

An aerial photograph showing a multi-lane highway running parallel to a sandy beach and the ocean. In the background, there are rugged, brownish mountains under a clear blue sky. The highway has a white car driving on it. The beach is wide and sandy, with waves breaking on the shore to the left.

2020

STATE TRANSPORTATION IMPROVEMENT PROGRAM FUND ESTIMATE

Adopted by California Transportation Commission
August 14, 2019



PREPARED BY CALIFORNIA DEPARTMENT OF TRANSPORTATION
CALIFORNIA STATE TRANSPORTATION AGENCY



2020 STATE TRANSPORTATION IMPROVEMENT PROGRAM FUND ESTIMATE

Gavin Newsom
Governor
STATE OF CALIFORNIA

David S. Kim
Secretary
California State Transportation Agency

Bob Franzoia
Acting Director
California Department of Transportation



The 2020 State Transportation Improvement Program Fund Estimate Book was prepared by the California Department of Transportation, Division of Budgets, Revenue Forecasting and Financial Analysis Branch, and is available online at <https://dot.ca.gov/programs/budgets>

This page left blank for reprographic purposes.

TABLE OF CONTENTS

EXECUTIVE SUMMARY	1
<i>Challenges</i>	<i>3</i>
INTRODUCTION.....	5
<i>The 2020 STIP Fund Estimate.....</i>	<i>5</i>
<i>Methodology.....</i>	<i>6</i>
<i>Changes to Legislation.....</i>	<i>8</i>
STATE TRANSPORTATION IMPROVEMENT PROGRAM FUND ESTIMATE.....	10
COUNTY AND INTERREGIONAL SHARE ESTIMATES	14
APPENDICES	25
<i>Appendix A – State Highway Account & Federal Trust Fund</i>	<i>27</i>
<i>Appendix B – Road Maintenance & Rehabilitation Account</i>	<i>35</i>
<i>Appendix C – Public Transportation Account.....</i>	<i>37</i>
<i>Appendix D – Proposition 1A & 1B Bonds</i>	<i>41</i>
<i>Appendix E – 2020 STIP Fund Estimate Assumptions by Fund.....</i>	<i>55</i>
<i>Appendix F – Statutes Regarding the STIP Fund Estimate.....</i>	<i>63</i>
<i>Appendix G – Resolution to Adopt the 2020 STIP Fund Estimate.....</i>	<i>69</i>
<i>Appendix H – Resolution to Adjust the SHOPP Minor Program.....</i>	<i>71</i>

This page left blank for reprographic purposes.

ACRONYMS AND ABBREVIATIONS

AB	Assembly Bill
ABX	Assembly Bill of an Extraordinary Session
AC	Advanced Construction
APDE	Advance Project Development Element
ATP	Active Transportation Program
CMIA	Corridor Mobility Improvement Account
Commission/CTC	California Transportation Commission
Controller	State Controller's Office
COS	Capital Outlay Support
Department/Caltrans	California Department of Transportation
DOF	Department of Finance
EPA	Environmental Protection Agency
FAST Act	Fixing America's Surface Transportation
FE	Fund Estimate
FTF	Federal Trust Fund
GARVEE	Grant Anticipation Revenue Vehicle(s)
GC	Government Code
GF	General Fund
GO	General Obligation
HRCSA	Highway-Railroad Crossing Safety Account
HSRPA	Highway, Safety, Rehabilitation and Preservation Account
LA	Local Assistance
LBSRA	Local Bridge Seismic Retrofit Account
MAP-21	Moving Ahead for Progress in the 21st Century Act
OA	Obligation Authority
PTA	Public Transportation Account
PTMISEA	Public Transportation Modernization, Improvement & Service Enhancement Account
PUC	Public Utilities Code
RMRA	Road Maintenance and Rehabilitation Account
R/W	Right-of-Way
S&HC	Streets & Highways Code
SAFE	Safer Affordable Fuel Efficient
SAFETEA-LU	Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users
SB	Senate Bill
SHA	State Highway Account



ACRONYMS AND ABBREVIATIONS (CONTINUED)

SHOPP	State Highway Operation and Protection Program
SHS	State Highway System
SLPP	State-Local Partnership Program
SR 99	State Route 99 Account
SRA	State Rail Assistance
STA	State Transit Assistance
STIP	State Transportation Improvement Program
STO	State Treasurer's Office
TCEA	Trade Corridors Enhancement Account
TCIF	Trade Corridors Improvement Fund
TFA	Transportation Facilities Account
TIF	Transportation Investment Fund
TIRCP	Transit & Intercity Rail Capital Program

EXECUTIVE SUMMARY

On August 14, 2019, the California Transportation Commission (Commission) adopted the 2020 State Transportation Improvement Program (STIP) Fund Estimate (FE). The STIP FE is a biennial estimate of all resources available for the state’s transportation infrastructure over the next five-year period and establishes the program funding levels for the STIP and the State Highway Operation and Protection Program (SHOPP). The 2020 STIP FE period covers state fiscal years 2020-21 through 2024-25, with 2019-20 included as the base year.

The 2020 STIP FE includes applicable resources provided by the Road Repair and Accountability Act of 2017, also known as Senate Bill (SB) 1. This includes resource contributions created from supplemental excise taxes and fees, excise tax rate stabilization, indexing of excise taxes to inflation, and the creation of new programs and accounts as required by statute.

STIP Capacity

STIP projects add new development to the state’s transportation infrastructure. The 2020 STIP FE includes a total estimate of \$2.6 billion in program capacity over the five-year FE period. Program capacity represents the total value of projects that can be funded each year, including construction, right-of-way (R/W), and support. Support consists of preliminary engineering, planning, design, and construction engineering. The 2020 STIP FE includes \$407 million in new STIP capacity available over the five-year FE period.

2020 STIP FE STIP Program Capacity (\$ in millions)								
	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25	5-Year Total	6-Year Total
2020 STIP FE Target Capacity	\$655	\$710	\$705	\$670	\$245	\$245	\$2,574	\$3,229
2018 STIP Program	494	793	679	695	0	0	2,166	2,660
New STIP Program Capacity	\$161	(\$83)	\$26	(\$25)	\$245	\$245	\$407	\$569
Cumulative Difference	\$161	\$78	\$104	\$79	\$324	\$569		
Estimated Capital Allocation Capacity	\$520	\$550	\$570	\$550	\$200	\$200		

Note: Individual numbers may not add to total due to independent rounding.

- SB 1 sets the incremental excise tax at 17.3 cents per gallon as of 2019-20. This rate will be adjusted annually for inflation beginning in 2020-21. Future STIP capacity will continue to depend on consumption of gasoline and diesel fuels. Consumption of gasoline and diesel is difficult to forecast due to volatility of energy pricing that can cause a shift in demand. Increases in the pricing of gasoline and diesel can also cause greater demand for alternative energy sources, decreasing consumption of gasoline and diesel.



SHOPP Capacity

SHOPP projects are funded with federal and state resources and consist of major rehabilitation work on the State Highway System (SHS). The 2020 STIP FE provides SHOPP capacity of \$20.8 billion over the five-year FE period. Similar to the STIP, SHOPP capacity represents the total value of projects that can be funded each year, and includes construction, R/W, and support. Of the \$20.8 billion in total estimated program capacity, the 2020 FE includes approximately \$11.6 billion in new SHOPP capacity available over the five-year FE period.

2020 STIP FE SHOPP Program Capacity (\$ in millions)								
	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25	5-Year Total	6-Year Total
2020 STIP FE SHOPP Target Capacity	\$4,300	\$4,400	\$4,300	\$4,100	\$4,000	\$4,000	\$20,800	\$25,100
2018 SHOPP Program	4,440	4,540	4,640	0	0	0	9,180	13,620
New SHOPP Program Capacity	(\$140)	(\$140)	(\$340)	\$4,100	\$4,000	\$4,000	\$11,620	\$11,480
Cumulative Difference	(\$140)	(\$280)	(\$620)	\$3,480	\$7,480	\$11,480		
Estimated Capital Allocation Capacity	\$3,150	\$3,425	\$3,375	\$3,200	\$2,900	\$2,900		

Note: Individual numbers may not add to total due to independent rounding.

- SHOPP capacity over the 2020 five-year FE period has decreased from the 2018 five-year FE period, from \$22 billion in the 2018 FE to \$20.8 billion. This represents a decrease of about 5 percent and is primarily attributed to frontloading in the 2018 FE cycle in order to expedite the deployment of resources. Secondly, acceleration of project planning in the 2018 FE cycle has caused an increase in commitments in the 2020 FE cycle. Some projects that are larger in scale may take longer to fully deliver; however, capacity levels set in the 2018 FE were established to encourage the expeditious planning and delivery of as many projects as possible.
- SB 1 has provided additional resources to the SHOPP program from a number of sources including: Diesel excise taxes, gasoline excise taxes, transportation improvement fees, and zero-emission vehicle fees. SB 1 has added \$1.6 billion in annual capacity to the SHOPP through additional tax revenues and has addressed the degradation of funding availability by indexing fuel taxes and fees to inflation in future years. Many of the new resources created by SB 1 flow through the Road Maintenance and Rehabilitation Account (RMRA). Resources flowing from the RMRA are primarily directed to the SHOPP, bridges and culverts, local agencies, self-help counties, Active Transportation Program (ATP), and other programs.

Challenges

Various risks exist that may impact the forecasted program capacity for the SHOPP and the STIP, including:

- **Federal Highway Act Expiration:** On December 4, 2015, the Fixing America's Surface Transportation (FAST) Act was signed into law. The FAST Act is projected to provide California with authorization of approximately \$19.4 billion for the federal-aid highway program from federal fiscal years 2016 to 2020. The 2020 FE covers 2020-21 through 2024-25, which is primarily outside of the Act's funding horizon. Historically, Congress has issued continuing resolutions to keep transportation funding consistent with the most recent act. The most recent Act prior to the FAST Act, known as Moving Ahead for Progress in the 21st Century Act or MAP-21, was extended 10 times for a total of 33 months and the Act before that, Safe, Accountable, Flexible, Efficient, Transportation Equity or SAFETEA-LU, was extended 12 times for a total of 23 months. However, without a new act or continuing resolution, there is no assurance of federal funding levels, which could pose a risk to resources identified in the 2020 STIP FE.
- **Corporate Average Fuel Economy (CAFE) Standards:** In 2012, the National Highway Traffic Safety Administration and the Environmental Protection Agency (EPA) issued a joint final rule, establishing new standards to regulate model year 2017 through 2021 passenger cars and light trucks. The intent of the new standard is to continue to improve vehicle fuel economy and reduce greenhouse gas emissions. Under the standards, each light vehicle model produced for sale in the United States will have a fuel economy target (increasing over time through model year 2025). Consequently, vehicles will be able to drive greater distances while consuming less fuel over time. Because the majority of transportation resources are generated from excise taxes on fuel, this long-term trend has the potential to impact program capacity in later years.

The current administration has expressed the intent to work aggressively towards eliminating CAFE Standards and has proposed its own set of standards called the Safer Affordable Fuel Efficient (SAFE) Standards. As of June 2019, General Motors, Ford, BMW, and Toyota have written the administration asking for the federal government and California to come to a compromise on standards rather than to abandon CAFE Standards completely. The aforementioned auto manufactures have commented that the administration's plans to weaken car pollution and fuel efficiency standards would actually hurt their bottom lines and create instability. The final version of a plan at the federal level is expected to be released by the end of 2019.

If the current administration successfully revokes CAFE and/or other related fuel efficiency standards, fuel efficiency could be reduced, which may affect potential resource pressures on transportation. However, numerous automakers have repeatedly reiterated their continued commitment to produce alternative fuel vehicles, signaling consumer demand for fuel efficiency and clean energy may continue to outweigh any changes to existing statute.

- **Alternative Fuel Vehicles:** The state’s innovative vehicle standards have progressed to the point where alternative fuel vehicles have emerged in the market. Investments in alternative fuels and vehicle technologies include, but are not limited to: electric drive, hydrogen, natural gas, propane, and biofuels. The current fuel tax structure is based on vehicles using petroleum-based fuels. SB 1 includes a new \$100 annual vehicle registration fee applicable only to zero-emission vehicles beginning in 2020-21, with an adjustment for inflation in subsequent years. However, as alternative fuel vehicles add complexity to the existing tax structure by diversifying fuel types and gaining greater market share over gasoline and diesel, the state will need to continue to explore a tax structure that accounts for all fuel types in order to maintain appropriate transportation revenue levels.
- **Macroeconomic Environment:** Since March 9, 2009, the market has had its longest bull run on record. However, in December of 2018, the market experienced significant weakness. Historically, economic uncertainty creates instability as investors tend to favor predictability over uncertainty. Economic volatility and risks posed against the market cause concerns of a recession. The Department has generally seen a direct relationship between the economy and fuel consumption levels. Should the market fall into a recession, it would be expected that consumption levels could decline as well. Declines in consumption would negatively impact transportation resources because the Department’s resources are derived from gasoline and diesel taxes.

INTRODUCTION

Section 14524 of the Government Code (GC) requires the California Department of Transportation (Department) to develop a biennial State Transportation Improvement Program (STIP) Fund Estimate (FE). The FE includes a forecast, in annual increments, of all federal and state funds expected to be available for programming in the next STIP, and a plan to manage these funds over the subsequent five years. The 2020 STIP FE covers the period from fiscal year 2020-21 through 2024-25, with 2019-20 included as the base year.

Sections 14524 and 14525 of the GC requires the Department to present a FE to the California Transportation Commission (Commission) by July 15th, and the Commission to adopt a FE by August 15th of each odd-numbered year. Section 14525(d) authorizes the Commission to postpone adoption of the FE for up to 90 days. Section 14529(d) of the GC requires the Commission to adopt a STIP based on the funding levels identified in the adopted FE by April 1st of each even-numbered year. On August 14, 2019, the Commission adopted the funding levels indicated in the 2020 STIP FE. Listed below are the dates and milestones used for the development of the 2020 STIP FE.

<u>Date</u>	<u>Milestone</u>
March 13, 2019	The Department presented Draft Assumptions for the 2020 STIP FE.
May 15, 2019	The Commission approved the 2020 STIP FE Assumptions.
June 26, 2019	The Department delivered the Draft 2020 STIP FE to the Commission.
July 22, 2019	The Department provided supplemental background and details regarding the development of the 2020 STIP FE at a workshop.
August 14, 2019	The Commission adopted funding levels identified in the Proposed 2020 STIP FE.

The 2020 STIP Fund Estimate

The STIP and the State Highway Operation and Protection Program (SHOPP) comprise the major portion of the state's transportation infrastructure programs. The primary source of funding for the STIP is a portion of the incremental excise tax on gasoline (17.3 cents per gallon for 2019-20). The primary sources of funding for the SHOPP are state and federal excise taxes on motor vehicle fuels. Article XIX of the California Constitution protects both state excise tax on fuel and resources in the Public Transportation Account (PTA), that fund transit STIP, from diversions for non-transportation purposes.

Methodology

The Commission, in consultation with the Department, Regional Transportation Planning Agencies, and county transportation commissions, determined the methodology and assumptions used to develop the 2020 STIP FE. The Commission approved the methodologies and assumptions at its meeting on May 15, 2019. Listed below are significant methodologies included in the 2020 STIP FE. A summary of the approved assumptions are included in Appendix E.

- A cash flow model is used in the development of the FE tables. This model displays a forecast of new, target program capacity based on the cash flow required to manage existing commitments and the allocation of capital projects. The Department developed program expenditure and cash flow estimates by working with each respective Division within the Department.
- Section 14524(c) of the GC requires the FE to display revenues that are based on existing state and federal statutes. The 2020 STIP FE was developed within the constraints of existing state and federal statutes. Revenue estimates for future periods utilize historical trends and the economic outlook as a basis.
- Section 14525.1 of the GC requires the FE to use an inflation rate that has been established by the Department of Finance (DOF). The DOF Budget Letter 18-28 assumes a price escalation rate of 2.9 percent for select state operations expenditures, not including capital outlay support (COS), which is recalculated each year. Therefore, the FE reflects a 2.9 percent annual escalation for state operations covering 2020-21 through 2024-25.
- Per Section 47 of the 2020 STIP Guidelines, the Department recommends that local agencies use an escalation rate of 2.9 percent per year for operational expenditures, as indicated in the above bullet. The Department recommends that local agencies escalate capital costs by 3.2 percent per year, beginning in 2020-21. This is consistent with forecasted data provided by Information Handling Services (IHS) Global Insight that pertains to the Highway & Street Construction Cost Index, as noted in State Highway Account (SHA) assumptions 22 and 28 (see Appendix E).
- Senate Bill (SB) 45 (Chapter 622, Statutes of 1997) allows the Commission to leave current levels of programmed project development costs (i.e. pre-construction expenditures) unaltered if expenditures are within 20 percent of the amount programmed for this component. These allowances **are not** included in the 2020 STIP FE.

-
- The FE contains a calculation whereby available cash balances are used to determine program capacity. Program capacity represents the total construction, right-of-way (R/W) and support costs necessary to fund new projects each year. The conversion to capacity optimizes funding based on historical component expenditures for each program, while taking into consideration the prudent cash balance and annual fluctuations of program levels.
 - The FE tables calculate commitments as project phases that are programmed to begin prior to June 30, 2020. The 2020 STIP FE methodology assumes that all preliminary engineering components programmed to begin in 2019-20 will have the accompanying construction engineering programmed in future years as well.

The FE tables **do not** display commitments of any other phases included in target program capacity for 2020-21 through 2024-25. These costs should be considered during the programming process to ensure resources are not over-committed.

Changes to Legislation

Since the 2018 STIP FE cycle, enacted legislation has adjusted funding for state transportation. Below are legislative changes that have impacted the methodology of the 2020 STIP FE.

- **SB 1 – The Road Repair and Accountability Act of 2017:** On April 28, 2017, SB 1 was enacted. Foremost, the bill creates two new funds, the Road Maintenance and Rehabilitation Account (RMRA), and the Trade Corridors Enhancement Account (TCEA).

SB 1 increased existing taxes and created new revenue sources for transportation infrastructure. The incremental excise tax rate was set at 17.3 cents per gallon beginning July 1, 2019. Moreover, the bill created critical provisions that will index taxes and fees for inflation in future years.

The enactment of SB 1 also created the RMRA which receives resources from: Increased gasoline excise taxes (12 cents per gallon), a new annual registration fee for zero-emission vehicles (\$100 dollars annually), increased diesel excise taxes (50 percent of the new 20 cents per gallon diesel tax), new gasoline and diesel storage fees, and new annual transportation improvement fees.

The RMRA allocates resources to: Self-help counties (\$200 million annually), ATP (\$100 million annually), bridges and culverts (\$400 million annually), Freeway Service Patrol (\$25 million annually), local planning grants (\$25 million annually), and to other programs. The remaining balance will be split 50/50 between local agencies and the Department for maintenance or SHOPP purposes.

Certain resources created by the enactment of SB 1 do not impact target capacity in the FE, SHA, Federal Transportation Fund (FTF), RMRA, or PTA. A portion of revenues derived from the new annual transportation improvement fee pass through the SHA and are directed towards the Solutions for Congested Corridors (\$250 million annually). In the same manner, \$350 million derived from transportation improvement fees pass through the PTA with a 70/30 percent split going to the Transit and Intercity Rail Capital Program (TIRCP) and State Transit Assistance (STA) respectively. Also, the \$25 million annually designated to Freeway Service Patrol.

- **Proposition 69 – Transportation Taxes and Fees Lockbox and Fees Lockbox and Appropriations Limit Exemption Amendment:** On June 5, 2018, California voted to approve Proposition 69, which protected funding created by the Road Repair and Accountability Act of 2017. As of June 2018, the state constitution now prohibits the legislature from using gasoline and diesel excise tax revenues for general non-transportation purposes.

- **Proposition 6 – Voter Approval for Future Gas and Vehicle Taxes and 2017 Tax Repeal Initiative:** On November 6, 2018, the general public voted to retain the previously enacted SB 1 tax increases. The full details of SB 1 are outlined in this section (Changes to Legislation). If Proposition 6 had passed, it would have resulted in a repeal to the fuel tax increases and vehicle fees that were put in place by SB 1. Furthermore, the passage of Proposition 6 would have required all future fuel taxes and/or vehicle fee increases be approved by the general public via ballot propositions. Currently, the need to increase or create new fuel taxes and/or vehicle fees is determined through the legislative process that requires a two-thirds vote by both the Senate and State Assembly.
- **SB 132 – Amendment to the Budget Act of 2016:** The enactment of SB 132 appropriates \$400 million in PTA resources over an estimated 10-year period. The funds appropriated will be used for the extension of the Altamont Corridor Express, including system improvements. SB 132 also appropriates approximately \$527 million in SHA resources over an estimated six-year period for projects specified in the bill.

Revenues

Section 14524(c) of the GC requires the FE to base revenue assumptions on existing state and federal statutes; however, existing law cannot guarantee that the Department will realize and/or retain certain revenues over the FE period. If a new Federal Highway Act is not delivered on a timely basis, there is no assurance of federal funding levels in future years. If funding levels in the new federal act are not scaled in accordance to the growth of the prior act, the SHA may not be able to cover the difference and still maintain asset classes at levels prescribed in the Transportation Asset Management Plan.

STATE TRANSPORTATION IMPROVEMENT PROGRAM FUND ESTIMATE

The STIP FE is a five-year planning document that is adopted every two years and displays commitments of transportation funds for improving operations for rail, mass transportation, local roads, and the State Highway System (SHS). To develop the STIP, the Department is required to prepare a STIP FE to forecast the total federal and state resources available for transportation over the next STIP period. STIP capacity is derived from the FE tables of the SHA, FTF, and PTA. SHOPP capacity is derived from the FE tables of the SHA, FTF, and RMRA over the same five-year period.

- **State Highway Account and Federal Trust Fund** – The SHA, FTF, and RMRA are the sole funding sources for the SHOPP. The SHA and FTF also fund STIP highway projects. SB 1 provides for the deposit of various taxes and fees into the RMRA.
 - **SHOPP funding** – The majority of SHA revenues dedicated to the SHOPP are derived from state excise taxes on gasoline and diesel fuel. State excise taxes that contribute directly to the SHOPP are 18 cents per gallon for gasoline and 16 cents per gallon for diesel, which are now adjusted for inflation beginning July 1, 2020, as required by SB 1. Approximately 64 percent of total revenues generated from state excise taxes on gasoline and diesel are for the SHOPP.

SB 1 replaced price-based excise tax with an incremental excise tax, effective 2019-20 with annual adjustments for inflation beginning July 1, 2020.

Vehicle weight fees are directed to the Transportation Debt Service Fund (TDSF) pursuant to Assembly Bill (AB) 105. In turn, an off the top amount of incremental excise tax is provided to the SHA to backfill for amounts directed to the TDSF. After the SHA receives its backfill portion of the excise tax, the GF receives miscellaneous transfers derived from the excise tax. The SHOPP receives 12 percent of the remaining excise tax after the SHA backfill and the General Fund (GF) transfer described previously (see Appendix A for further details).

FTF revenues are primarily derived from the state's apportionment of federal excise taxes of 18.4 cents per gallon on gasoline, and 24.4 cents per gallon on diesel fuel. SHA and FTF resources are committed for maintaining and preserving the existing highway system, ensuring efficient operation on the SHS, improving highway safety, and improving the interregional road system.

- **STIP funding** – STIP funding is also benefited by SB 1, similarly to SHOPP funding. The excise tax increased to 17.3 cents per gallon as of 2019-20 with annual adjustments for inflation beginning July 1, 2020. After accounting for the weight fee backfill and miscellaneous transfers to the GF, SHA revenues dedicated to the STIP are primarily generated from a 44 percent apportionment of the excise tax on gasoline.
- **Road Maintenance and Rehabilitation Account** – The RMRA was established through the enactment of SB 1. Revenue sources to the RMRA include taxes and fees such as 12 cents per gallon gasoline tax, the \$100 annual registration fee for zero-emission vehicles, 50 percent of the 20 cents per gallon diesel tax, gas and diesel storage fees, and a portion of annual transportation improvement fees that are based upon vehicle market value. After specified program investments, 50 percent of the remaining balance in the fund is continuously appropriated to the Department for SHOPP and maintenance purposes.
- **Public Transportation Account** – The Department uses the PTA to fund transportation planning, mass transportation, the Intercity Rail program, and transit STIP projects. PTA resources are primarily generated from the sales taxes on diesel fuel.



2020 STIP FE Program Capacity (Target Capacity)

STIP Program Capacity: The table below displays the total and annual program capacities available for the 2020 STIP. Target Capacity represents the total value of projects, including construction, R/W, and support, that can be funded each year. The 2018 STIP Program line represents the annual amount of projects programmed each year in the 2018 STIP. “New STIP Program Capacity” is the difference between the 2020 STIP FE Target Capacity and the 2018 STIP, which also identifies any excess or shortage of capacity to fund the current program. Detailed information on resources and expenditures are available in the appendices, by fund.

2020 STIP FE STIP Program Capacity (\$ in millions)								
	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25	5-Year Total	6-Year Total
2020 STIP FE Target Capacity	\$655	\$710	\$705	\$670	\$245	\$245	\$2,574	\$3,229
2018 STIP Program	494	793	679	695	0	0	2,166	2,660
New STIP Program Capacity	\$161	(\$83)	\$26	(\$25)	\$245	\$245	\$407	\$569
Cumulative Difference	\$161	\$78	\$104	\$79	\$324	\$569		
Estimated Capital Allocation Capacity	\$520	\$550	\$570	\$550	\$200	\$200		

Note: Individual numbers may not add to total due to independent rounding.

STIP Highlights

- The 2020 STIP FE estimates STIP capacity of \$2.6 billion over the five-year FE period. This covers the estimated 2018 STIP program and adds \$407 million in new STIP capacity.
- SB 1 sets the new excise tax rate at 17.3 cents per gallon as of 2019-20 with adjustments for inflation beginning July 1, 2020. This is expected to stabilize STIP resources in the long-term. STIP resources are now more dependent upon gasoline and diesel consumption and economic growth rather than on the incremental excise tax rate that fluctuated significantly in the past before SB 1 established a set rate that is now adjusted for inflation. The set rate of 17.3 cents per gallon is expected to stabilize STIP resources but not necessarily STIP capacity as STIP capacity is impacted by several more variables.
- Continued expansion of alternative energy fuels poses some impacts to funding sources. Current resources are primarily derived from consumption of petroleum-based fuels. Tax increases provided by recent legislation may offer short-term solutions to funding shortfalls in the near-term, but a more sustainable form of transportation funding, such as a mileage-based user fee, should continue to be considered.

SHOPP Program Capacity: The table below displays the total and annual SHOPP capacities over the FE period. Target Capacity represents the total value of SHOPP projects, including construction, R/W, and support, that can be funded each year after funding existing and ongoing commitments. The 2018 SHOPP Program line represents the SHOPP projects currently programmed each year in the 2018 program. “New SHOPP Program Capacity” is the difference between the 2020 STIP FE Target Capacity and the 2018 SHOPP and identifies any excess or shortage of program capacity to fund the current program.

2020 STIP FE SHOPP Program Capacity (\$ in millions)								
	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25	5-Year Total	6-Year Total
2020 STIP FE SHOPP Target Capacity	\$4,300	\$4,400	\$4,300	\$4,100	\$4,000	\$4,000	\$20,800	\$25,100
2018 SHOPP Program	4,440	4,540	4,640	0	0	0	9,180	13,620
New SHOPP Program Capacity	(\$140)	(\$140)	(\$340)	\$4,100	\$4,000	\$4,000	\$11,620	\$11,480
Cumulative Difference	(\$140)	(\$280)	(\$620)	\$3,480	\$7,480	\$11,480		
Estimated Capital Allocation Capacity	\$3,150	\$3,425	\$3,375	\$3,200	\$2,900	\$2,900		

Note: Individual numbers may not add to total due to independent rounding.

SHOPP Highlights

- The 2020 STIP FE includes a SHOPP capacity of \$20.8 billion over the five-year FE period. This covers the existing SHOPP and adds over \$11.6 billion in new SHOPP capacity.
- RMRA resources have been included in the 2020 STIP FE SHOPP Target Capacity in the table above. The RMRA contains multiple funding sources including: Gasoline excise taxes (12 cents per gallon), diesel excise taxes (50 percent of 20 cents per gallon diesel tax), an annual registration fee for zero-emission vehicles (\$100 annually), and a portion of annual transportation improvement fees that are based upon the vehicle market value.
 - The RMRA is first required to allocate resources to the following: Local Partnership Program (\$200 million annually), ATP (\$100 million annually), bridges and culverts (\$400 million annually), Freeway Service Patrol (\$25 million annually), local planning grants (\$25 million annually), as well as other programs. The remaining balance after specified allocations is to be shared 50/50 between local agencies and the department for maintenance and SHOPP purposes.

COUNTY AND INTERREGIONAL SHARE ESTIMATES

The STIP consists of two broad programs, the regional program funded from 75 percent of new STIP funding and the interregional program funded from 25 percent of new STIP funding. The 75 percent regional program is further subdivided by formula into County Shares. County Shares are available solely for projects nominated by regions in their Regional Transportation Improvement Programs (RTIP).

The 2020 STIP Fund Estimate (FE) indicates that there is negative program capacity for the Public Transportation Account (PTA). This means that many of the transit projects currently programmed in the STIP will either have to be delivered with State Highway Account (SHA) funds, federal funds, or be unprogrammed.

The following tables display STIP county and interregional shares and targets for the 2020 STIP.

Table 1. Reconciliation to County and Interregional Shares

This table lists the net changes to program capacity from the 2020 STIP FE to the capacity used in the County and Interregional Shares. This table also separates the program capacity by PTA and SHA capacity. The table is based on Commission actions through June 30, 2019.

Table 2. Summary of Targets and Shares

This table takes into account all county and interregional share balances through the June 2019 Commission meeting, as well as new statewide STIP capacity. For each county and the interregional share, the table identifies the following target amounts:

- **Base (Minimum):** This is the formula distribution of new capacity available through the end of the share period 2023-24. This is the first priority for new programming, and it represents the minimum amount that will be programmed in each county. The calculation of this target is shown in Table 3.
- **Total Target:** This target is determined by calculating the STIP formula share of all new capacity through 2024-25. The calculation of this target is shown in Table 4.
- **Maximum:** This target is determined by estimating the STIP formula share of all available new capacity through the county share period that ends in 2027-28. This represents the maximum amount that the Commission may program in a county, other than advancing future shares, pursuant to Streets and Highways Code Section 188.8(j), to a county with a population of under 1 million. The calculation of this target is shown in Table 5.

Table 3. Calculation of New Programming Targets and Shares – Base (Minimum)

This table displays factors in the calculation of the Base (Minimum) Target.

- Net Carryover: These columns display the current share status, including STIP allocations and amendments through the June 2019 Commission meeting. Positive numbers indicate unprogrammed shares, and negative numbers indicate shares that were advanced.
 - Formula Distribution: This is the 2020 STIP share through 2023-24. It is the formula distribution of program capacity available through the county share period ending 2023-24. The amount distributed is the new capacity less the unprogrammed shares, lapses, and the decrease in advances.
 - Add Back 2017-18 & 2018-19 Lapses: This identifies the amount for projects lapsed in 2017-18 and 2018-19. These amounts are credited back in the 2020 STIP Fund Estimate to county and interregional shares for the four-year share period beginning 2020-21.
 - Net Share (Base): This is the 2020 STIP target through the county share period 2023-24. The Net Share is calculated by adding to the formula distribution the lapses and the unprogrammed balance or balance advanced. In cases where the distribution of new capacity (through 2023-24) is insufficient to cover prior advances (i.e., the Net Share would be less than zero), a zero appears in the Net Share column.
 - Net Advance: Numbers in this column represent advances against future capacity. This occurs when the distribution of new shares (through 2023-24) is insufficient to cover prior advances.

Table 4. Calculation of New Programming Targets and Shares - Total Target

This table displays factors in the calculation of the Total Target.

- Net Carryover: These columns display the current share status, including STIP allocations and amendments through the June 2019 Commission meeting. Positive numbers indicate unprogrammed shares, and negative numbers indicate shares that were advanced.
- 2020 STIP Target Through 2024-25: This section calculates the total target. The total target is the formula distribution of new capacity available through 2024-25 adjusted for carryover balances and lapses.
 - Formula Distribution: This is the 2020 STIP share through 2024-25. It is the formula distribution of program capacity available through 2024-25. The amount distributed is the new capacity less the unprogrammed shares, lapses, and the decrease in advances.

- Add Back 2017-18 & 2018-19 Lapses: This identifies the amount for projects lapsed in 2017-18 and 2018-19. These amounts are credited back in the 2020 STIP Fund Estimate to county and interregional shares for the four-year share period beginning 2020-21.
- Net Share (Total Target): This is the 2020 STIP target through 2024-25. The Net Share (Total Target) is calculated by adding to the formula distribution the lapses and the unprogrammed balance or balance advanced. In cases where the distribution of new capacity is insufficient to cover prior advances (i.e., the Net Share would be less than zero), a zero appears in the Net Share column.
- Net Advance: Numbers in this column represent advances against future capacity. This occurs when the distribution of new shares (through 2024-25) is insufficient to cover prior advances.

Table 5. Calculation of New Programming Targets and Shares – Maximum

This table calculates the maximum amount that the Commission may program in a county, other than advancing future shares, pursuant to Streets and Highways Code Section 188.8(j), to a county with a population of under 1 million.

- Net Carryover: These columns display the current share status, including STIP allocations and amendments through the June 2019 Commission meeting. Positive numbers indicate unprogrammed shares, and negative numbers indicate shares that were advanced.
- 2020 STIP Share Through 2027-28: This section estimates the maximum target. This is the formula distribution of estimated new capacity available through 2027-28 adjusted for carryover balances and lapses.
 - Formula Distribution: This column estimates the STIP share of the estimated new capacity through the county share period ending in 2027-28. It is the formula distribution of estimated program capacity available through the county share period ending in 2027-28. The amount distributed is the new capacity less the unprogrammed shares, lapses, and the decrease in advances.
 - Add Back 2017-18 & 2018-19 Lapses: This identifies the amount for projects lapsed in 2017-18 and 2018-19. These amounts are credited back in the 2020 STIP Fund Estimate to county and interregional shares for the four-year share period beginning 2020-21.
 - Net Share (Maximum): This target is the STIP share of all available new capacity through the end of the county share period in 2027-28. This represents the maximum amount that the Commission may program in a county, other than advancing future shares, pursuant to Streets and Highways Code Section 188.8(j), to a county with a population of under 1 million. The Net Share (Maximum) is calculated by adding to the formula distribution the lapses and the unprogrammed balance or balance advanced.

In cases where the distribution of new capacity is insufficient to cover prior advances (i.e., the Net Share would be less than zero), a zero appears in the Net Share column.

- Net Advance: Numbers in this column represent advances against future capacity. This occurs when the distribution of new shares (through 2027-28) is insufficient to cover prior advances.

Table 6. Planning, Programming, and Monitoring (PPM) Limitations

State law provides that up to 5 percent of a county share may be expended for planning, programming, and monitoring (PPM). This limitation is applied separately to each four-year county share period.

- Total: This section identifies the shares for the 2020-21 through 2023-24 share period and for 2024-25, based upon the 2016, 2018 and 2020 Fund Estimates. These are the amounts against which the 5% is applied.
- 5 Percent PPM Limitation: These are the PPM limitations for the 2020-21 through 2023-24 share period and for 2024-25.



Table 1. Reconciliation to County and Interregional Shares
(\$ in millions)

	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25	5-Year Total	6-Year Total
Public Transportation Account (PTA)								
2020 FE PTA Target Capacity	\$15	\$15	\$10	\$0	\$0	\$0	\$25	\$40
Total 2020 STIP FE PTA Capacity	\$15	\$15	\$10	\$0	\$0	\$0	\$25	\$40
2018 STIP Program ¹	\$54	\$191	\$83	\$255	\$0	\$0	\$528	\$582
Extensions	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Advances	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Net PTA STIP Program	\$54	\$191	\$83	\$255	\$0	\$0	\$528	\$582
PTA Capacity for County Shares	(\$39)	(\$176)	(\$73)	(\$255)	\$0	\$0	(\$503)	(\$542)
Cumulative	(\$39)	(\$215)	(\$287)	(\$542)	(\$542)	(\$542)		
State Highway Account (SHA)								
2020 FE SHA Target Capacity	\$620	\$667	\$695	\$670	\$245	\$245	\$2,520	\$3,140
2020 FE TFA Available Capacity ²	\$20	\$28	\$0	\$0	\$0	\$0	\$28	\$48
Total 2020 STIP FE SHA Capacity	\$640	\$695	\$695	\$670	\$245	\$245	\$2,548	\$3,188
2018 STIP Program ¹	\$518	\$592	\$601	\$440	\$0	\$0	\$1,633	\$2,150
Extensions	\$26	\$10	\$0	\$0	\$0	\$0	\$10	\$36
Advances	(\$104)	\$0	(\$5)	\$0	\$0	\$0	(\$5)	(\$109)
Net SHA STIP Program	\$440	\$602	\$596	\$440	\$0	\$0	\$1,637	\$2,077
SHA Capacity for County Shares	\$201	\$93	\$99	\$230	\$245	\$245	\$911	\$1,112
Cumulative	\$201	\$294	\$393	\$623	\$867	\$1,112		
Total Capacity	\$162	(\$83)	\$26	(\$25)	\$245	\$245	\$408	\$569

Notes:

General note: Numbers may not add due to rounding.

¹ 2018 STIP as of June 30, 2019 (2019 Orange Book)

² TFA capacity represents unallocated, closeout savings available for STIP projects.

Table 2. Summary of Targets and Shares
(\$ in thousands)

County	2020 STIP Programming		
	Base (Minimum) Share through 2023-24	Total Target Share through 2024-25	Maximum Estimated Share through 2027-28
Alameda	23,354	34,669	56,723
Alpine	29	366	1,023
Amador	4,288	5,053	6,544
Butte	1,278	3,542	7,955
Calaveras	417	1,332	3,114
Colusa	2,677	3,283	4,463
Contra Costa	28,506	36,253	51,352
Del Norte	0	0	0
El Dorado LTC	801	2,369	5,425
Fresno	40,754	49,294	65,937
Glenn	2,527	3,162	4,397
Humboldt	0	0	2,140
Imperial	0	3,195	11,062
Inyo	0	0	0
Kern	0	0	21,166
Kings	0	0	0
Lake	0	189	2,118
Lassen	4,907	6,356	9,180
Los Angeles	0	0	46,344
Madera	0	0	0
Marin	0	0	0
Mariposa	3,906	4,499	5,654
Mendocino	984	3,134	7,322
Merced	27,568	30,370	35,831
Modoc	146	920	2,427
Mono	4,224	6,566	11,130
Monterey	15,900	19,932	27,792
Napa	1,065	2,460	5,179
Nevada	2,040	3,239	5,577
Orange	0	6,960	48,111
Placer TPA	0	0	0
Plumas	2,229	3,094	4,778
Riverside	2,842	21,274	57,196
Sacramento	25,387	36,107	56,997
San Benito	0	0	0
San Bernardino	2,223	23,659	65,435
San Diego	0	18,409	65,652
San Francisco	4,171	9,918	21,118
San Joaquin	0	3,726	15,070
San Luis Obispo	0	3,070	11,399
San Mateo	3,353	9,201	20,600
Santa Barbara	0	251	9,615
Santa Clara	0	12,569	38,697
Santa Cruz	2,766	5,083	9,597
Shasta	1,107	3,583	8,408
Sierra	3,815	4,226	5,026
Siskiyou	5,410	7,112	10,429
Solano	6,750	10,261	17,105
Sonoma	0	545	8,955
Stanislaus	1,094	5,396	13,780
Sutter	8,233	9,222	11,149
Tahoe RPA	0	0	0
Tehama	651	1,912	4,370
Trinity	490	1,385	3,129
Tulare	0	0	10,340
Tuolumne	0	886	2,810
Ventura	61,193	68,307	82,172
Yolo	14,259	16,332	20,371
Yuba	13,545	14,304	15,783
Statewide Regional	324,889	516,975	1,037,947
Interregional	0	52,414	264,942
TOTAL	324,889	569,389	1,302,889

	New Capacity
Statewide SHA Capacity	1,111,601
Statewide PTA Capacity	(542,212)
Total STIP Capacity	569,389

Table 3. Calculation of New Programming Targets and Shares – Base (Minimum)
(\$ in thousands)

County	Net Carryover		2020 STIP Share through 2023-24			
	Unprogrammed Balance	Balance Advanced	Formula Distribution	Add Back Lapses 2017-18 & 2018-19	Net Share (Base)	Net Advance
Alameda	18,188	0	5,166	0	23,354	0
Alpine	0	(125)	154	0	29	0
Amador	3,939	0	349	0	4,288	0
Butte	0	(1,255)	1,034	1,499	1,278	0
Calaveras	0	0	417	0	417	0
Colusa	2,401	0	276	0	2,677	0
Contra Costa	24,969	0	3,537	0	28,506	0
Del Norte	0	(7,497)	258	0	0	(7,239)
El Dorado LTC	85	0	716	0	801	0
Fresno	36,856	0	3,898	0	40,754	0
Glenn	2,238	0	289	0	2,527	0
Humboldt	0	(5,625)	1,041	0	0	(4,584)
Imperial	0	(2,684)	1,843	0	0	(841)
Inyo	0	(19,437)	1,439	0	0	(17,998)
Kern	0	(18,015)	5,252	0	0	(12,763)
Kings	0	(11,482)	771	0	0	(10,711)
Lake	0	(1,253)	452	0	0	(801)
Lassen	3,991	0	662	254	4,907	0
Los Angeles	0	(186,954)	31,274	0	0	(155,680)
Madera	0	(8,730)	717	0	0	(8,013)
Marin	0	(25,337)	967	0	0	(24,370)
Mariposa	3,629	0	270	7	3,906	0
Mendocino	3	0	981	0	984	0
Merced	26,289	0	1,279	0	27,568	0
Modoc	0	(267)	353	60	146	0
Mono	3,005	0	1,069	150	4,224	0
Monterey	636	0	1,841	13,423	15,900	0
Napa	378	0	637	50	1,065	0
Nevada	1,492	0	548	0	2,040	0
Orange	0	(23,794)	9,639	0	0	(14,155)
Placer TPA	0	(25,528)	1,337	0	0	(24,191)
Plumas	1,835	0	394	0	2,229	0
Riverside	0	(5,572)	8,414	0	2,842	0
Sacramento	11,276	0	4,893	9,218	25,387	0
San Benito	0	(7,403)	339	0	0	(7,064)
San Bernardino	0	(7,562)	9,785	0	2,223	0
San Diego	0	(16,898)	11,066	0	0	(5,832)
San Francisco	1,548	0	2,623	0	4,171	0
San Joaquin	0	(4,751)	2,657	0	0	(2,094)
San Luis Obispo	0	(3,155)	1,951	0	0	(1,204)
San Mateo	683	0	2,670	0	3,353	0
Santa Barbara	0	(6,746)	2,193	0	0	(4,553)
Santa Clara	0	(6,957)	6,120	0	0	(837)
Santa Cruz	759	0	1,057	950	2,766	0
Shasta	0	(23)	1,130	0	1,107	0
Sierra	3,528	0	187	100	3,815	0
Siskiyou	4,633	0	777	0	5,410	0
Solano	5,147	0	1,603	0	6,750	0
Sonoma	0	(5,739)	1,970	0	0	(3,769)
Stanislaus	0	(870)	1,964	0	1,094	0
Sutter	7,781	0	452	0	8,233	0
Tahoe RPA	0	(2,305)	223	0	0	(2,082)
Tehama	0	0	576	75	651	0
Trinity	82	0	408	0	490	0
Tulare	0	(7,814)	2,434	0	0	(5,380)
Tuolumne	0	(744)	451	192	0	(101)
Ventura	57,946	0	3,247	0	61,193	0
Yolo	13,313	0	946	0	14,259	0
Yuba	12,481	0	347	717	13,545	0
Statewide Regional	249,111	(414,522)	149,343	26,695	324,889	(314,262)
Interregional	0	(107,418)	49,781	1,000	0	(56,637)
TOTAL	249,111	(521,940)	199,124	27,695	324,889	(370,899)
Statewide SHA Capacity					867,101	
Statewide PTA Capacity					(542,212)	
Total					324,889	

Table 4. Calculation of New Programming Targets and Shares – Total Target
(\$ in thousands)

County	Net Carryover		2020 STIP Share through 2024-25			
	Unprogrammed Balance	Balance Advanced	Formula Distribution	Add Back Lapses 2017-18 & 2018-19	Net Share (Total Target)	Net Advance
Alameda	18,188	0	16,481	0	34,669	0
Alpine	0	(125)	491	0	366	0
Amador	3,939	0	1,114	0	5,053	0
Butte	0	(1,255)	3,298	1,499	3,542	0
Calaveras	0	0	1,332	0	1,332	0
Colusa	2,401	0	862	0	3,263	0
Contra Costa	24,969	0	11,284	0	36,253	0
Del Norte	0	(7,497)	823	0	0	(6,674)
El Dorado LTC	85	0	2,284	0	2,369	0
Fresno	36,856	0	12,438	0	49,294	0
Glenn	2,238	0	924	0	3,162	0
Humboldt	0	(5,625)	3,321	0	0	(2,304)
Imperial	0	(2,684)	5,879	0	3,195	0
Inyo	0	(19,437)	4,591	0	0	(14,846)
Kern	0	(18,015)	16,758	0	0	(1,257)
Kings	0	(11,482)	2,458	0	0	(9,024)
Lake	0	(1,253)	1,442	0	189	0
Lassen	3,991	0	2,111	254	6,356	0
Los Angeles	0	(186,954)	99,782	0	0	(87,172)
Madera	0	(8,730)	2,287	0	0	(6,443)
Marin	0	(25,337)	3,086	0	0	(22,251)
Mariposa	3,629	0	863	7	4,499	0
Mendocino	3	0	3,131	0	3,134	0
Merced	26,289	0	4,081	0	30,370	0
Modoc	0	(267)	1,127	60	920	0
Mono	3,005	0	3,411	150	6,566	0
Monterey	636	0	5,873	13,423	19,932	0
Napa	378	0	2,032	50	2,460	0
Nevada	1,492	0	1,747	0	3,239	0
Orange	0	(23,794)	30,754	0	6,960	0
Placer TPA	0	(25,528)	4,265	0	0	(21,263)
Plumas	1,835	0	1,259	0	3,094	0
Riverside	0	(5,572)	26,846	0	21,274	0
Sacramento	11,276	0	15,613	9,218	36,107	0
San Benito	0	(7,403)	1,082	0	0	(6,321)
San Bernardino	0	(7,562)	31,221	0	23,659	0
San Diego	0	(16,898)	35,307	0	18,409	0
San Francisco	1,548	0	8,370	0	9,918	0
San Joaquin	0	(4,751)	8,477	0	3,726	0
San Luis Obispo	0	(3,155)	6,225	0	3,070	0
San Mateo	683	0	8,518	0	9,201	0
Santa Barbara	0	(6,746)	6,997	0	251	0
Santa Clara	0	(6,957)	19,526	0	12,569	0
Santa Cruz	759	0	3,374	950	5,083	0
Shasta	0	(23)	3,606	0	3,583	0
Sierra	3,528	0	598	100	4,226	0
Siskiyou	4,633	0	2,479	0	7,112	0
Solano	5,147	0	5,114	0	10,261	0
Sonoma	0	(5,739)	6,284	0	545	0
Stanislaus	0	(870)	6,266	0	5,396	0
Sutter	7,781	0	1,441	0	9,222	0
Tahoe RPA	0	(2,305)	713	0	0	(1,592)
Tehama	0	0	1,837	75	1,912	0
Trinity	82	0	1,303	0	1,385	0
Tulare	0	(7,814)	7,765	0	0	(49)
Tuolumne	0	(744)	1,438	192	886	0
Ventura	57,946	0	10,361	0	68,307	0
Yolo	13,313	0	3,019	0	16,332	0
Yuba	12,481	0	1,106	717	14,304	0
Statewide Regional	249,111	(414,522)	476,495	26,695	516,975	(179,196)
Interregional	0	(107,418)	158,832	1,000	52,414	0
TOTAL	249,111	(521,940)	635,327	27,695	569,389	(179,196)
Statewide SHA Capacity					1,111,601	
Statewide PTA Capacity					(542,212)	
Total					569,389	



Table 5. Calculation of Targets and Shares - Maximum
(\$ in thousands)

County	Net Carryover		2020 STIP Share through 2027-28			
	Unprogrammed Balance	Balance Advanced	Formula Distribution	Add Back Lapses 2017-18 & 2018-19	Net Share (Maximum)	Net Advance
Alameda	18,188	0	38,535	0	56,723	0
Alpine	0	(125)	1,148	0	1,023	0
Amador	3,939	0	2,605	0	6,544	0
Butte	0	(1,255)	7,711	1,499	7,955	0
Calaveras	0	0	3,114	0	3,114	0
Colusa	2,401	0	2,062	0	4,463	0
Contra Costa	24,969	0	26,383	0	51,352	0
Del Norte	0	(7,497)	1,925	0	0	(5,572)
El Dorado LTC	85	0	5,340	0	5,425	0
Fresno	36,856	0	29,081	0	65,937	0
Glenn	2,238	0	2,159	0	4,397	0
Humboldt	0	(5,625)	7,765	0	2,140	0
Imperial	0	(2,684)	13,746	0	11,062	0
Inyo	0	(19,437)	10,734	0	0	(8,703)
Kern	0	(18,015)	39,181	0	21,166	0
Kings	0	(11,482)	5,748	0	0	(5,734)
Lake	0	(1,253)	3,371	0	2,118	0
Lassen	3,991	0	4,935	254	9,180	0
Los Angeles	0	(186,954)	233,298	0	46,344	0
Madera	0	(8,730)	5,348	0	0	(3,382)
Marin	0	(25,337)	7,215	0	0	(18,122)
Mariposa	3,629	0	2,018	7	5,654	0
Mendocino	3	0	7,319	0	7,322	0
Merced	26,289	0	9,542	0	35,831	0
Modoc	0	(267)	2,634	60	2,427	0
Mono	3,005	0	7,975	150	11,130	0
Monterey	636	0	13,733	13,423	27,792	0
Napa	378	0	4,751	50	5,179	0
Nevada	1,492	0	4,085	0	5,577	0
Orange	0	(23,794)	71,905	0	48,111	0
Placer TPA	0	(25,528)	9,971	0	0	(15,557)
Plumas	1,835	0	2,943	0	4,778	0
Riverside	0	(5,572)	62,768	0	57,196	0
Sacramento	11,276	0	36,503	9,218	56,997	0
San Benito	0	(7,403)	2,530	0	0	(4,873)
San Bernardino	0	(7,562)	72,997	0	65,435	0
San Diego	0	(16,898)	82,550	0	65,652	0
San Francisco	1,548	0	19,570	0	21,118	0
San Joaquin	0	(4,751)	19,821	0	15,070	0
San Luis Obispo	0	(3,155)	14,554	0	11,399	0
San Mateo	683	0	19,917	0	20,600	0
Santa Barbara	0	(6,746)	16,361	0	9,615	0
Santa Clara	0	(6,957)	45,654	0	38,697	0
Santa Cruz	759	0	7,888	950	9,597	0
Shasta	0	(23)	8,431	0	8,408	0
Sierra	3,528	0	1,398	100	5,026	0
Siskiyou	4,633	0	5,796	0	10,429	0
Solano	5,147	0	11,958	0	17,105	0
Sonoma	0	(5,739)	14,694	0	8,955	0
Stanislaus	0	(870)	14,650	0	13,780	0
Sutter	7,781	0	3,368	0	11,149	0
Tahoe RPA	0	(2,305)	1,667	0	0	(638)
Tehama	0	0	4,295	75	4,370	0
Trinity	82	0	3,047	0	3,129	0
Tulare	0	(7,814)	18,154	0	10,340	0
Tuolumne	0	(744)	3,362	192	2,810	0
Ventura	57,946	0	24,226	0	82,172	0
Yolo	13,313	0	7,058	0	20,371	0
Yuba	12,481	0	2,585	717	15,783	0
Statewide Regional	249,111	(414,522)	1,114,082	26,695	1,037,947	(62,581)
Interregional	0	(107,418)	371,360	1,000	264,942	0
TOTAL	249,111	(521,940)	1,485,442	27,695	1,302,889	(62,581)
Statewide SHA Capacity					1,845,101	
Statewide PTA Capacity					(542,212)	
Total					1,302,889	

Table 6. Planning, Programming, and Monitoring (PPM) Limitations
(\$ in thousands)

County	Base				5% PPM Limitation		
	2016 STIP 20/21	2018 STIP 20/21 -22/23	2020 STIP 20/21 - 23/24	Total 20/21 - 23/24	2020 STIP FY 24/25	FY 20/21 - FY 23/24	FY 24/25
Alameda	0	40,024	5,166	45,190	11,315	2,260	566
Alpine	0	1,189	154	1,343	337	67	17
Amador	0	2,701	349	3,050	765	153	38
Butte	0	7,998	1,034	9,032	2,264	452	113
Calaveras	0	3,229	417	3,646	915	182	46
Colusa	0	2,137	276	2,413	606	121	30
Contra Costa	0	27,372	3,537	30,909	7,747	1,545	387
Del Norte	0	1,995	258	2,253	565	113	28
El Dorado LTC	0	5,532	716	6,248	1,568	312	78
Fresno	0	30,164	3,898	34,062	8,540	1,703	427
Glenn	0	2,238	289	2,527	635	126	32
Humboldt	0	8,053	1,041	9,094	2,280	455	114
Imperial	0	14,315	1,843	16,158	4,036	808	202
Inyo	0	11,100	1,439	12,539	3,152	627	158
Kern	0	40,576	5,252	45,828	11,506	2,291	575
Kings	0	5,961	771	6,732	1,687	337	84
Lake	0	3,495	452	3,947	990	197	50
Lassen	0	5,115	662	5,777	1,449	289	72
Los Angeles	0	242,239	31,274	273,513	68,508	13,676	3,425
Madera	0	5,547	717	6,264	1,570	313	79
Marin	0	7,484	967	8,451	2,119	423	106
Mariposa	0	2,092	270	2,362	593	118	30
Mendocino	0	7,518	981	8,499	2,150	425	108
Merced	0	9,894	1,279	11,173	2,802	559	140
Modoc	0	2,730	353	3,083	774	154	39
Mono	0	8,246	1,069	9,315	2,342	466	117
Monterey	0	14,243	1,841	16,084	4,032	804	202
Napa	0	4,927	637	5,564	1,395	278	70
Nevada	0	4,236	548	4,784	1,199	239	60
Orange	0	74,581	9,639	84,220	21,115	4,211	1,056
Placer TPA	0	10,194	1,337	11,531	2,928	577	146
Plumas	0	3,050	394	3,444	865	172	43
Riverside	0	65,284	8,414	73,698	18,432	3,685	922
Sacramento	0	37,903	4,893	42,796	10,720	2,140	536
San Benito	0	2,623	339	2,962	743	148	37
San Bernardino	0	75,654	9,785	85,439	21,436	4,272	1,072
San Diego	0	85,625	11,066	96,691	24,241	4,835	1,212
San Francisco	0	20,304	2,623	22,927	5,747	1,146	287
San Joaquin	0	20,543	2,657	23,200	5,820	1,160	291
San Luis Obispo	0	15,068	1,951	17,019	4,274	851	214
San Mateo	0	20,661	2,670	23,331	5,848	1,167	292
Santa Barbara	0	16,950	2,193	19,143	4,804	957	240
Santa Clara	0	47,354	6,120	53,474	13,406	2,674	670
Santa Cruz	0	8,182	1,057	9,239	2,317	462	116
Shasta	0	8,760	1,130	9,890	2,476	495	124
Sierra	0	1,449	187	1,636	411	82	21
Siskiyou	0	6,008	777	6,785	1,702	339	85
Solano	0	12,404	1,603	14,007	3,511	700	176
Sonoma	0	15,238	1,970	17,208	4,314	860	216
Stanislaus	0	15,197	1,964	17,161	4,302	858	215
Sutter	0	3,493	452	3,945	989	197	49
Tahoe RPA	0	2,032	223	2,255	490	113	25
Tehama	0	4,453	576	5,029	1,261	251	63
Trinity	0	3,158	408	3,566	895	178	45
Tulare	0	18,805	2,434	21,239	5,331	1,062	267
Tuolumne	0	3,486	451	3,937	987	197	49
Ventura	0	25,110	3,247	28,357	7,114	1,418	356
Yolo	0	7,320	946	8,266	2,073	413	104
Yuba	0	2,681	347	3,028	759	151	38
Statewide	0	1,155,920	149,343	1,305,263	327,152	65,263	16,358

Note: Limitation amounts include amounts already programmed.

This page left blank for reprographic purposes

APPENDICES

APPENDIX A – STATE HIGHWAY ACCOUNT & FEDERAL TRUST FUND	27
<i>SHA Fund Estimate</i>	<i>30</i>
<i>SHA Fund Estimate Detail</i>	<i>32</i>
APPENDIX B – ROAD MAINTENANCE & REHABILITATION ACCOUNT	35
APPENDIX C – PUBLIC TRANSPORTATION ACCOUNT	37
APPENDIX D – PROPOSITION 1A & 1B BONDS	41
APPENDIX E – 2020 STIP FUND ESTIMATE ASSUMPTIONS BY FUND	55
<i>SHA Assumptions.....</i>	<i>55</i>
<i>RMRA Assumptions</i>	<i>59</i>
<i>PTA Assumptions</i>	<i>60</i>
<i>Bond Assumptions.....</i>	<i>61</i>
APPENDIX F – STATUTES REGARDING THE STIP FUND ESTIMATE	63
<i>Government Code.....</i>	<i>63</i>
<i>Streets and Highways Code.....</i>	<i>67</i>
APPENDIX G – RESOLUTION TO ADOPT THE STIP 2020 FUND ESTIMATE	69
APPENDIX H – RESOLUTION TO ADJUST THE SHOPP MINOR PROGRAM.....	71

This page left blank for reprographic purposes.

APPENDIX A – STATE HIGHWAY ACCOUNT & FEDERAL TRUST FUND

The SHA is the primary funding source for California’s highway transportation programs. Historically, the main sources of revenue for the SHA have been state excise taxes on motor vehicle fuels and truck weight fees. However, AB 105 (Statutes of 2011) directed weight fee revenues from the SHA to the GF for debt service and loan purposes in 2010-11 and thereafter.

In order to replace this loss of funding, AB 105 also required the State Controller’s Office (Controller) to allocate a portion of the incremental excise tax on gasoline to backfill the weight fees. After accounting for the weight fee backfill and miscellaneous transfers to the GF, 12 percent of the remaining incremental excise tax revenues were transferred to the SHA for the SHOPP and 44 percent were transferred to the SHA for STIP.

SB 1 replaces price-base excise tax with an incremental excise tax of 17.3 cents per gallon as of 2019-20 with adjustments for inflation beginning in 2020-21. Per statute, new taxes and fees going forward will be adjusted for inflation, which represents an important shift from prior legislation that did not have a provision for inflationary adjustments.

Federal funds are used to reimburse the SHA for expenditures on federally-eligible projects. SHA and federal resources constitute the primary funding sources for the maintenance program and the SHOPP, which is a program that rehabilitates, improves safety, and preserves lane miles on the SHS.

Federal funds are a major source of funding for the SHOPP. The state receives appropriations set by the Federal Highway Act in the form of Obligation Authority (OA). This is based, in part, on a percentage of California’s total contribution (federal excise tax on gasoline and diesel of 18.4 cents and 24.4 cents per gallon, respectively) into the FTF.



Resources Available for Programming

The tables below list the total and annual program capacity available for STIP and the SHOPP. Target Capacity represents the total level of projects the SHA can fund, including construction, R/W, and support, while attempting to maintain a prudent operating cash balance. The target program levels are reduced by existing SHA program commitments to determine the amount of SHA capacity available for new SHOPP and highway STIP.

2020 STIP FE SHOPP Program Capacity (\$ in millions)								
	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25	5-Year Total	6-Year Total
2020 STIP FE SHOPP Target Capacity	\$4,300	\$4,400	\$4,300	\$4,100	\$4,000	\$4,000	\$20,800	\$25,100
2018 SHOPP Program	4,440	4,540	4,640	0	0	0	9,180	13,620
New SHOPP Program Capacity	(\$140)	(\$140)	(\$340)	\$4,100	\$4,000	\$4,000	\$11,620	\$11,480
Cumulative Difference	(\$140)	(\$280)	(\$620)	\$3,480	\$7,480	\$11,480		
Estimated Capital Allocation Capacity	\$3,150	\$3,425	\$3,375	\$3,200	\$2,900	\$2,900		

Note: Individual numbers may not add to total due to independent rounding.

2020 STIP FE STIP Program Capacity (\$ in millions)								
	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25	5-Year Total	6-Year Total
2020 STIP FE Target Capacity	\$655	\$710	\$705	\$670	\$245	\$245	\$2,574	\$3,229
2018 STIP Program	494	793	679	695	0	0	2,166	2,660
New STIP Program Capacity	\$161	(\$83)	\$26	(\$25)	\$245	\$245	\$407	\$569
Cumulative Difference	\$161	\$78	\$104	\$79	\$324	\$569		
Estimated Capital Allocation Capacity	\$520	\$550	\$570	\$550	\$200	\$200		

Note: Individual numbers may not add to total due to independent rounding.

The SHA and FTF table on page 30 displays \$12.8 billion in SHOPP capacity and the RMRA table on page 36 displays \$8 billion in RMRA capacity for a combined \$20.8 billion in SHOPP capacity over the five-year FE period. There is approximately \$11.6 billion in new SHOPP capacity.

The SHA and FTF table on page 30 displays approximately \$2.5 billion in STIP capacity and the PTA table on page 39 displays \$25 million in PTA capacity over the five-year FE period. There is an estimated \$407 million in new STIP program capacity, which is only available from non-PTA sources. Detailed resource and expenditure information are included in the FE for the SHA and FTF in the chart on pages 32-33.

SHA Highlights

- The SHA cash balance as of July 1, 2019, was approximately \$1.8 billion. Project advancements from the prior FE cycle has increased commitments and continued early investment of funding in the 2020 STIP FE is expected to reduce the cash balance.
- SHA resources remaining, after existing commitments have been deducted, will be used to fund the SHOPP and STIP in the 2020 STIP FE. In addition, the SHOPP will be constrained in the FE, with an estimated average annual Target Capacity of \$4.2 billion per year.
- Rates established by SB 1 for incremental excise taxes on gasoline are expected to provide a more predictable level of resources for the STIP beginning in 2019-20 when the new rate of 17.3 cents per gallon became effective. This rate will be adjusted annually for inflation beginning 2020-21. Previously, the Board of Equalization would adjust the tax rate annually in response to fuel price changes in the market.
- Per assumption SHA 9, federal resources are based on the estimated amount of 2017-18 OA received and escalated annually at the approximate rate of inflationary funding adjustment from the Fixing America's Surface Transportation (FAST) Act.
- Per assumption SHA 14 and 15, transportation loan repayments will occur in the year consistent with state statute.
- SHA 8 has been modified to disallow the use of the Advanced Project Development Element (APDE) in the 2020 STIP FE.
- SHA 16 has been modified to add further detail regarding the budget change proposal reservation.



**2020 STIP FUND ESTIMATE
STATE HIGHWAY AND FEDERAL TRUST FUND ACCOUNTS**

(\$ millions)

	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25	5-Year Total	6-Year Total
RESOURCES								
Beginning Balance	\$1,791							\$1,791
Fuel Excise Taxes (Base)	\$2,064	\$2,168	\$2,202	\$2,245	\$2,283	\$2,324	\$11,221	\$13,285
Fuel Excise Taxes (Incremental)	1,918	2,005	2,034	2,076	2,109	2,133	10,358	12,276
Net Weight Fees	0	0	0	0	0	0	0	0
Misc. Revenues	417	427	425	426	423	425	2,127	2,544
Transportation Loans	463	484	0	0	0	0	484	948
Net Transfers - Others	(572)	(672)	(185)	(187)	(184)	(185)	(1,413)	(1,985)
Expenditures - Other Departmental	(629)	(629)	(631)	(635)	(637)	(630)	(3,162)	(3,791)
Total State Resources	\$5,453	\$3,783	\$3,845	\$3,926	\$3,994	\$4,067	\$19,615	\$25,068
Obligation Authority (OA)	\$3,588	\$3,672	\$3,757	\$3,845	\$3,934	\$4,026	\$19,234	\$22,822
August Redistribution	193	193	193	193	193	193	965	1,158
Other Federal Resources	(292)	(285)	(285)	(285)	(285)	(285)	(1,425)	(1,717)
Total Federal Resources	\$3,489	\$3,580	\$3,665	\$3,753	\$3,842	\$3,934	\$18,774	\$22,264
TOTAL STATE & FED RESOURCES	\$8,943	\$7,363	\$7,510	\$7,679	\$7,836	\$8,001	\$38,389	\$47,332
COMMITMENTS								
STATE OPERATIONS	(\$1,038)	(\$1,078)	(\$1,119)	(\$1,161)	(\$1,204)	(\$1,248)	(\$5,810)	(\$6,848)
MAINTENANCE	(\$1,377)	(\$1,417)	(\$1,458)	(\$1,501)	(\$1,544)	(\$1,589)	(\$7,510)	(\$8,887)
LOCAL ASSISTANCE (LA)								
Oversight (Partnership)	(\$168)	(\$169)	(\$162)	(\$158)	(\$150)	(\$144)	(\$785)	(\$953)
State & Federal LA	(1,459)	(1,584)	(1,664)	(1,542)	(1,574)	(1,608)	(7,971)	(9,429)
TOTAL LA	(\$1,627)	(\$1,753)	(\$1,826)	(\$1,700)	(\$1,724)	(\$1,752)	(\$8,755)	(\$10,382)
SHOPP CAPITAL OUTLAY SUPPORT (COS)								
SHOPP Major	(\$845)	(\$753)	(\$570)	(\$457)	(\$271)	(\$140)	(\$2,191)	(\$3,036)
SHOPP Minor	(71)	(123)	(127)	(129)	(132)	(135)	(645)	(717)
Stormwater	(50)	(50)	(50)	(50)	(50)	(50)	(249)	(298)
TOTAL SHOPP COS	(\$966)	(\$926)	(\$747)	(\$636)	(\$452)	(\$324)	(\$3,085)	(\$4,051)
SHOPP CAPITAL OUTLAY								
Major capital	(\$1,554)	(\$292)	(\$140)	(\$42)	(\$9)	\$0	(\$483)	(\$2,037)
Minor capital	(86)	(93)	(106)	(104)	(104)	(104)	(512)	(598)
R/W Project Delivery	(108)	(91)	(96)	(70)	(29)	(20)	(306)	(414)
Unprogrammed R/W	(5)	(3)	(1)	(2)	0	0	(6)	(11)
GARVEE Debt Service	(11)	0	0	0	0	0	0	(11)
TOTAL SHOPP CAPITAL OUTLAY	(\$1,765)	(\$479)	(\$343)	(\$219)	(\$142)	(\$124)	(\$1,307)	(\$3,072)
TOTAL NON-STIP COMMITMENTS	(\$6,774)	(\$5,653)	(\$5,493)	(\$5,217)	(\$5,066)	(\$5,037)	(\$26,466)	(\$33,240)
STIP LA								
STIP Off-System	(\$23)	(\$16)	(\$7)	(\$4)	(\$2)	(\$1)	(\$30)	(\$53)
Oversight (Partnership)	(16)	(16)	(16)	(15)	(15)	(14)	(76)	(92)
TOTAL STIP LA	(\$39)	(\$32)	(\$23)	(\$19)	(\$16)	(\$15)	(\$106)	(\$145)
STIP COS	(\$98)	(\$93)	(\$71)	(\$68)	(\$73)	(\$51)	(\$356)	(\$454)
STIP CAPITAL OUTLAY								
STIP On-System	(\$364)	(\$303)	(\$277)	(\$163)	(\$40)	\$0	(\$782)	(\$1,147)
R/W Project Delivery	(60)	(56)	(51)	(61)	(47)	(4)	(219)	(279)
Unprogrammed R/W	(6)	(4)	(6)	(7)	(5)	(1)	(23)	(29)
TOTAL STIP CAPITAL OUTLAY	(\$430)	(\$363)	(\$334)	(\$231)	(\$92)	(\$5)	(\$1,024)	(\$1,455)
TOTAL STIP COMMITMENTS	(\$567)	(\$489)	(\$428)	(\$318)	(\$181)	(\$70)	(\$1,487)	(\$2,054)
TOTAL RESOURCES AVAILABLE	\$1,602	\$1,221	\$1,588	\$2,144	\$2,589	\$2,893	\$10,436	\$12,038
SHOPP TARGET CAPACITY	\$2,700	\$2,800	\$2,700	\$2,500	\$2,400	2,400	\$12,800	\$15,500
STIP TARGET CAPACITY	\$620	\$667	\$695	\$670	\$245	\$245	\$2,521	\$3,141

Note: Individual numbers may not add to total due to independent rounding

This page left blank for reprographic purposes.

**The following two pages contain expanded detail of the
State Highway Account and Federal Trust Fund table on
page 30.**



2020 STIP FUND ESTIMATE
STATE HIGHWAY ACCOUNT & FEDERAL TRUST FUND DETAILS
(\$ in millions)

	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25	5-Year Total	6-Year Total
RESOURCES								
BEGINNING BALANCE	\$1,791							\$1,791
FUEL EXCISE TAXES								
State Base Excise Taxes on Fuel	\$2,064	\$2,168	\$2,202	\$2,245	\$2,283	\$2,324	\$11,221	\$13,285
Incremental Excise Taxes on Gasoline	1,345	1,391	1,425	1,462	1,486	1,491	7,255	8,601
Incremental Excise Taxes on Gasoline (STIP)	573	614	609	614	624	643	3,103	3,676
Total Fuel Excise Taxes	\$3,982	\$4,173	\$4,236	\$4,321	\$4,392	\$4,457	\$21,579	\$25,561
NET WEIGHT FEES								
Weight Fees	\$1,189	\$1,224	\$1,259	\$1,295	\$1,316	\$1,316	\$6,409	\$7,598
Less Weight Fee Debt Service	(1,189)	(1,224)	(1,259)	(1,295)	(1,316)	(1,316)	(6,409)	(7,598)
Net Weight Fees	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
MISCELLANEOUS REVENUES								
Transportation Improvement Fee for Congested Corridor	\$250	\$250	\$250	\$250	\$250	\$250	\$1,250	\$1,500
Freeway Service Patrol Supplement from RMRA	25	25	25	25	25	25	125	150
SMIF	42	48	49	48	48	48	242	284
Other Regulatory Lic. & Prmts	12	12	12	12	12	12	59	71
Rentals of State Property	49	51	52	51	50	51	255	305
Misc. Revenues	39	41	38	40	38	39	196	234
Total Miscellaneous Revenues	\$417	\$427	\$425	\$426	\$423	\$425	\$2,127	\$2,544
Loans and Loan Repayments								
SHA Weight Fees due from General Fund	\$388	\$484	\$0	\$0	\$0	\$0	\$484	\$873
SHA Pre-Proposition 42 due from General Fund	75	0	0	0	0	0	0	75
Total Loans and Loan Repayments	\$463	\$484	\$0	\$0	\$0	\$0	\$484	\$948
NET TRANSFERS - OTHERS								
Public Transportation Account per Sec 194 of the S&HC	(\$25)	(\$25)	(\$25)	(\$25)	(\$25)	(\$25)	(\$125)	(\$150)
Transportation Debt Service Fund per Sec 183 of the S&HC	(88)	(92)	(90)	(91)	(88)	(90)	(451)	(539)
Transportation Debt Service Fund per Sec 63048.67 of the GC	(388)	(484)	0	0	0	0	(484)	(873)
RSTP Exchange	(64)	(64)	(64)	(64)	(64)	(64)	(321)	(386)
MVA per Sec 16475 of the GC	1	1	1	1	1	1	4	5
MVA per Sec 42273 of the MVC	0	0	0	0	0	0	0	0
Environmental Enhancement & Mitigation	(7)	(7)	(7)	(7)	(7)	(7)	(35)	(42)
Total Net Transfers - Others	(\$572)	(\$672)	(\$185)	(\$187)	(\$184)	(\$185)	(\$1,413)	(\$1,985)
OTHER DEPARTMENTAL EXPENDITURES								
Active Transportation Program Set-Aside	(\$34)	(\$34)	(\$34)	(\$34)	(\$34)	(\$34)	(\$171)	(\$205)
Transportation Improvement Fee to Congested Corridor	(250)	(250)	(250)	(250)	(250)	(250)	(1,250)	(1,500)
RMRA Supplement to Freeway Service Patrol	(25)	(25)	(25)	(25)	(25)	(25)	(125)	(150)
DMV State Ops - Weight Fee Collection	(8)	(8)	(8)	(9)	(9)	(9)	(43)	(51)
CHP State Ops	(82)	(84)	(87)	(89)	(92)	(94)	(446)	(528)
California Transportation Commission	(3)	(2)	(2)	(2)	(2)	(2)	(11)	(14)
Public Utilities Commission	(8)	(6)	(7)	(7)	(7)	(7)	(34)	(42)
Air Resources Board	(1)	(1)	(1)	(1)	(1)	(1)	(4)	(5)
Statewide General Administration	(153)	(153)	(153)	(153)	(153)	(153)	(767)	(920)
Supplemental Pension Payments	(62)	(62)	(62)	(62)	(62)	(51)	(298)	(359)
Miscellaneous Departments	(3)	(3)	(2)	(3)	(3)	(3)	(13)	(16)
Total Expenditures (Other Departments)	(\$629)	(\$629)	(\$631)	(\$635)	(\$637)	(\$630)	(\$3,162)	(\$3,791)
TOTAL STATE RESOURCES	\$5,453	\$3,783	\$3,845	\$3,926	\$3,994	\$4,067	\$19,615	\$25,068
OBLIGATION AUTHORITY	\$3,588	\$3,672	\$3,757	\$3,845	\$3,934	\$4,026	\$19,234	\$22,822
AUGUST REDISTRIBUTION	\$193	\$193	\$193	\$193	\$193	\$193	\$965	\$1,158
OTHER FEDERAL RESOURCES								
Active Transportation Program	(\$89)	(\$89)	(\$89)	(\$89)	(\$89)	(\$89)	(\$443)	(\$531)
Coordinated Border Infrastructure	(23)	(16)	(16)	(16)	(16)	(16)	(80)	(103)
National Highway Freight Program	(99)	(99)	(99)	(99)	(99)	(99)	(494)	(593)
Section 164 Penalties	(34)	(34)	(34)	(34)	(34)	(34)	(172)	(207)
FTA Metro Planning	(47)	(47)	(47)	(47)	(47)	(47)	(236)	(283)
Total Other Federal Resources	(\$292)	(\$285)	(\$285)	(\$285)	(\$285)	(\$285)	(\$1,425)	(\$1,717)
TOTAL FEDERAL RESOURCES	\$3,489	\$3,580	\$3,665	\$3,753	\$3,842	\$3,934	\$18,774	\$22,264
TOTAL STATE & FEDERAL RESOURCES	\$8,943	\$7,363	\$7,510	\$7,679	\$7,836	\$8,001	\$38,389	\$47,332

Note: Individual number may not add to total due to independent rounding.

	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25	5-Year Total	6-Year Total
COMMITMENTS								
STATE OPERATIONS								
State Planning and Research	(\$53)	(\$55)	(\$56)	(\$58)	(\$60)	(\$61)	(\$290)	(\$343)
Traffic Operations	(237)	(244)	(251)	(259)	(266)	(274)	(1,295)	(1,532)
Local Assistance	(51)	(52)	(54)	(56)	(57)	(59)	(278)	(329)
Program Development	(36)	(37)	(38)	(40)	(41)	(42)	(198)	(235)
Legal	(134)	(138)	(142)	(146)	(151)	(155)	(732)	(867)
Mass Transportation	(0)	(0)	(0)	(0)	(0)	(0)	(0)	(0)
Rail	(1)	(1)	(1)	(1)	(1)	(1)	(3)	(4)
Transportation Planning	(71)	(73)	(75)	(77)	(80)	(82)	(388)	(459)
Administration	(401)	(413)	(424)	(437)	(449)	(462)	(2,186)	(2,587)
BCP Reservation	0	(10)	(20)	(30)	(40)	(50)	(150)	(150)
PIDS	(53)	(55)	(56)	(58)	(60)	(61)	(290)	(343)
Total State Operations	(\$1,038)	(\$1,078)	(\$1,119)	(\$1,161)	(\$1,204)	(\$1,248)	(\$5,810)	(\$6,848)
MAINTENANCE								
State Maintenance	(\$1,255)	(\$1,291)	(\$1,328)	(\$1,367)	(\$1,407)	(\$1,447)	(\$6,840)	(\$8,095)
Federal Maintenance and Bridge	(123)	(126)	(130)	(134)	(138)	(142)	(670)	(793)
Total Maintenance	(\$1,377)	(\$1,417)	(\$1,458)	(\$1,501)	(\$1,544)	(\$1,589)	(\$7,510)	(\$8,887)
LOCAL ASSISTANCE (LA)								
State LA	(\$327)	(\$422)	(\$465)	(\$307)	(\$297)	(\$292)	(\$1,783)	(\$2,110)
Federal LA	(1,364)	(1,395)	(1,426)	(1,458)	(1,491)	(1,524)	(7,294)	(8,658)
RSTP Exchange	64	64	64	64	64	64	321	386
Total LA State	(\$1,627)	(\$1,753)	(\$1,826)	(\$1,700)	(\$1,724)	(\$1,752)	(\$8,755)	(\$10,382)
SHOPP CAPITAL OUTLAY SUPPORT (COS)								
SHOPP Major	(\$273)	(\$242)	(\$176)	(\$139)	(\$81)	(\$42)	(\$680)	(\$954)
SHOPP Minor	(71)	(123)	(127)	(129)	(132)	(135)	(645)	(717)
SHOPP Stormwater	(50)	(50)	(50)	(50)	(50)	(50)	(249)	(298)
Federal	(572)	(511)	(394)	(318)	(190)	(97)	(1,510)	(2,083)
Total SHOPP COS	(\$966)	(\$926)	(\$747)	(\$636)	(\$452)	(\$324)	(\$3,085)	(\$4,051)
SHOPP CAPITAL OUTLAY								
State R/W Project Delivery	(\$65)	(\$68)	(\$72)	(\$53)	(\$22)	(\$15)	(\$230)	(\$295)
Unprogrammed R/W	(5)	(3)	(1)	(2)	0	0	(6)	(11)
Federal Right-of-Way (Project Delivery)	(43)	(23)	(24)	(17)	(7)	(5)	(76)	(119)
Fed SHOPP GARVEE Debt Service	(11)	0	0	0	0	0	0	(11)
State minor capital	(78)	(83)	(96)	(94)	(94)	(94)	(462)	(540)
State major capital	(465)	(292)	(140)	(42)	(9)	0	(483)	(948)
Federal minor capital	(8)	(10)	(10)	(10)	(10)	(10)	(50)	(58)
Federal major capital	(1,089)	0	0	0	0	0	0	(1,089)
Total SHOPP Capital Outlay	(\$1,765)	(\$479)	(\$343)	(\$219)	(\$142)	(\$124)	(\$1,307)	(\$3,072)
TOTAL NON-STIP COMMITMENTS	(\$6,774)	(\$5,653)	(\$5,493)	(\$5,217)	(\$5,066)	(\$5,037)	(\$26,466)	(\$33,240)
STIP LA								
Oversight (Partnership)	(\$16)	(\$16)	(\$16)	(\$15)	(\$15)	(\$14)	(\$76)	(\$92)
STIP Off-System	(23)	(16)	(7)	(4)	(2)	(1)	(30)	(53)
Total STIP LA	(\$39)	(\$32)	(\$23)	(\$19)	(\$16)	(\$15)	(\$106)	(\$145)
STIP COS								
Total STIP COS	(\$98)	(\$93)	(\$71)	(\$68)	(\$73)	(\$51)	(\$356)	(\$454)
STIP CAPITAL OUTLAY								
State R/W Project Delivery	(\$55)	(\$42)	(\$38)	(\$46)	(\$35)	(\$3)	(\$164)	(\$219)
Unprogrammed R/W	(6)	(4)	(6)	(7)	(5)	(1)	(23)	(29)
Federal R/W Project Delivery	(5)	(14)	(13)	(15)	(12)	(1)	(55)	(60)
STIP On-System	(364)	(303)	(277)	(163)	(40)	0	(782)	(1,147)
Total STIP Capital Outlay	(\$430)	(\$363)	(\$334)	(\$231)	(\$92)	(\$5)	(\$1,024)	(\$1,455)
Total STIP COMMITMENTS	(\$567)	(\$489)	(\$428)	(\$318)	(\$181)	(\$70)	(\$1,487)	(\$2,054)
TOTAL CASH AVAILABLE	\$1,602	\$1,221	\$1,588	\$2,144	\$2,589	\$2,893	\$10,436	\$12,038

Note: Individual numbers may not add due to independent rounding.

This page left blank for reprographic purposes.

APPENDIX B – ROAD MAINTENANCE & REHABILITATION ACCOUNT

SB 1 provides that, after specified allocations are made from available resources, 50 percent of the remaining balance deposited into the RMRA will be allocated to the Department for maintenance and SHOPP purposes. Revenues in the RMRA are derived from the 12 cents per gallon gas tax increase, the \$100 annual registration fee for zero-emission vehicles, 50 percent of the new 20 cents per gallon diesel tax, gasoline and diesel storage fees, and a portion of annual transportation improvement fees that are based upon vehicle market value.

Resources Available for Programming

The table below lists the total and annual SHOPP capacities available for the 2020 STIP FE. The RMRA provides an added \$4.8 billion of new programming capacity for the period covering 2020-21 through 2024-25. RMRA resources have already been included in the SHOPP capacity on page 13. However, the RMRA has been presented independently in further detail below, and on page 36.

2020 STIP FE RMRA Capacity - Included in Overall SHOPP Program Capacity (\$ in millions)								
	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25	5-Year Total	6-Year Total
2020 STIP FE RMRA Target Capacity	\$1,600	\$1,600	\$1,600	\$1,600	\$1,600	\$1,600	\$8,000	\$9,600
2018 RMRA SHOPP Program	1,600	1,600	1,600	0	0	0	3,200	4,800
New RMRA SHOPP Capacity	\$0	\$0	\$0	\$1,600	\$1,600	\$1,600	\$4,800	\$4,800
Cumulative Difference	\$0	\$0	\$0	\$1,600	\$3,200	\$4,800		

Note: Individual numbers may not add to total due to independent rounding.

RMRA Highlights

- Per SB 1, 50 percent of the remaining balance in the RMRA, after specified allocations, is identified for maintenance and the SHOPP. The other half is apportioned to cities and counties. The table above reflects the projected state portion over the FE period.
- SB 1 requires the Controller to annually deposit \$25 million into the SHA for appropriation by the Legislature to supplement the Freeway Service Patrol Program. This provides no new net resources to the SHA per the requirements in statute to dedicate the funding specifically for the Freeway Service Patrol Program.



**2020 STIP FUND ESTIMATE
ROAD MAINTENANCE & REHABILITATION ACCOUNT
(\$ millions)**

	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25	5-Year Total	6-Year Total
RESOURCES								
Beginning Balance	\$1,030							\$1,030
Bridges & Culverts	\$400	\$400	\$400	\$400	\$400	\$400	\$2,000	\$2,400
Maintenance & SHOPP	1,090	1,191	1,243	1,273	1,316	1,361	6,384	7,474
SMIF Interest	48	40	30	23	18	14	124	172
TOTAL RESOURCES	\$2,568	\$1,630	\$1,673	\$1,696	\$1,734	\$1,775	\$8,509	\$11,076
COMMITMENTS								
EXISTING COMMITMENTS								
Program Development	(\$9)	(\$9)	(\$10)	(\$10)	(\$10)	(\$10)	(\$49)	(\$58)
Statewide Planning	(19)	(19)	(20)	(20)	(21)	(21)	(101)	(119)
Maintenance	(400)	(273)	(259)	(259)	(259)	(259)	(1,309)	(1,709)
Capital Outlay Support	(160)	(135)	(118)	(102)	(90)	0	(446)	(606)
Capital Outlay	(1,131)	(141)	(159)	(76)	(27)	(27)	(430)	(1,561)
TOTAL EXISTING COMMITMENTS	(\$1,718)	(\$578)	(\$566)	(\$467)	(\$407)	(\$317)	(\$2,335)	(\$4,053)
TOTAL RESOURCES AVAILABLE	\$850	\$1,052	\$1,107	\$1,229	\$1,327	\$1,457	\$6,173	\$7,023
RMRA TARGET CAPACITY	\$1,600	\$1,600	\$1,600	\$1,600	\$1,600	\$1,600	\$8,000	\$9,600

Note: Individual numbers may not add to total due to independent rounding.

APPENDIX C - PUBLIC TRANSPORTATION ACCOUNT

PTA resources are primarily derived from the sales taxes on diesel fuel. The PTA funds the Department's transportation and airport planning activities, mass transportation, Intercity Rail programs, and STIP transit projects.

Resources Available for Programming

The PTA table below lists the total and annual transit STIP capacities available for the 2020 STIP. After funding planning, operations, and existing program commitments, the PTA will not be able to support \$503 million of programming identified in the 2018 PTA STIP for the period covering 2020-21 through 2024-25. Further details of PTA resources and expenditures are presented in the PTA FE table on page 39.

2020 STIP FE								
PTA Capacity - Included in Overall STIP Program Capacity								
(\$ in millions)								
	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25	5-Year Total	6-Year Total
2020 STIP FE PTA Target Capacity	\$15	\$15	\$10	\$0	\$0	\$0	\$25	\$40
2018 PTA STIP Program	54	191	83	255	0	0	528	582
New PTA STIP Capacity	(\$39)	(\$176)	(\$73)	(\$255)	\$0	\$0	(\$503)	(\$542)

Note: Individual numbers may not add to total due to independent rounding.

PTA Highlights

- SB 1 required a loan repayment from the GF to the PTA in the amount of \$256 million. The loan was to be repaid pursuant to subdivision (c) of Section 20 of Article XVI of the California Constitution by no later than June 30, 2020. Approximately two thirds of the loan has been repaid. The remaining balance of \$86 million is expected to be paid in 2019-20. Up to \$20 million from the total \$256 million was designated to local and regional agencies for climate change adaptation planning. The remainder was designated for the TIRCP.
- Pursuant to AB 1222, Local Mass Transit Providers must repay PTA loans within 60 days of the Federal District Court's ruling. SB 877 extended the repayment date of the loan made to Local Mass Transit Providers from the PTA in the State Transportation Fund from January 1, 2019 to January 1, 2021. The amount outstanding is estimated to be approximately \$14.2 million. The loan repayment to the PTA is expected in fiscal year 2020-21.

- As of 2017-18, SB 1 requires the Controller to annually deposit \$350 million plus annual adjustments for inflation, into the PTA. The revenue will be derived from transportation improvement fees created by SB 1. Statute requires 70 percent to be allocated to the TIRCP and the remaining 30 percent to be continuously appropriated for allocation to the STA program. This provides no new net resources to the STIP per the requirements in statute to dedicate this revenue source to the TIRCP and STA.
- SB 1 provided a four percent increase in diesel sales tax. Of the four percent, three and a half percent is dedicated to STA and the remaining half percent is held on a short-term basis in the PTA for later allocations to State Rail Assistance (SRA).
- Expenditures for Intercity Rail operations are based on estimates from the Division of Rail and Mass Transportation, and include Amtrak shared operating and capital costs.
- There are no AB 3090 cash reimbursements for PTA.



**2020 STIP FUND ESTIMATE
PUBLIC TRANSPORTATION ACCOUNT
(\$ in thousands)**

	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25	5-Year Total	6-Year Total
RESOURCES								
Beginning Balance	\$1,057,220							\$1,057,220
Adjustment for STA Transfer Timing	(191,359)							(191,359)
Sales Tax on Diesel	\$965,808	\$964,441	\$987,355	\$1,016,610	\$1,042,393	\$1,069,756	\$5,080,555	\$6,046,363
SMIF Interest Earned	22,432	19,151	15,891	13,368	10,710	8,563	67,681	90,113
Transfer from Aeronautics Account	30	30	30	30	30	30	150	180
Transfer from SHA (S&HC 194)	25,046	25,046	25,046	25,046	25,046	25,046	125,230	150,276
Loan Repayment from General Fund	86,000	0	0	0	0	0	0	86,000
Loan Repayment from Local Mass Transit Providers	0	14,165	0	0	0	0	14,165	14,165
Transportation Improvement Fee	358,750	367,719	376,912	386,335	395,993	405,893	1,932,852	2,291,602
TOTAL RESOURCES	\$2,323,927	\$1,390,551	\$1,405,234	\$1,441,389	\$1,474,171	\$1,509,288	\$7,220,633	\$9,544,560
State Transit Assistance (STA)	(\$696,519)	(\$695,527)	(\$712,167)	(\$733,412)	(\$752,135)	(\$772,013)	(\$3,665,253)	(\$4,361,772)
Commuter & Intercity Rail Set-Aside	(44,972)	(44,907)	(45,998)	(47,391)	(48,619)	(49,923)	(236,837)	(281,809)
TIRCP Set-Aside	(660,000)							(660,000)
SUBTOTAL AVAILABLE RESOURCES	\$922,436	\$650,118	\$647,069	\$660,586	\$673,418	\$687,352	\$3,318,543	\$4,240,979
COMMITMENTS								
STATE OPERATIONS								
Rail and Mass Transportation Support	(\$22,978)	(\$23,644)	(\$24,330)	(\$25,036)	(\$25,762)	(\$26,509)	(\$125,280)	(\$148,258)
Planning Staff and Support	(24,204)	(24,906)	(25,628)	(26,371)	(27,136)	(27,923)	(131,965)	(156,169)
California Transportation Commission	(3,697)	(3,800)	(3,322)	(3,419)	(3,518)	(3,620)	(17,679)	(21,376)
Institute of Transportation Studies	(980)	(980)	(980)	(980)	(980)	(980)	(4,900)	(5,880)
Public Utilities Commission	(7,731)	(7,955)	(8,186)	(8,423)	(8,668)	(8,919)	(42,151)	(49,882)
State Controller's Office	(19)	(20)	(20)	(21)	(21)	(22)	(104)	(123)
Secretary for Transportation Agency	(3,006)	(6)	(6)	(6)	(6)	(6)	(30)	(3,036)
Supplemental Pension Payments	(1,963)	(1,963)	(1,963)	(1,963)	(1,963)	(1,963)	(9,815)	(11,778)
TOTAL STATE OPERATIONS	(\$64,578)	(\$63,274)	(\$64,436)	(\$66,219)	(\$68,054)	(\$69,942)	(\$331,924)	(\$396,502)
INTERCITY RAIL								
Intercity Rail and Bus Operations	(\$130,800)	(\$130,800)	(\$130,800)	(\$130,800)	(\$130,800)	(\$130,800)	(\$654,000)	(\$784,800)
Heavy Equipment Maintenance and Acquisition	(18,000)	(18,000)	(18,000)	(18,000)	(18,000)	(18,000)	(90,000)	(108,000)
TOTAL INTERCITY RAIL	(\$148,800)	(\$148,800)	(\$148,800)	(\$148,800)	(\$148,800)	(\$148,800)	(\$744,000)	(\$892,800)
LOCAL ASSISTANCE								
Transportation Improvement Fee to TIRCP	(\$251,125)	(\$257,403)	(\$263,838)	(\$270,435)	(\$277,195)	(\$284,125)	(\$1,352,996)	(\$1,604,121)
Transportation Improvement Fee to STA	(107,625)	(110,316)	(113,074)	(115,901)	(118,798)	(121,768)	(579,856)	(687,481)
Climate Change Adaptation Planning	(3,271)	(3,271)	(3,271)	(3,271)	(3,271)	(3,271)	(16,355)	(19,625)
Loan Repayment to TIRCP	(86,000)	0	0	0	0	0	0	(86,000)
Bay Area Ferry Operations/Waterborne	(3,342)	(3,375)	(3,409)	(3,443)	(3,477)	(3,512)	(17,216)	(20,558)
TOTAL LOCAL ASSISTANCE	(\$451,363)	(\$374,365)	(\$383,592)	(\$393,049)	(\$402,741)	(\$412,676)	(\$1,966,422)	(\$2,417,785)
CAPITAL PROJECTS								
STIP - Mass Transportation*	(\$37,192)	(\$69,520)	(\$77,223)	(\$61,708)	(\$24,449)	(\$1,303)	(\$234,203)	(\$271,395)
STIP - Rail*	(23,175)	(74,878)	(83,899)	(53,887)	(15,382)	(7,126)	(235,172)	(258,347)
TOTAL CAPITAL PROJECTS	(\$60,367)	(\$144,398)	(\$161,122)	(\$115,595)	(\$39,831)	(\$8,429)	(\$469,375)	(\$529,742)
CASH AVAILABLE FOR PROGRAMMING	\$197,328	(\$80,720)	(\$110,880)	(\$63,076)	\$13,993	\$47,506	(\$193,178)	\$4,150
PTA STIP TARGET CAPACITY	\$15,000	\$15,000	\$10,000	\$0	\$0	\$0	\$25,000	\$40,000

Note: Individual numbers may not add to total due to independent rounding.

* Cash flow adjusted for unliquidated encumbrances.

This page left blank for reprographic purposes.

APPENDIX D – PROPOSITION 1A & 1B BONDS

Proposition 1A – Safe, Reliable, High-Speed, Passenger Train Bond Act for the 21st Century

[Section 2704.095 of the Streets and Highways Code]

Proposition 1A, approved by voters in November 2008 (not related to Proposition 1A of 2006) and codified as the Safe, Reliable, High-Speed, Passenger Train Bond Act for the 21st Century [Chapter 267, Statutes of 2008, (AB 3034)], authorized the issuance of \$9.95 billion in general obligation (GO) bonds to fund the construction of a high-speed train system that connects the state’s major rail terminals and links the state's major population centers. Of the \$9.95 billion in proceeds, \$9 billion will fund the planning and engineering for the high-speed train system, and capital costs to be funded according to the High-Speed Rail Authority’s certified environmental impact reports.

The remaining \$950 million, less bond administration costs, will be allocated by the Commission to eligible recipients for capital improvements to intercity and commuter rail lines, and urban rail systems that provide direct connectivity to the high-speed train system and its facilities, or that are part of the construction of the high-speed train.

REMAINING CAPACITY (\$ in thousands)

DESCRIPTION	INTERCITY RAIL TOTAL
Resources:	
Bond Authorization	\$950,000
Less: Administrative Costs ¹	(1,867)
Commitments:²	(931,000)
Total Commitments:	(932,867)
REMAINING CAPACITY:	\$17,133

ALLOCATIONS (\$ in thousands)

Description	2009-10 through 2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	Total
Capital Outlay	\$83,300	\$56,670	\$0	\$0	\$0	\$0	\$0	\$0	\$139,970
Local Assistance	45,500	661,083	0	0	0	0	0	0	706,583
Capital Outlay Support	0	0	0	0	0	0	0	0	0
Total Allocations³	\$128,800	\$717,753	\$0	\$0	\$0	\$0	\$0	\$0	\$846,553

ADMINISTRATIVE EXPENDITURES (\$ in thousands)

Description	2009-10 through 2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	Total
Caltrans	\$4	\$59	\$0	\$0	\$0	\$0	\$0	\$0	\$62
CTC	0	0	0	0	0	0	0	0	0
Other Admin Expenses	0	0	0	0	0	0	0	0	0
Total Expenditures⁴	\$4	\$59	\$0	\$0	\$0	\$0	\$0	\$0	\$62

Notes:

Individual numbers may not add to total due to independent rounding.

Remaining capacity represents estimated savings from 2% administrative set-aside.

¹ Estimated total cost of administration, subject to 2% limit of authorized bond amount, for Caltrans and CTC support; costs of bond issuance; PMIA loan administration; and STO, SCO, and DOF accounting-related fees.

² Total amounts programmed through June 30, 2019.

³ Total amounts allocated by CTC through June 30, 2019.

⁴ Actual expenditures charged against resources in footnote #1 above.



**Proposition 1B – Highway Safety, Traffic, Reduction, Air Quality, and Port Security
Bond Act of 2006**

Proposition 1B, approved by voters in November 2006, authorized the issuance of approximately \$19.9 billion in state general obligation bonds under the Highway Safety, Traffic Reduction, Air Quality, and Port Security Bond Act of 2006 [Chapter 181, Statutes of 2007 (SB 88)]. Of this amount, the Department administers \$15.6 billion, of which \$12 billion is allocated by the Commission and \$3.6 billion by the Controller. The objectives of Proposition 1B are to improve transportation, air quality, and port security through the creation of new transportation accounts and programs, and by providing new funding for existing programs.

Pages 43-53 display the status through June 30, 2019, of the following Proposition 1B accounts:

- Corridor Mobility Improvement Account
- Trade Corridors Improvement Fund
- Transportation Facilities Account
- Public Transit Modernization, Improvement & Service Enhancement Account
 - Intercity Rail Improvements
 - Local Transit
- State-Local Partnership Program Account
- Local Bridge Seismic Retrofit Account
- Highway-Railroad Crossing Safety Account
- Highway Safety, Rehabilitation, and Preservation Account
 - State Highway Operation and Protection Program
 - Traffic Light Synchronization Program
- State Route 99 Corridor Account

CORRIDOR MOBILITY IMPROVEMENT ACCOUNT

[Section 8879.23(a)(1), 8879.23(a)(6)(b), and 8879.50 of the Government Code]

The Corridor Mobility Improvement Account (CMIA) was established to fund performance improvements on the state highway system, or major access routes to the state highway system on the local road system that relieve congestion by expanding capacity, enhancing operations, or otherwise improving travel times within these high-congestion travel corridors. Projects were identified by the Department and regional or local transportation agencies and allocated by the Commission. The program had a December 31, 2012 deadline for allocating all project funds.

REMAINING CAPACITY (\$ in thousands)

DESCRIPTION	CMIA TOTAL
Resources:	
Bond Authorization	\$4,500,000
Less: Administrative Costs ¹	(23,000)
Commitments:²	
	(4,476,975)
Total Commitments:	(4,499,975)
REMAINING CAPACITY:	\$25

ALLOCATIONS (\$ in thousands)

Description	2007-08 through 2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	Total
Capital Outlay ^{3,4}	\$3,639,367	\$278,807	\$0	\$71,748	\$0	\$14,260	\$14,595	\$0	\$4,018,777
Local Assistance	15,845	0	0	0	0	0	0	0	15,845
Capital Outlay Support	442,353	0	0	0	0	0	0	0	442,353
Total Allocations⁵	\$4,097,565	\$278,807	\$0	\$71,748	\$0	\$14,260	\$14,595	\$0	\$4,476,975

ADMINISTRATIVE EXPENDITURES (\$ in thousands)

Description	2007-08 through 2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	Total
Caltrans	\$6,733	\$1,414	\$1,158	\$1,006	\$884	\$1,025	\$589	\$996	\$13,805
CTC	887	134	58	65	18	6	3	5	1,176
Other Admin Expenses	1,052	455	600	186	110	39	88	0	2,528
Total Expenditures⁶	\$8,672	\$2,003	\$1,815	\$1,257	\$1,012	\$1,070	\$680	\$1,001	\$17,509

Notes:

Individual numbers may not add to total due to independent rounding.

¹ Estimated total cost of administration, subject to 2% limit of authorized bond amount, for Caltrans and CTC support; costs of bond issuance; PMIA loan administration; and STO, SCO, and DOF accounting-related fees.

² Total amounts programmed through June 30, 2019.

³ Includes AB3x-20 American Recovery and Reinvestment Act loan of \$214,459,000 from the SHA to fund CMIA projects in 2009-10.

⁴ Allocated amounts for 2014-15, 2016-17, and 2017-18 represent administrative and project savings in accordance with the Proposition 1B savings policy established by the CTC in January 2014.

⁵ Total amounts allocated by CTC through June 30, 2019.

⁶ Actual expenditures charged against resources in footnote #1 above.



TRADE CORRIDORS IMPROVEMENT FUND

[Section 8879.23(c)(1)(A), 8879.50, and 8879.52 of the Government Code]

The Trade Corridors Improvement Fund (TCIF) was established to fund infrastructure improvements along federally-designated “Trade Corridors of National Significance” in the state, and along other corridors within the state that have a high volume of freight movement, as allocated by the Commission.

REMAINING CAPACITY (\$ in thousands)

DESCRIPTION	TCIF TOTAL
Resources:	
Bond Authorization	\$2,000,000
Less: Administrative Costs ¹	(15,000)
Commitments:²	
	(1,949,131)
Total Commitments:	(1,964,131)
REMAINING CAPACITY:	\$35,869

ALLOCATIONS (\$ in thousands)

Description	2007-08 through 2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	Total
Capital Outlay ³	\$743,875	\$94,547	\$35,867	\$34,752	\$8,525	\$35,680	\$35,262	\$1,310	\$989,818
Local Assistance	631,755	109,307	113,860	1,700	37,060	3,639	0	0	897,321
Capital Outlay Support ⁴	14,737	19,068	8,460	3,511	1,950	0	(976)	7,825	54,575
Total Allocations⁵	\$1,390,367	\$222,922	\$158,187	\$39,963	\$47,535	\$39,319	\$34,286	\$9,135	\$1,941,714

ADMINISTRATIVE EXPENDITURES (\$ in thousands)

Description	2007-08 through 2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	Total
Caltrans	\$3,166	\$518	\$525	\$1,179	\$903	\$822	\$685	\$819	\$8,617
CTC	801	98	56	63	17	35	15	31	1,116
Other Admin Expenses	57	82	447	295	198	70	73	0	1,222
Total Expenditures⁶	\$4,025	\$698	\$1,027	\$1,538	\$1,118	\$927	\$773	\$850	\$10,955

Notes:

Individual numbers may not add to total due to independent rounding.

¹ Estimated total cost of administration, subject to 2% limit of authorized bond amount, for Caltrans and CTC support; costs of bond issuance; PMIA loan administration; and STO, SCO, and DOF accounting-related fees.

² Total amounts programmed through June 30, 2019.

³ Includes AB3x-20 American Recovery and Reinvestment Act loan of \$66,804,000 from the SHA to fund TCIF projects in 2009-10.

⁴ Negative amount in 2017-18 represents a de-allocation of projects allocated in previous years.

⁵ Total amounts allocated by CTC through June 30, 2019.

⁶ Actual expenditures charged against resources in footnote #1 above.

TRANSPORTATION FACILITIES ACCOUNT

[Section 8879.23(e), 8879.50, and 8879.54 of the Government Code]

The Transportation Facilities Account (TFA) was established to augment funding for the STIP. Funds are made available to the Department, based on Legislative appropriation and allocation by the Commission, in the same manner as funds allocated for STIP projects under existing law.

REMAINING CAPACITY (\$ in thousands)

DESCRIPTION	TFA TOTAL
Resources:	
Bond Authorization	\$2,000,000
Less: Administrative Costs ¹	(17,000)
Commitments:²	
	(1,962,612)
Total Commitments:	(1,979,612)
REMAINING CAPACITY:	\$20,388

ALLOCATIONS (\$ in thousands)

Description	2007-08 through 2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	Total
Capital Outlay	\$1,381,824	\$15,496	\$0	\$69,065	\$0	\$0	\$3,942	\$18,800	\$1,489,128
Local Assistance	195,203	0	0	0	0	0	0	0	195,203
Capital Outlay Support ³	280,595		8,500	0	1,678	0	0	(12,492)	278,282
Total Allocations⁴	\$1,857,622	\$15,496	\$8,500	\$69,065	\$1,678	\$0	\$3,942	\$6,308	\$1,962,612

ADMINISTRATIVE EXPENDITURES (\$ in thousands)

Description	2007-08 through 2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	Total
Caltrans	\$7,275	\$1,056	\$974	\$613	\$458	\$418	\$401	\$442	\$11,636
CTC	332	85	52	59	16	0	0	0	543
Other Admin Expenses	703	64	92	30	23	12	20	0	944
Total Expenditures⁵	\$8,310	\$1,204	\$1,118	\$702	\$497	\$430	\$420	\$442	\$13,123

Notes:

Individual numbers may not add to total due to independent rounding.

¹ Estimated total cost of administration, subject to 2% limit of authorized bond amount, for Caltrans and CTC support; costs of bond issuance; PMIA loan administration; and STO, SCO, and DOF accounting-related fees.

² Total amounts programmed through June 30, 2019.

³ There was no COS allocated in 2018-19. The negative number represents savings recorded at close-out of projects allocated in previous years.

⁴ Total amounts allocated by CTC through June 30, 2019.

⁵ Actual expenditures charged against resources in footnote #1 above.



**PUBLIC TRANSPORTATION MODERNIZATION, IMPROVEMENT
AND SERVICE ENHANCEMENT ACCOUNT
INTERCITY RAIL PORTION (IRI)**

[Sections 8879.23(f)(2), 8879.23(f)(3), 8879.50, and 8879.55 of the Government Code]

The Public Transportation Modernization, Improvement and Service Enhancement Account (PTMISEA) was established to fund intercity rail improvements, including the procurement of additional intercity railcars and locomotives, as allocated by the Commission.

**REMAINING CAPACITY
(\$ in thousands)**

DESCRIPTION	IRI TOTAL
Resources:	
Bond Authorization	\$400,000
Less: Administrative Costs ¹	(7,000)
Commitments:²	(390,253)
Total Commitments:	(397,253)
REMAINING CAPACITY:	\$2,747

**ALLOCATIONS
(\$ in thousands)**

Description	2007-08 through 2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	Total
Capital Outlay	\$180,224	\$0	\$12,255	\$139,400	\$0	\$4,026	\$4,617	\$0	\$340,522
Local Assistance	0	0	0	0	0	0	0	0	0
Capital Outlay Support	0	0	0	0	0	0	0	0	0
Total Allocations³	\$180,224	\$0	\$12,255	\$139,400	\$0	\$4,026	\$4,617	\$0	\$340,522

**ADMINISTRATIVE EXPENDITURES
(\$ in thousands)**

Description	2007-08 through 2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	Total
Caltrans	\$1,465	\$364	\$319	\$263	\$285	\$286	\$231	\$268	\$3,482
CTC	89	24	15	10	4	12	5	9	169
Other Admin Expenses	34	12	31	34	53	29	61	0	253
Total Expenditures⁴	\$1,588	\$400	\$365	\$306	\$342	\$328	\$297	\$277	\$3,903

Notes:

Individual numbers may not add to total due to independent rounding.

¹ Estimated total cost of administration, subject to 2% limit of authorized bond amount, for Caltrans and CTC support; costs of bond issuance; PMIA loan administration; and STO, SCO, and DOF accounting-related fees.

² Total amounts programmed through June 30, 2019.

³ Total amounts allocated by CTC through June 30, 2019.

⁴ Actual expenditures charged against resources in footnote #1 above.

**PUBLIC TRANSPORTATION MODERNIZATION, IMPROVEMENT
AND SERVICE ENHANCEMENT ACCOUNT
LOCAL TRANSIT PORTION (TRANSIT)**

[Sections 8879.23(f)(1), 8879.23(f)(3), 8879.50, and 8879.55 of the Government Code]

The PTMISEA was established for intercity rail projects, commuter or urban rail operators, bus operators, waterborne transit operators and other transit operators for rehabilitation, safety or modernization improvements, capital service enhancements or expansions, new capital projects, bus or rapid transit improvements, rolling stock procurement, rehabilitation, or replacement. Administered by the Department, the Transit portion of \$3.6 billion is to be allocated by formula to eligible agencies by the State Controller's Office - \$1.8 billion pursuant to Public Utilities Code (PUC) section 99313 and \$1.8 billion pursuant to PUC section 99314.

**REMAINING CAPACITY
(\$ in thousands)**

DESCRIPTION	TRANSIT TOTAL
Resources:	
Bond Authorization	\$3,600,000
Less: Administrative Costs ¹	(11,702)
Commitments:²	(3,588,298)
Total Commitments:	3,600,000
REMAINING CAPACITY:	\$0

**ALLOCATIONS
(\$ in thousands)**

Description	2007-08 through 2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	Total
Capital Outlay	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Local Assistance ³	1,895,130	553,029	329,133	737,020	0	35,385	30,436	8,165	3,588,298
Capital Outlay Support	0	0	0	0	0	0	0	0	0
Total Allocations⁴	\$1,895,130	\$553,029	\$329,133	\$737,020	\$0	\$35,385	\$30,436	\$8,165	\$3,588,298

**ADMINISTRATIVE EXPENDITURES
(\$ in thousands)**

Description	2007-08 through 2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	Total
Caltrans	\$2,848	\$669	\$588	\$782	\$777	\$744	\$664	\$870	\$7,942
CTC	0	363	21	459	0	0	29	0	872
Other Admin Expenses	774	0	0	0	0	0	0	0	774
Total Expenditures⁵	\$3,622	\$1,033	\$609	\$1,240	\$777	\$744	\$693	\$870	\$9,588

Notes:

Individual numbers may not add to total due to independent rounding.

¹ Estimated total cost of administration, subject to 2% limit of authorized bond amount, for Caltrans and CTC support; costs of bond issuance; PMIA loan administration; and STO, SCO, and DOF accounting-related fees.

² Total amount available for local transit projects as of June 30, 2019, including original bond authorization and subsequent use of \$337,623 in Surplus Money Investment Fund (SMIF) investment earnings authorized by STO.

³ PTMISEA-Local Transit funds are allocated by the SCO, not the CTC, to eligible agencies pursuant to PUC Sections 99313 and 99314.

⁴ Total amounts allocated to local transit projects through June 30, 2019.

⁵ Actual expenditures charged against resources in footnote #1 above.



STATE-LOCAL PARTNERSHIP PROGRAM
 [Section 8879.23(g) 8879.50, and Sections 8879.66 through 8879.76
 of the Government Code]

The State-Local Partnership Program (SLPP) provides dollar-for-dollar matching funds for eligible transportation projects nominated by applicant transportation agencies and allocated by the Commission.

REMAINING CAPACITY
 (\$ in thousands)

DESCRIPTION	SLPP TOTAL
Resources:	
Bond Authorization	\$1,000,000
Less: Administrative Costs ¹	(19,008)
Commitments:²	(980,992)
Total Commitments:	(1,000,000)
REMAINING CAPACITY:	\$0

ALLOCATIONS
 (\$ in thousands)

Description	2007-08 through 2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	Total
Capital Outlay	\$129,713	\$149,645	\$0	\$0	\$0	\$0	\$0	\$0	\$279,358
Local Assistance	336,139	355,045	0	0	0	0	0	0	691,184
Capital Outlay Support	0	10,450	0	0	0	0	0	0	10,450
Total Allocations³	\$465,852	\$515,140	\$0	\$0	\$0	\$0	\$0	\$0	\$980,992

ADMINISTRATIVE EXPENDITURES
 (\$ in thousands)

Description	2007-08 through 2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	Total
Caltrans	\$1,544	\$534	\$656	\$1,179	\$1,114	\$1,041	\$581	\$1,066	\$7,715
CTC	167	64	27	30	8	6	3	5	310
Other Admin Expenses	64	123	168	92	49	16	15	0	528
Total Expenditures⁴	\$1,775	\$722	\$850	\$1,301	\$1,172	\$1,063	\$599	\$1,071	\$8,552

Notes:

Individual numbers may not add to total due to independent rounding.

¹ Estimated total cost of administration, subject to 2% limit of authorized bond amount, for Caltrans and CTC support; costs of bond issuance; PMIA loan administration; and STO, SCO, and DOF accounting-related fees.

² Total amounts programmed through June 30, 2019.

³ Total amounts allocated by CTC through June 30, 2019.

⁴ Actual expenditures charged against resources in footnote #1 above.

LOCAL BRIDGE SEISMIC RETROFIT ACCOUNT

[Sections 8879.23(i), 8879.50, and 8879.62 of the Government Code]

The Local Bridge Seismic Retrofit Account (LSBRA) was established to provide the funds needed to match federal Highway Bridge Replacement and Rehabilitation funds available to the state for seismic work on local bridges, ramps, and overpasses, as identified by the Department.

REMAINING CAPACITY (\$ in thousands)

DESCRIPTION	LBSRA TOTAL
Resources:	
Bond Authorization	\$125,000
Less: Administrative Costs ¹	(3,750)
Commitments:²	
	(121,250)
Total Commitments:	(125,000)
REMAINING CAPACITY:	\$0

ALLOCATIONS (\$ in thousands)

Description	2007-08 through 2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	Total
Capital Outlay	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Local Assistance	35,101	4,041	11,201	7,137	10,239	9,793	2,187	0	79,700
Capital Outlay Support	0	0	0	0	0	0	0	0	0
Total Allocations³	\$35,101	\$4,041	\$11,201	\$7,137	\$10,239	\$9,793	\$2,187	\$0	\$79,700

ADMINISTRATIVE EXPENDITURES (\$ in thousands)

Description	2007-08 through 2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	Total
Caltrans ⁴	\$3,128	\$496	\$688	\$391	\$323	\$264	\$252	\$209	\$5,750
CTC	15	5	2	3	1	6	3	5	40
Other Admin Expenses	16	7	5	2	11	7	5	0	54
Total Expenditures⁵	\$3,160	\$507	\$695	\$396	\$335	\$277	\$260	\$214	\$5,844

Notes:

Individual numbers may not add to total due to independent rounding.

¹ Estimated total cost of administration, subject to 3% limit of authorized bond amount, for Caltrans and CTC support; costs of bond issuance; PMIA loan administration; and STO, SCO, and DOF accounting-related fees.

² Total amounts programmed through June 30, 2019.

³ Total amounts allocated by CTC through June 30, 2019.

⁴ These costs include project engineering work that will be counted as part of the 98% of program funds available for projects as it is project-related work, rather than administrative. Administrative costs will not exceed the amount of bond funds available for program administration.

⁵ Actual expenditures charged against resources in footnote #1 above.



HIGHWAY-RAILROAD CROSSING SAFETY ACCOUNT

[Sections 8879.23(j)(1), 8879.23(j)(2), 8879.50, and 8879.63 of the Government Code]

The Highway-Railroad Crossing Safety Account (HRCSA) was established to fund the completion of high-priority grade separation and railroad crossing safety improvements pursuant to Chapter 10 (Sections 2450 through 2461) of Division Three of the Streets and Highways Code (S&HC), except that a dollar-for-dollar matching of non-state funds shall be provided for each project.

REMAINING CAPACITY (\$ in thousands)

DESCRIPTION	HRCSA TOTAL
Resources:	
Bond Authorization	\$250,000
Less: Administrative Costs ¹	(5,000)
Commitments:²	(242,203)
Total Commitments:	(247,203)
REMAINING CAPACITY:	\$2,797

ALLOCATIONS (\$ in thousands)

Description	2007-08 through 2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	Total
Capital Outlay	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Local Assistance	182,893	38,298	0	0	18,306	2,706	0	0	242,203
Capital Outlay Support	0	0	0	0	0	0	0	0	0
Total Allocations³	\$182,893	\$38,298	\$0	\$0	\$18,306	\$2,706	\$0	\$0	\$242,203

ADMINISTRATIVE EXPENDITURES (\$ in thousands)

Description	2007-08 through 2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	Total
Caltrans	\$1,531	\$637	\$403	\$369	\$387	\$373	\$230	\$359	\$4,289
CTC	88	19	9	12	3	22	10	13	176
Other Admin Expenses	43	10	25	17	16	5	7	0	122
Total Expenditures⁴	\$1,661	\$666	\$437	\$398	\$406	\$400	\$247	\$372	\$4,587

Notes:

Individual numbers may not add to total due to independent rounding.

¹ Estimated total cost of administration, subject to 2% limit of authorized bond amount, for Caltrans and CTC support; costs of bond issuance; PMIA loan administration; and STO, SCO, and DOF accounting-related fees.

² Total amounts programmed through June 30, 2019.

³ Total amounts allocated by CTC through June 30, 2019.

⁴ Actual expenditures charged against resources in footnote #1 above.

HIGHWAY SAFETY, REHABILITATION, AND PRESERVATION ACCOUNT

[Sections 8879.23 (k)(1), 8879.50, and 8879.64 of the Government Code]

The Highway Safety, Rehabilitation, and Preservation Account (HSRPA) was established to fund the SHOPP as described in Section 14526.5 of the GC.

REMAINING CAPACITY (\$ in thousands)

DESCRIPTION	HSRPA TOTAL
Resources:	
Bond Authorization	\$500,000
Less: Administrative Costs ¹	(10,000)
Commitments:²	(484,531)
Total Commitments:	(494,531)
REMAINING CAPACITY:	\$5,469

ALLOCATIONS (\$ in thousands)

Description	2007-08 through 2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	Total
Capital Outlay	\$280,967	\$43,029	\$751	\$0	\$0	\$0	\$79,747	\$0	\$404,494
Local Assistance	0	0	0	0	0	0	0	0	0
Capital Outlay Support ³	100,451	0	0	3	0	0	0	(23,674)	76,780
Total Allocations⁴	\$381,418	\$43,029	\$751	\$3	\$0	\$0	\$79,747	(\$23,674)	\$481,274

ADMINISTRATIVE EXPENDITURES (\$ in thousands)

Description	2007-08 through 2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	Total
Caltrans	\$2,249	\$510	\$1,335	\$462	\$457	\$322	\$140	\$4	\$5,480
CTC	0	0	0	0	0	0	0	0	0
Other Admin Expenses	169	10	25	11	3	1	32	0	251
Total Expenditures⁵	\$2,419	\$519	\$1,360	\$472	\$460	\$323	\$173	\$4	\$5,730

Notes:

Individual numbers may not add to total due to independent rounding.

¹ Estimated total cost of administration, subject to 2% limit of authorized bond amount, for Caltrans and CTC support; costs of bond issuance; PMIA loan administration; and STO, SCO, and DOF accounting-related fees.

² Total amounts programmed through June 30, 2019.

³ There was no COS allocated in 2018-19. The negative number represents savings recorded at close-out of projects allocated in previous years.

⁴ Total amounts allocated by CTC through June 30, 2019.

⁵ Actual expenditures charged against resources in footnote #1 above.



**HIGHWAY SAFETY, REHABILITATION, AND PRESERVATION ACCOUNT
TRAFFIC LIGHT SYNCHRONIZATION PROGRAM PORTION**
[Sections 8879.23 (k)(2), 8879.50, and 8879.64 of the Government Code]

The HSRPA was established to fund the SHOPP, as described in Section 14526.5 of the GC, for the Traffic Light Synchronization Program and be used on other technology-based projects; and to improve safety, operations, and the effective capacity of local streets and roads.

REMAINING CAPACITY
(\$ in thousands)

DESCRIPTION	TLSP TOTAL
Resources:	
Bond Authorization	\$250,000
Less: Administrative Costs ¹	(5,000)
Commitments:²	(227,125)
Total Commitments:	(232,125)
REMAINING CAPACITY:	\$17,875

ALLOCATIONS
(\$ in thousands)

Description	2007-08 through 2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	Total
Capital Outlay	\$4,428	\$5,843	\$0	\$0	\$0	\$0	\$0	\$0	\$10,271
Local Assistance	189,217	9,266	0	10,534	0	6,315	0	0	215,332
Capital Outlay Support ³	1,000	530	0	0	0	0	0	(9)	1,521
Total Allocations⁴	\$194,646	\$15,639	\$0	\$10,534	\$0	\$6,315	\$0	(\$9)	\$227,125

ADMINISTRATIVE EXPENDITURES
(\$ in thousands)

Description	2007-08 through 2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	Total
Caltrans	\$1,527	\$311	\$318	\$397	\$331	\$278	\$292	\$501	\$3,955
CTC	87	41	24	27	7	18	8	15	228
Other Admin Expenses	57	19	15	11	9	4	4	0	119
Total Expenditures⁵	\$1,671	\$371	\$357	\$435	\$347	\$300	\$304	\$516	\$4,302

Notes:

Individual numbers may not add to total due to independent rounding.

¹ Estimated total cost of administration, subject to 2% limit of authorized bond amount, for Caltrans and CTC support; costs of bond issuance; PMIA loan administration; and STO, SCO, and DOF accounting-related fees.

² Total amounts programmed through June 30, 2019.

³ Negative amount in 2018-19 represents a de-allocation of projects allocated in previous years.

⁴ Total amounts allocated by CTC through June 30, 2019.

⁵ Actual expenditures charged against resources in footnote #1 above.

STATE ROUTE 99 ACCOUNT

[Sections 8879.23(b), 8879.50, and 8879.51 of the Government Code]

The State Route 99 Account (SR 99) was established to provide funding for safety, operational enhancements, rehabilitation, or capacity improvements for the SR 99 corridor that traverses approximately 400 miles of California's Central Valley.

REMAINING CAPACITY (\$ in thousands)

DESCRIPTION	SR 99 TOTAL
Resources:	
Bond Authorization	\$1,000,000
Less: Administrative Costs ¹	(6,000)
Commitments:²	
	(968,133)
Total Commitments:	(974,133)
REMAINING CAPACITY:	\$25,867

ALLOCATIONS (\$ in thousands)

Description	2007-08 through 2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	Total
Capital Outlay ³	\$678,018	\$64,980	\$37,118	\$377	\$0	\$12,380	\$20,308	\$7,600	\$820,780
Local Assistance	0	0	0	0	0	0	0	0	0
Capital Outlay Support ⁴	131,139	(8)	0	0	9,454	0	1,995	4,773	147,353
Total Allocations⁵	\$809,157	\$64,972	\$37,118	\$377	\$9,454	\$12,380	\$22,303	\$12,373	\$968,133

ADMINISTRATIVE EXPENDITURES (\$ in thousands)

Description	2007-08 through 2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	Total
Caltrans	\$2,304	\$231	\$251	\$348	\$185	\$296	\$150	\$289	\$4,054
CTC	0	0	0	0	0	12	5	9	26
Other Admin Expenses	150	51	160	78	36	12	2	0	490
Total Expenditures⁶	\$2,454	\$282	\$412	\$426	\$222	\$320	\$156	\$299	\$4,570

Notes:

Individual numbers may not add to total due to independent rounding.

¹ Estimated total cost of administration, subject to 2% limit of authorized bond amount, for Caltrans and CTC support; costs of bond issuance; PMIA loan administration; and STO, SCO, and DOF accounting-related fees.

² Total amounts programmed through June 30, 2019.

³ Includes AB3x-20 American Recovery and Reinvestment Act loan of \$19,061,000 from the SHA to fund SR 99 projects in 2009-10.

⁴ Negative number is the result of de-allocations because of savings exceeding the amount allocated in 2012-13.

⁵ Total amounts allocated by CTC through June 30, 2019.

⁶ Actual expenditures charged against resources in footnote #1 above.

This page left blank for reprographic purposes.

APPENDIX E – 2020 STIP FUND ESTIMATE ASSUMPTIONS BY FUND

The Commission adopted the assumptions used in the development of the 2020 STIP FE on May 15, 2019. Since the May Commission meeting, the Department consulted with Commission staff regarding the need to change or add certain assumptions. A summary of the adopted assumptions including changes are listed below. Significant modifications or additions were denoted in this appendix with [brackets].

Significant Modifications or Additions

- SHA 8 has been modified to disallow the use of the APDE in the 2020 STIP FE.
- SHA 16 has been modified to add further detail regarding the budget change proposal reservation.
- At the October 2019 Commission meeting, an amendment to Resolution G-19-05 was approved to increase funding for the SHOPP Minor Program to \$250 million, beginning in 2020-21 (see Appendix H, pages 71-74).

State Highway Account (SHA):

Operating Cash Balance

- SHA 1.** Based on an ongoing analysis of monthly SHA receipts less expenditures, a minimum level of operating cash of \$415 million would sufficiently cover 90 percent of the monthly volatility in the SHA.

SHA Revenues & Transfers

- SHA 2.** Assume an incremental excise tax rate of 17.3 cents per gallon, as required by SB 1, in 2019-20 with an annual adjustment for inflation beginning in 2020-21.
- SHA 3.** Assume weight fee revenues will increase annually based upon a projection provided by the Department of Finance.
- SHA 4.** Revenues from Other Regulatory Licenses and Permits will total approximately \$59 million over the FE period based on revenue model projections.
- SHA 5.** S&HC Section 183.1 revenues, not subject to Article XIX of the State Constitution, will be transferred from the SHA to the TDSF in perpetuity.
- SHA 6.** Section 194 transfers are based on PTA state operations expenditures and are projected to remain constant at approximately \$25 million a year over the FE period.

- SHA 7.** Assume the Controller will not make any transfers to the SHA from the Motor Vehicle Account over the FE period.

Advanced Project Development Element (APDE)

- SHA 8.** [Capacity in the 2020 STIP FE does not allow for APDE.]

Federal Revenues

- SHA 9.** Assume OA is equal to the FFY 2018 level of \$3.43 billion and escalated annually based on the approximate inflationary funding rate remaining within the FAST Act funding window.
- SHA 10.** The 2020 FE assumes an August Redistribution of \$193 million per year based on the average amount received by California from 2010-11 through 2016-17. The Redistribution will be split approximately \$121 million (63 percent) to the state, and \$72 million (37 percent) to the local agencies.
- SHA 11.** The 2020 FE does not include any supplemental funding received under the Federal-aid Highway Emergency Relief Program. This program, commonly referred to as the Emergency Relief Program, supplements the commitment of resources by states, their political subdivisions, or other Federal agencies to help pay for unusually heavy expenses resulting from extraordinary conditions.
- SHA 12.** In order to utilize a portion of FAST Act funds for Coordinated Border Infrastructure (CBI) projects, the 2020 FE includes a \$16 million annual “set-aside” to be reserved from the state’s share of “any-area” Surface Transportation Block Grant Program (STBGP) funds. This will not impact any federal funding available to local agencies. The amount proposed for set-aside is equal to five percent of “any-area” STBGP funds retained by the state and is well within the amount allowed in the FAST Act.

Advanced Construction (AC)

- SHA 13.** The Department will maintain an AC level that is equivalent to one year’s worth of OA. AC will be used as a cash management tool and as a reservation of federal eligible projects to hedge against increases to available federal resources.

Loan Repayments

- SHA 14.** The 2020 FE will display that the final Pre-Proposition 42 loan repayment is scheduled to occur in 2019-20.

- SHA 15.** The 2020 FE will display repayment of weight fee revenue loans owed to the SHA and subsequent outgoing transfer to the TDSF as shown.

State Expenditures

- SHA 16.** The 2020 STIP FE will include a total budget change proposal reservation of \$150 million over the five-year FE period [for use by the Department or Commission.]

Local Assistance (LA)

- SHA 17.** State expenditures assume allocations of approximately \$131 million per year over the FE period, consistent with the Commission's 2018-19 initial annual allocation for Local Assistance (Resolution FM-17-03).

STIP

- SHA 18.** Capital Outlay Support (COS) expenditures are based on a continuation of all STIP components programmed prior to 2019-20 and all STIP components programmed to begin in 2019-20.
- SHA 19.** Capital expenditures are based on a continuation of all STIP project allocations prior to 2018-19, allocations in 2018-19, projects programmed in 2018-19, but not yet allocated, and projects programmed in 2019-20.
- SHA 20.** Prior R/W commitments are defined as all R/W projects in the STIP that are programmed for 2019-20 and prior years.
- SHA 21.** Non-programmed STIP R/W includes an annual estimate based on forecasted R/W annual allocations of non-programmed R/W components for project development fees, inverse condemnation, and post-certification costs.
- SHA 22.** Capital project costs shall be escalated at 3.2 percent annually, using recent economic forecasted data provided by IHS Global Insight that pertains to Highway & Street Construction Cost Index changes.

GARVEE

- SHA 23.** The 2020 FE displays GARVEE debt service payments of about \$11.39 million for SHOPP in the base year of the FE only. GARVEE debt service payments for SHOPP will end in 2019-20. GARVEE debt service payments for STIP ended in 2014-15.

SHOPP

- SHA 24.** COS expenditures are based on a continuation of all SHOPP components programmed prior to 2019-20, SHOPP preliminary engineering components programmed in 2019-20, and SHOPP construction engineering components programmed to begin in 2019-20.
- SHA 25.** Prior R/W commitments are defined as all R/W projects in the SHOPP that are programmed for 2019-20 and prior years.
- SHA 26.** Non-programmed SHOPP R/W includes an annual estimate based on forecasted R/W annual allocations of non-programmed R/W components for inverse condemnation and post-certification costs.
- SHA 27.** Capital expenditures are based on a continuation of all SHOPP project allocations prior to 2019-20, 2018-19 programmed projects not yet allocated, projects programmed in 2019-20, and GARVEE debt service payments.
- SHA 28.** Capital project costs shall be escalated at 3.2 percent annually, using recent economic forecasted data provided by IHS Global Insight that pertains to Highway & Street Construction Cost Index changes.
- SHA 29.** Preparation costs for Project Initiation Documents (PID's) are included as a component of state operation expenditures and are based on the latest available data for base year relating to SHOPP as well as non-SHOPP PID's. Costs are escalated over the FE period at a rate consistent with other state operation expenditures.
- SHA 30.** Closeout capital savings average approximately five percent. This is primarily due to unused contingency funds. The 2020 FE assumes a five percent increase to programming capacity in order to offset these savings.

Active Transportation Program (ATP)

- SHA 31.** The ATP receives approximately \$123 million annually and is consistent with the 2019 ATP FE adopted by the Commission in May 2018. ATP funding is not available for SHOPP or STIP capacity.
- SHA 32.** Per SB 1, \$100 million in remaining revenues shall be made available annually from the RMRA for expenditure, upon appropriation by the Legislature, for ATP projects and are to be allocated by the Commission.
- SHA 33.** The Department will utilize project cash flow schedules provided by local agencies. SB 132 Project Commitments as estimated by local agencies are displayed as a line item on the Final 2018 FE within the SHA & FTF tables.

Road Maintenance & Rehabilitation Account:

Available Balance & Resources

- RMRA 1.** The Department will use the most recently calculated set of pending distributions from the RMRA after priority allocations to arrive at an estimated beginning balance.
- RMRA 2.** Annual, ongoing resources dedicated to the Department for maintenance and SHOPP purposes are provided by DOF. The Department will utilize the most recent values provided by DOF to estimate maintenance and SHOPP resources over the five-year FE period.
- RMRA 3.** Per SB 1, \$100 million in remaining revenues shall be made available annually from the RMRA for expenditure, upon appropriation by the Legislature, for ATP projects and are to be allocated by the Commission.

Maintenance

- RMRA 4.** Maintenance expenditures for 2019-20 are based on estimated program needs to cover current support positions in 2018-19 as well as proposed positions for 2019-20. The balance of projected expenditures will be divided between bridges and culverts, highway maintenance, and field work. Limited-term costs for equipment are expected to be fully absorbed within position costs by end of 2021-22, which should lower position costs in the out years of the FE. Maintenance costs for 2021-22 through 2024-25 are assumed flat.

Capital Outlay

- RMRA 5.** Capital expenditures are based on a continuation of all RMRA project allocations prior to 2019-20, 2018-19 programmed projects not yet allocated, and projects programmed in 2019-20.

Capital Outlay Support

- RMRA 6.** COS expenditures are based on a continuation of all RMRA components programmed prior to 2019-20, RMRA preliminary engineering components programmed in 2019-20, and RMRA construction engineering components programmed to begin in 2019-20.



Public Transportation Account:

Operating Cash Balance

- PTA 1.** Based on historical data and projected expenditures from updated analysis of monthly PTA receipts less expenditures, a minimum level of operating cash of \$100 million would sufficiently cover 95 percent of the monthly volatility in the PTA.

Revenues

- PTA 2.** The Department will utilize the most recently projected DOF estimated values of net Retail and Sales and Use Tax to calculate the percentage splits that flow out of the PTA to STA and to Commuter & Intercity Rail per SB 1.

Transfers

- PTA 3.** Section 21682.5 of the Public Utilities Code requires an annual transfer equal to the pro rata share of transportation duties attributable to aviation planning and research from the Aeronautics Account. This amount is projected to remain constant at \$30,000 in each year of the FE.

State Operations

- PTA 4.** Assume no reservations for budget change proposals or finance letters over the five-year FE period.
- PTA 5.** Intercity rail is part of state operations expenditures in the PTA.
- A. Intercity rail and bus operations base expenditures for existing services (including one month of the San Joaquin Service 8th & 9th Roundtrip and one year of Pacific Surfliner Service 13th Roundtrip) will be used to forecast 2019-20 and costs will remain unadjusted over the five-year FE period.
 - B. The Department's estimated need for rail heavy equipment maintenance, acquisition, technical services, and overhaul over the FE period is approximately \$108 million.

Local Assistance

- PTA 6.** Bay Area Ferry operation expenditures will escalate by one percent per year based on the signed cooperative agreement between the Department, Metropolitan Transportation Commission, and Bay Area Toll Authority on November 15, 2000.

PTA 7. Capital expenditures are based on a continuation of all STIP components allocated prior to 2019-20, all STIP components programmed to begin in 2019-20, and non-highway AB 3090 projects.

PTA 8. The Department assumes a 10-year allocation schedule as offered by CalSTA for the expected schedule of project cash flows to ACE from the PTA. It is estimated that as much as \$310 million could be allocated between 2019-20 and 2024-25. Assume that TIRCP will absorb the ACE impact to PTA resources totaling \$310 million in the 2020 FE.

Bonds:

Allocations

Bond 1. The 2020 FE will display remaining capacity and a history of allocations and expenditures for all Proposition 1A and Proposition 1B general obligation bond funds administered by the Department. Bond funding is expected to be received semi-annually, as the Treasurer's practice is to sell general obligation bonds in the Spring and Fall. It is assumed that the Department will continue to receive bond proceeds from future sales on an as needed basis, with the amount of proceeds received being based on projected cash needs for the ensuing six months.

This page left blank for reprographic purposes.

APPENDIX F – STATUTES REGARDING THE STIP FUND ESTIMATE

Government Code

§14524. (a) Not later than July 15, 2001, and July 15 of each odd-numbered year thereafter, the department shall submit to the commission a five-year estimate pursuant to Section 164 of the Streets and Highways Code, in annual increments, of all federal and state funds reasonably expected to be available during the following five fiscal years.

(b) The estimate shall specify the amount that may be programmed in each county for regional improvement programs pursuant to paragraph (2) of subdivision (a) of Section 164 of the Streets and Highways Code and shall identify any statutory restriction on the use of particular funds.

(c) For the purpose of estimating revenues, the department shall assume that there will be no changes in existing state and federal statutes. Federal funds available for demonstration projects that are not subject to federal obligational authority, or are accompanied with their own dedicated obligational authority, shall not be considered funds that would otherwise be available to the state and shall not be included in the fund estimate.

(d) The method by which the estimate is determined shall be determined by the commission, in consultation with the department, transportation planning agencies, and county transportation commissions.

(Amended by Stats. 2000, Ch. 91, Sec. 1. Effective July 7, 2000.)

§14525. (a) Not later than August 15, 2001, and August 15 of each odd-numbered year thereafter, the commission shall adopt a five-year estimate pursuant to Section 164 of the Streets and Highways Code, in annual increments, of all state and federal funds reasonably expected to be available during the following five fiscal years.

(b) The estimate shall specify the amount that may be programmed in each county for regional improvement programs under paragraph (2) of subdivision (a) of Section 164 of the Streets and Highways Code and shall identify any statutory restriction on the use of particular funds.

(c) For the purpose of estimating revenues, the commission shall assume that there will be no change in existing state and federal statutes. Federal funds available for demonstration projects that are not subject to federal obligational authority, or are accompanied with their own dedicated obligational authority, shall not be considered funds that would otherwise be available to the state and shall not be included in the fund estimate.

(d) If the commission finds that legislation pending before the Legislature or the United States Congress may have a significant impact on the fund estimate, the commission may postpone the adoption of the fund estimate for no more than 90 days. Prior to March 1 of each even-numbered year, the commission may amend the estimate following consultation with the department, transportation planning agencies, and county transportation commissions to account for unexpected revenues or other unforeseen circumstances.

In the event the fund estimate is amended, the commission shall extend the dates for the submittal of improvement programs as specified in Sections 14526 and 14527 and for the adoption of the state transportation improvement program pursuant to Section 14529.

(Amended by Stats. 2000, Ch. 91, Sec. 2. Effective July 7, 2000.)

§14525.1. The department and the commission shall use an inflation rate that has been established by the Department of Finance. The Department of Finance shall consult with the Legislative Analyst and the Department of Transportation when calculating the inflation rate for this purpose.

(Repealed and added by Stats. 1989, Ch. 105, Sec. 7. Effective July 10, 1989.)

§14529. (a) The state transportation improvement program shall include a listing of all capital improvement projects that are expected to receive an allocation of state transportation funds under Section 164 of the Streets and Highways Code, including revenues from transportation bond acts, from the commission during the following five fiscal years. It shall include, and be limited to, the projects to be funded with the following:

- (1) Interregional improvement funds.
 - (2) Regional improvement funds.
- (b) For each project, the program shall specify the allocation or expenditure amount and the allocation or expenditure year for each of the following project components:
- (1) Completion of all permits and environmental studies.
 - (2) Preparation of plans, specifications, and estimates.
 - (3) The acquisition of rights-of-way, including, but not limited to, support activities.
 - (4) Construction and construction management and engineering, including surveys and inspection.
- (c) Funding for right-of-way acquisition and construction for a project may be included in the program only if the commission makes a finding that the sponsoring agency will complete the environmental process and can proceed with right-of-way acquisition or construction within the five-year period. No allocation for right-of-way acquisition or construction shall be made until the completion of the environmental studies and the selection of a preferred alternative.
- (d) The commission shall adopt and submit to the Legislature and the Governor, not later than April 1 of each even-numbered year thereafter, a state transportation improvement program. The program shall cover a period of five years, beginning July 1 of the year it is adopted, and shall be a statement of intent by the commission for the allocation or expenditure of funds during those five years. The program shall include projects which are expected to receive funds prior to July 1 of the year of adoption, but for which the commission has not yet allocated funds.
- (e) The projects included in the adopted state transportation improvement program shall be limited to those projects submitted or recommended pursuant to Sections 14526 and 14527.

The total amount programmed in each fiscal year for each program category shall not exceed the amount specified in the fund estimate adopted under Section 14525.

(f) The state transportation improvement program is a resource management document to assist the state and local entities to plan and implement transportation improvements and to utilize available resources in a cost-effective manner. It is a document for each county and each region to declare their intent to use available state and federal funds in a timely and cost-effective manner.

(g) Prior to the adoption of the state transportation improvement program, the commission shall hold not less than one hearing in northern California and one hearing in southern California to reconcile any objections by any county or regional agency to the department's program or the department's objections to any regional program.

(h) The commission shall incorporate projects that are included in the regional transportation improvement program and are to be funded with regional improvement funds, unless the commission finds that the regional transportation improvement program is not consistent with the guidelines adopted by the commission or is not a cost-effective expenditure of state funds, in which case the commission may reject the regional transportation improvement program in its entirety. The finding shall be based on an objective analysis, including, but not limited to, travel forecast, cost, and air quality. The commission shall hold a public hearing in the affected county or region prior to rejecting the program, or not later than 60 days after rejecting the program. When a regional transportation improvement program is rejected, the regional entity may submit a new regional transportation improvement program for inclusion in the state transportation improvement program. The commission shall not reject a regional transportation improvement program unless, not later than 60 days after the date it received the program, it provided notice to the affected agency that specified the factual basis for its proposed action.

(i) A project may be funded with more than one of the program categories listed in Section 164 of the Streets and Highways Code.

(j) Notwithstanding any other provision of law, no local or regional matching funds shall be required for projects that are included in the state transportation improvement program.

(k) The commission may include a project recommended by a regional transportation planning agency or county transportation commission pursuant to subdivision (c) of Section 14527, if the commission makes a finding, based on an objective analysis, that the recommended project is more cost-effective than a project submitted by the department pursuant to Section 14526.

(Amended by Stats. 2000, Ch. 91, Sec. 5. Effective July 7, 2000.)

§14529.01. (a) It is the intent of the Legislature to facilitate project development work on needed transportation projects to produce a steady flow of construction projects by adding an advance project development element to the state transportation improvement program, beginning with the 2000 State Transportation Improvement Program.

(b) The advance project development element shall include only project development activities for projects that are eligible for inclusion in a state transportation improvement program.

(c) The fund estimate for each state transportation improvement program shall designate an amount to be available for the advance project development element, which shall be not more than 25 percent of the programmable resources estimated to be available for the first and second years following the period of the state transportation improvement program, subject to the formulas in Sections 164, 188, and 188.8 of the Streets and Highways Code.

(d) The department, transportation planning agencies, and county transportation commissions may nominate projects to the commission for inclusion in the advance project development element through submission of the regional transportation improvement program and the interregional transportation improvement program.

(e) The funds programmed in the advance project development element may be allocated within the period of the state transportation improvement program without regard to fiscal year.

(f) The commission may develop guidelines to implement this section.

(Amended by Stats. 2010, Ch. 478, Sec. 3. Effective January 1, 2011.)

Streets and Highways Code

§163. The Legislature, through the enactment of this section, intends to establish a policy for the use of all transportation funds that are available to the state, including the State Highway Account, the Public Transportation Account, and federal funds. For the purposes of this section, “federal funds” means any obligational authority to be provided under annual federal transportation appropriations acts. The department and the commission shall prepare fund estimates pursuant to Sections 14524 and 14525 of the Government Code based on the following:

- (a) Annual expenditures for the administration of the department shall be the same as the most recent Budget Act, adjusted for inflation.
- (b) Annual expenditures for the maintenance and operation of the state highway system shall be the same as the most recent Budget Act, adjusted for inflation and inventory, or, when a maintenance plan has been enacted pursuant to Section 164.6, maintenance expenditures shall be based on planned expenditures in that plan.
- (c) Annual expenditure for the rehabilitation of the state highway system shall be the same as the most recent Budget Act, or, when a long-range rehabilitation plan has been enacted pursuant to Section 164.6, shall be based on planned expenditures in that long-range plan.
- (d) Annual expenditures for local assistance shall be the amount required to fund local assistance programs required by state or federal law or regulations, including, but not limited to, railroad grade crossing maintenance, bicycle transportation account, congestion mitigation and air quality, regional surface transportation programs, local highway bridge replacement and rehabilitation, local seismic retrofit, local hazard elimination and safety, and local emergency relief.
- (e) After deducting expenditures for administration, operation, maintenance, local assistance, safety, and rehabilitation pursuant to subdivisions (a), (b), (c), and (d), and for expenditures pursuant to Section 164.56, the remaining funds shall be available for capital improvement projects to be programmed in the state transportation improvement program.

(Amended by Stats. 2004, Ch. 212, Sec. 5. Effective August 11, 2004.)

§164. (a) Funds made available for transportation capital improvement projects under subdivision (e) of Section 163 shall be programmed and expended for the following program categories:

- (1) Twenty-five percent for interregional improvements.
 - (2) Seventy-five percent for regional improvements.
- (b) Sixty percent of the funds available for interregional improvements under paragraph (1) of subdivision (a) shall be programmed and expended for improvements to state highways that are specified in Sections 164.10 to 164.20, inclusive, and that are outside the boundaries of an urbanized area with a population of more than 50,000, and for intercity rail improvements.

(c) Not less than 15 percent of the amount of funds programmed under subdivision (b) shall be programmed for intercity rail improvement projects, including separation of grade projects.

(d) Funds made available under paragraph (1) of subdivision (a) shall be used for transportation improvement projects that are needed to facilitate interregional movement of people and goods. The projects may include state highway, intercity passenger rail, mass transit guideway, or grade separation projects.

(e) Funds made available under paragraph (2) of subdivision (a) shall be used for transportation improvement projects that are needed to improve transportation within the region. The projects may include, but shall not be limited to, improving state highways, local roads, public transit, intercity rail, pedestrian, and bicycle facilities, and grade separation, transportation system management, transportation demand management, soundwall projects, intermodal facilities, safety, and providing funds to match federal funds.

(Amended by Stats. 1998, Ch. 596, Sec. 5. Effective September 21, 1998.)

**APPENDIX G – RESOLUTION TO ADOPT
THE 2020 STIP FUND ESTIMATE**



CALIFORNIA TRANSPORTATION COMMISSION

ADOPTION OF THE 2020 FUND ESTIMATE

RESOLUTION G-19-34

- 1.1. WHEREAS, Sections 14524 and 14525 of the Government Code require the California Department of Transportation (Department) to present, and the California Transportation Commission (Commission) to adopt, a biennial fund estimate to include and estimate all state and federal funds reasonably expected to be available for the biennial State Transportation Improvement Program (STIP), including the amount that may be programmed in each county for regional improvement programs; and
- 1.2. WHEREAS, on January 30, 2019, the Department presented an overview of the fund estimate process and schedule; and
- 1.3. WHEREAS, on May 15, 2019, the Department presented, and the Commission approved the 2020 Fund Estimate assumptions; and
- 1.4. WHEREAS, on June 26, 2019, the Department presented to the Commission the Draft 2020 Fund Estimate; and
- 1.5. WHEREAS, on July 22, 2019, the Commission held a workshop on the Proposed 2020 Fund Estimate to consider public comment, and indicated that the adoption of the 2020 Fund Estimate would be scheduled for August 14, 2019; and
- 1.6. WHEREAS, on August 14, 2019, the Department presented to the Commission an updated, Proposed 2020 Fund Estimate; and
- 1.7. WHEREAS, the Proposed 2020 Fund Estimate identifies new program capacity of approximately \$407 million in new highway STIP capacity for the five-year period covering 2020-21 through 2024-25; and

- 1.8 WHEREAS, the Proposed 2020 Fund Estimate includes annual programming targets, adjusted for STIP amendments and allocations through June 2019.
- 2.1 NOW THEREFORE BE IT RESOLVED that the California Transportation Commission does hereby adopt the 2020 STIP Fund Estimate, as presented by the Department on August 14, 2019, with programming in the 2020 STIP to be based on the statutory funding identified; and
- 2.2 BE IT FURTHER RESOLVED that the Commission requests that the Department, in cooperation with Commission staff, distribute copies of the 2020 Fund Estimate to each regional agency and county transportation commission.

**APPENDIX H – RESOLUTION TO ADJUST
THE SHOPP MINOR PROGRAM**

CTC

OCT 9 2019

CALIFORNIA
TRANSPORTATION COMMISSION

CALIFORNIA TRANSPORTATION COMMISSION

**DELEGATION OF AUTHORITY TO THE CALIFORNIA DEPARTMENT OF
TRANSPORTATION FOR SUB-ALLOCATION AND ADJUSTMENT OF THE
STATE HIGHWAY OPERATION AND PROTECTION PROGRAM MINOR
PROGRAM**

**RESOLUTION G-19-05a
AMENDING RESOLUTION G-19-05**

- 1.1 WHEREAS, the California Transportation Commission (Commission), pursuant to Streets and Highways Code Section 167(f), is authorized to define minor capital outlay projects; and
- 1.2 WHEREAS, the Commission, pursuant to Government Code Section 14533, shall allocate funds for transportation projects; and
- 1.3 WHEREAS, the Commission, pursuant to Government Code Section 7 and 14512, may request that the California Department of Transportation (Department) perform such work as the Commission deems necessary to carry out its duties and responsibilities; and
- 1.4 WHEREAS, delegation to the Department of minor capital construction project sub-allocations and/or adjustment authority would streamline and help in the management of the State Highway Operation and Protection Program (SHOPP) Minor Program; and
- 1.5 WHEREAS, it is desirable to reduce Commission workload by minimizing the number of routine financial resolutions being processed.
- 2.1 NOW THEREFORE, BE IT RESOLVED, that the following policies shall be in effect for minor capital construction project allocations, sub-allocations and adjustments:

- A. The Commission will make a yearly allocation for minor construction projects in the amount of \$250,000,000.
- B. The Commission defines minor construction projects as having an upper limit of \$1,250,000 for construction capital.
- C. The Minor B project limit is established to be consistent with the lower limit of the State Contract Act. The State Contract Act is reviewed each even numbered year by the Department of Finance and adjusted to be consistent with change in the annual California Construction Index. The Commission authorizes the Director of the California Department of Transportation (Director) to change the Minor B project limit and the Minor A project lower limit to an amount equal to the lower limit of projects subject to the State Contract Act as revised by the Department of Finance, and the Director shall inform the Commission of any such change within 45 days.
- D. Annually, the Department will present for Commission review and acceptance a SHOPP Minor Program. The Department's SHOPP Minor Program can be smaller than the annual funding amount but in no event can it be larger.
- E. The SHOPP Minor Program will be supported by project lists for both Minor A and Minor B projects that, at a minimum, will include the following information for each project:
 - 1. Project description.
 - 2. District, county, route and post mile.
 - 3. Expenditure Authorization number.
 - 4. Project outputs.
 - 5. Estimated right-of-way expenditure.
 - 6. Estimated support expenditure.
 - 7. Estimated construction capital expenditure.
- F. The SHOPP Minor Program will contain the following total information:
 - 1. A total program sum for right-of-way capital that will be reflected and enumerated as a separate line item in the Department's annual right-of-way allocation.
 - 2. A total program sum for construction capital expenditure.
 - 3. A total program sum for support expenditure.
 - 4. A total program sum for day labor.

- G. The Commission will annually allocate to the Department the total estimate needed for the SHOPP Minor Program.
- H. The Director is authorized to sub-allocate the SHOPP Minor Program funds to individual projects that are enumerated on the Commission reviewed and accepted project lists.
- I. The Director is delegated authority to increase individual project construction allocations to allow the advertisement, award, and completion of contracts within thresholds established in the Commission Resolution G-19-12 (G-12).
- J. Any adjustments to a Minor A project that exceed Commission established G-12 thresholds must be allocated by the Commission and do not establish a new funding capacity adjustment base for the project. All subsequent increases to the allocation must be presented to the Commission for approval.
- K. When funds required to complete a Minor A project are greater than the upper limit for construction capital and what is authorized for G-12, the project must compete for funding with other projects in the normal SHOPP programming process.
- L. Any Minor A project that experiences a change in the scope from what was identified on the approved Minor A list must be allocated by the Commission.
- M. Any Minor A project identified by the Department after Commission review and acceptance of the Department's Minor A project list must be allocated by the Commission.
- N. For any Minor B project identified by the Department after Commission review and acceptance of the Department's Minor B project list, the Director is authorized to sub-allocate funds for those projects with the understanding that these actions shall be reported to the Commission at the next scheduled Commission meeting following the sub-allocation.
- O. The SHOPP Minor Program is reserved only for small SHOPP projects that are consistent with the Commission adopted Transportation Asset Management Plan.
- P. The Commission will not allocate funds from the SHOPP Minor Program for enhancements, mitigation, or cost increases for STIP projects.
- Q. Minor A financial contributions to STIP projects can only be allocated by the Commission and only after independent utility for the Minor A work and lack of responsibility by the STIP project sponsor for the Minor A work is established and approved by the Director.
- R. Projects funded jointly with Minor A funds and other non-STIP or non-SHOPP funds shall be administered as Minor A projects, irrespective of the total cost of the project.
- S. The Director shall report all Minor A and Minor B project sub-allocations made under this delegation to the Commission at the next scheduled

Commission meeting following the project sub-allocation. At a minimum the report will contain the following information:

1. Project description.
 2. District, county, route and post mile.
 3. Expenditure Authorization number.
 4. Project outputs.
 5. Estimated construction expenditure as enumerated on the Commission reviewed and accepted project lists.
 6. Actual construction sub-allocation as authorized by the Director.
- T. The Director will keep and report monthly a running balance against the Commission's annual SHOPP Minor Program allocation.



MISSION

Provide a safe, sustainable, integrated and efficient transportation system to enhance California's economy and livability

VISION

A performance-driven, transparent and accountable organization that values its people, resources and partners, and meets new challenges through leadership, innovation and teamwork

VALUES

Integrity • Commitment • Teamwork • Innovation

Prepared by California Department of Transportation
California State Transportation Agency

Photo of US 101 HOV Project with Class I Bike Path (2017)
by drone pilot Samer Momani, Caltrans District 7 Video Unit