	-
New Stations	-	4	-	4	-	-
Modified Improved Interchanges	-	7	-	6	-	-
HOV / HOT Lane Miles Constructed	30.4	-	30.4	-	-	-
Auxiliary Lane Miles Constructed	3	-	3	-	-	-
Sound Wall Constructed	1	-	-	-	-	-

¹ Approved outputs reflect the original outputs adopted into the program and updated with any amendments approved by the Commission

Baseline Agreements

There are 12 LPP-C projects that require baseline agreements. As of June 30, 2020, all 12 baseline agreements have been approved. There are 15 LPP-C projects that do not require baseline agreements due to the dollar threshold. Baseline agreements are required for projects with total project cost of \$25M or greater or a total programmed amount of \$10M or greater.



Section 2 - Local Partnership Program

Progress Report: July 1, 2020 – December 31, 2020

Construction Contract Awards

As of December 31, 2020, 22 out of the 25 allocated projects have awarded construction contracts. Seventeen projects had construction awards as of the last reporting period. The additional five contracts awarded this period are expected to be completed as follows:

1. City of Elk Grove's Capital SouthEast Connector Expressway Segment B2 project – September 2022
2. City of Folsom's Capital SouthEast Connector Expressway Segment D3 project – March 2022
3. Madera County Transportation Authority's Oakhurst Midtown Connector project – December 2021
4. City of Santa Clarita's Vista Canyon Metrolink Station project – June 2023
5. Town of Apple Valley's Rte 18 West End Widening Ph1 project – November 2021

Completion Reports

As of December 31, 2020, two completion reports were submitted.

1. City of Claremont's Foothill Boulevard Master Plan Green Streets project. Completed July 2020.
2. Santa Cruz County Regional Transportation Commission's Scotts Valley Glenwood Drive Safe Routes to School project. Completed July 2020.

Final Delivery Reports

As of December 31, 2020, no final delivery reports were required.

Summarize changes to the scope, cost, schedule and expected benefits

As of December 31, 2020, there are 18 projects with a Corrective Action Plan as listed on Attachment 2, but only one is considered high risk. The Department is monitoring this project closely.

- Metro Orange Line Bus Rapid Transit Improvements Project
The agency anticipates requesting a time extension amendment and a project scope amendment at the June meeting.

Section 2 - Local Partnership Program
Progress Report: July 1, 2020 – December 31, 2020

Attachment:

1. LPP-C Project List and Corrective Action Plan for LPP-C are located on the SB 1 Portal at <https://dot.ca.gov/programs/sb1/progress-reports>

**Section 2 - State Highway Operation and Protection Program
Progress Report: July 1, 2020 – December 31, 2020**

State Highway Operation and Protection Program (SHOPP)



The SHOPP is a four-year portfolio of projects adopted by the California Transportation Commission (Commission). Projects included in the SHOPP are limited to improvements relative to the maintenance, safety, operation, and rehabilitation of state highways and bridges that do not add a new traffic lane to the system.

The SHOPP is funded with a mixture of federal and state funds, including funds from the Road Maintenance and Rehabilitation Account (RMRA) created by Senate Bill 1 (SB 1). In general, only projects that improve the condition of pavement, bridges, culverts and Transportation Management System (TMS) elements will receive RMRA funding.

SB 1 requires that the Department measure progress toward achieving the following performance targets by 2027:

- Not less than 98% of state highway system pavement in good or fair condition
- Not less than 90% in the level of service achieved for maintenance of potholes, spalls, and cracks.
- Not less than 90% of culverts in good or fair condition
- Not less than 90% of TMS elements in good condition
- Fix not less than an additional 500 bridges

SHOPP Projects with RMRA Funding¹:	Construction not Complete	Construction Complete
Total cost of all programmed projects (all funds)	\$19.4 Billion ²	\$967 Million ⁴
Number of projects programmed	689	87
Total programmed SHOPP funds	\$15.7 Billion ³	\$936 Million ⁴
Number of projects with SHOPP construction allocations	258	87
Total SHOPP dollars allocated (all phases)	\$9.0 Billion ³	\$1,045 Million ³
Total SHOPP dollars allocated (construction capital)	\$6.1 Billion ³	\$797 Million ³
Number of awarded projects this period	74	0
Total construction capital dollars awarded this period	\$814 Million ²	\$0
Remaining SHOPP funds available for allocation	\$6.7 Billion	\$0

¹ Does not include projects that have completed construction.

² Includes funds from the RMRA (SB 1) State Highway Account, Federal Trust Fund and some of the competitive programs.

³ Includes funds from the RMRA (SB 1), State Highway Account, and Federal Trust Fund.

⁴ Actual expenditures.

**Section 2 - State Highway Operation and Protection Program
Progress Report: July 1, 2020 – December 31, 2020**

Overview

The Commission does not program SHOPP SB 1 funds. Instead, SHOPP SB 1 funding is determined at the time of allocation of each project phase. This progress report focuses on SHOPP projects that have received or are likely to receive RMRA funds.

Program Status

As of December 31, 2020, 776 SHOPP projects have received RMRA funding, of which 33 completed construction in this reporting period and 54 completed construction during prior reporting periods.

A total of 689 SHOPP projects with RMRA funding have been programmed and have not completed construction. For these projects, a total of \$19.4 billion has been programmed from various fund sources, including funds from the SB 1 competitive programs. A total of 689 projects have received allocations totaling \$9.0 billion for various phases of the projects, including construction capital allocations totaling \$6.1 billion for 258 projects. There is a total of \$6.7 billion of SHOPP funding remaining to be allocated to other phases of these projects.

A total of 74 construction contracts worth \$814 million were awarded during this reporting period.

Program Infrastructure Benefits

Expected benefits (outputs) for the SB 1 funded SHOPP projects are as follows:

Category of Benefits	Not Delivered (as of 12/31/20)	Delivered and Ready for Construction (7/1/20 to 12/31/20)	Delivered Before 7/1/20 and Construction Not Complete	Construction Complete (7/1/20 to 12/31/20)	Unit of Measure
Pavement	5,745	9.0	3,050.7	305.2	Lane-miles
Bridges	258	25	117	43	Bridges
Culverts	2,017	-	508	170	Culverts
Fiber Optic Cable	14	10	31.8	-	Miles
TMS Elements	2,585	267	4,568	69	Elements
Bridge Rail	36,917	1,493	19,868	1,765	Linear Feet
Number of Projects	427	18	244	33*	Projects

* Progress reports are not required for projects that have completed construction.



**Section 2 - State Highway Operation and Protection Program
Progress Report: July 1, 2020 – December 31, 2020**



**Section 2 - State Highway Operation and Protection Program
Progress Report: July 1, 2020 – December 31, 2020**

The following benefits (outputs) were achieved by 54 projects that completed construction and were opened to traffic prior to the current reporting period:

Category of Benefits	Completed and Open to Traffic (Prior to 7/1/20)	
	Quantity	Unit of Measure
Pavement	493.9	Lane-miles
Bridges	36	Bridges
Culverts	186	Culverts
Fiber Optic Cable	8.6	Miles
TMS Elements	26	Elements
Bridge Rail	1,135	Linear Feet
Number of Projects	54	Projects

Baseline Agreements

Only projects with total SHOPP cost of \$40 million or greater require a baseline agreement as specified in the SHOPP Guidelines adopted at the June 2019 Commission meeting. As of December 31, 2020, a total of 76 baseline agreements have been approved and an estimated 75 will be approved at future Commission meetings.

Baseline Agreements Completed in Prior Reporting Periods	68
Baseline Agreements Completed in This Reporting Period	8
Total	76

Construction Contract Awards

A total of 74 construction contracts worth \$814 million were awarded this reporting period.

Completion Reports

Completion Reports are required within six months of construction contract acceptance, but only for projects with approved baseline agreements.

Completion Reports Completed in Prior Reporting Periods	-
Completion Reports Completed in This Reporting Period	1
Total	1



Final Delivery Reports

Final Delivery Reports are required within six months of final expenditures, but only for projects with approved baseline agreements. No final delivery reports were required this period.

Summarize changes to the scope, cost, schedule and expected benefits

Attachment 2 contains Corrective Action Plans for SB 1 funded SHOPP projects. The attachment lists 20 projects with identified risks to scope, cost, schedule or benefits. None are considered very high risk or high risk and the Department is monitoring all project risks closely.

Attachment 4 contains Corrective Action Plans for non-SB 1 funded SHOPP projects with approved baseline agreements. The attachment lists five projects with identified risks to scope, cost, schedule or benefits. One project is considered very high risk or high risk and the Department is monitoring all project risks closely.

- Ferguson Slide Rock Shed Construction. Near El Portal and Yosemite National Park, at 0.5 miles west of South Fork Merced River (PPNO 0280). The Rock Shed has not been programmed into the SHOPP for construction funds and cannot be delivered if funding is not available. There is also a risk that a PS&E supplemental allocation will be necessary.

Active Transportation Program (ATP)



The ATP was established in 2013 to encourage increased use of active modes of transportation, such as biking and walking. SB 1 provides the ATP an additional \$100 million annually, of which \$4 million is directed to the California Conservation Corps (CCC) over a five-year period, ending in 2021/22, for active transportation projects to be developed and implemented by the CCC and certified Local Community Conservation Corps.

ATP at a Glance:	
Total ATP dollars programmed	\$1.6 Billion
Number of programmed ATP projects	816
Total cost of all programmed projects	\$3.1 Billion
Number of project phases allocated	1,423
Total dollars allocated	\$948 Million
Number of project contracts awarded	544
Total dollars awarded	\$580 Million
Funds available for programming	\$441 Million

Program Status

The 2021 Cycle 5 call for projects closed in September 2020 with \$445.5 million available for programming. Cycle 5 will direct \$4 million to the CCC and is scheduled for 2021/22 programming in June 2021. Cycle 5 also introduced a Quick-Build Pilot Program to assess the feasibility of including quick-build projects in future program cycles. In October 2020, the Commission programmed \$4.4 million on a variety of quick-build improvements that further the goals of the ATP such as safety enhancements, intersection redesigns, and more.

As of December 31, 2020, 1,423 project phases have received allocations totaling \$948 million. As of the last reporting period, 1,338 project phases had been allocated totaling \$886 million. This reporting period, an additional 85 project phases received allocations totaling \$62 million.

Section 2 - Active Transportation Program
Progress Report: July 1, 2020 – December 31, 2020

As of December 31, 2020, \$25 million in ATP funding was identified as program savings, of which \$11 million is scheduled for deallocation and/or rescinding in January 2021. Once deallocated and/or rescinded, the \$25 million is eligible for reprogramming.

Active Transportation Resource Center

The Active Transportation Resource Center's (ATRC) mission is to provide resources, technical assistance, and training to transportation partners across California to increase opportunity for the success of active transportation projects. The ATRC is funded by the ATP and managed by Caltrans Division of Local Assistance. The ATRC utilizes a combination of subject matter experts from state agencies, universities, and consultants to provide active transportation training, tools, and technical assistance that support the ATP. The Commission anticipates programming a total of \$4 million in ATRC Cycle 5 funding in March 2021.

ATRC Funding Summary (1,000s)				
Cycle	Programmed	Under Contract	Allocated & Remaining	Unallocated
1	\$1,875	\$1,875	\$0	\$0
2	\$3,570	\$3,570	\$0	\$0
3	\$5,058	\$2,064	\$465	\$2,529
4	\$4,630	\$0	\$0	\$4,630

Program Benefits Status

Benefits are categorized into infrastructure outputs and non-infrastructure outcomes. Infrastructure outputs for projects that include capital improvements are summarized in the table below.

INFRASTRUCTURE OUTPUTS						
Benefits Category - Outputs	Planned as Adopted into Program		Delivered and Ready for Construction		Complete and Open	
	Miles	Each	Miles	Each	Miles	Each
Bike Paths - Class 1	273	-	117	-	69	-
Bike Lanes - Class 2	572	-	333	-	203	-
Bike Routes - Class 3	210	-	91	-	77	-
Bike Lanes - Class 4	51.5	-	2	-	-	-
Sidewalks - New	294	-	144	-	83	-
Sidewalks - Enhancements	81.6	-	27.5	-	11.4	-
Multi-Use Trails - New	93.5	-	7.6	-	2.4	-
Multi-Use Trails - Enhancements	14.6	-	0.2	-	0.2	-
Crosswalks - New	-	10,346	-	9674	-	9165



Section 2 - Active Transportation Program
Progress Report: July 1, 2020 – December 31, 2020

Crosswalks - Enhancements	-	5867	-	1372	-	549
Roundabouts - New	-	310	-	172	-	9
CCC Projects ¹	-	73	-	-	-	-
Quick-Build Projects	-	8	-	-	-	-

¹ includes number of projects from approved CCC cycles 3 and 4 project lists

Non-infrastructure outcomes include programs to deliver education, encouragement, and evaluation activities that further the goals of the ATP. The non-infrastructure outcomes also include pre-construction only funded projects and developing plans for community wide bicycle, pedestrian, safe routes to school and active transportation. The outcomes for projects that include non-infrastructure components are summarized in the table below.

NON-INFRASTRUCTURE OUTCOMES		
Category	Approved (each)	Completed (each)
Programs	162	68
Pre-CON Projects	39	3
Plans	84	30

Baseline Agreements Status

Sixteen of the 816 programmed projects require a baseline agreement due to the dollar threshold. Baseline agreements are required for projects with a total project cost of \$25 million or greater or a total ATP amount of \$10 million or greater adopted in the 2017 ATP Augmentation and subsequent cycles. As of December 31, 2020, 13 baseline agreements have been approved. The remaining three are anticipated to be approved at a future Commission meeting.

Construction and Consultant Contract Awards

As of December 31, 2020, 544 construction and consultant contracts have been awarded. As of the last reporting period, 517 construction and consultant contracts were awarded and an additional 27 were reported as awarded this reporting period.

Completion Reports

As of December 31, 2020, 269 completion reports were received. As of the last reporting period, 225 completion reports were received and an additional 44 were received this reporting period. A list of the completion reports is included as Attachment 4.



Final Delivery Reports

As of December 31, 2020, 46 final delivery reports were received. As of the last reporting period, 42 final delivery reports were received and an additional 4 were received this reporting period.

Potential risks to the scope, cost, schedule and expected benefits

As of December 31, 2020, there are two projects with potential risk to the scope and/or benefits in Attachment 2. Attachment 2 also includes updates to two projects identified in the last reporting period.

Scope Change Requests

As of December 31, 2020, there are 89 submitted scope changes. The table below summarizes the types of scope changes submitted and their status.

Type	Approved	Denied	Pending
Minor	78	1	0
Major	6	2	0
TBD	-	-	2
Total	84	3	2

Time Extension Trends

As of December 31, 2020, there are three active and one closed cycle. The table below summarizes time extension trends to offer a comparison of programmed phases against extended phases.

Cycle	1	2	3	4	5
Status	Closed	Active	Active	Active	Programming
Phases Programmed	505	525	506	274	14
Phases Extended	164	146	119	6	0
Extensions (%)	32%	28%	24%	0.02%	0%

Attachments:

1. ATP SB1 Funded CalSMART 2020/21 Q2 Progress Report Submittals
2. ATP Non-SB1 Funded CalSMART Q2 Progress Report List
3. ATP List of Projects with no 2020/21 Q2 CalSMART Report Submittal
4. ATP Corrective Action Plans
5. ATP Completed Project List

All attachments can be found at: <https://dot.ca.gov/programs/sb1/progress-reports>

6. ATP Success Story – [Santa Cruz County SRTS Education & Encouragement](#)