State of California
DEPARTMENT OF TRANSPORTATION

California State Transportation Agency

Tab 23

M e m o r a n d u m

To: CHAIR AND COMMISSIONERS
CALIFORNIA TRANSPORTATION COMMISSION

CTC Meeting: August 17-18, 2016

Reference No.: 4.16
Information Item

From: NORMA ORTEGA
Chief Financial Officer

Prepared by: Lance Hibben, Office Chief
Statewide Office Facilities,
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Subject: **2017 FACILITIES INFRASTRUCTURE PLAN (FIVE YEAR CAPITAL PLAN)**

SUMMARY:

Chapter 606, Statutes of 1999 (Assembly Bill 1473/Hertzberg), requires the Governor to annually submit a Five-Year Capital Outlay Infrastructure Plan in conjunction with the Governor's Budget. The California Department of Transportation's (Department) Draft 2017 Facilities Infrastructure Plan (Facilities Infrastructure Plan) will be transmitted to the California Transportation Commission prior to their August 17-18, 2016 meeting.

BACKGROUND:

The California Department of Finance issues an annual Budget Letter that specifies requirements and instructions to State departments for submittal of their plans. Only the Department's office facilities are required as part of the Budget Letter process.

In addition to office facilities, the workforce for the Department conducts business in a wide array of other buildings and structures (facilities). These transportation-related facilities include equipment shops, maintenance stations, materials laboratories, and transportation management centers.

The Facilities Infrastructure Plan includes the reporting requirements for the Five-Year Capital Outlay Infrastructure Plan. The Facilities Infrastructure Plan also provides information pertaining to the Department's transportation-related facilities.

IF YOU ARE VIEWING THIS DOCUMENT ELECTRONICALLY, THE PLAN IS ATTACHED. OTHERWISE, TO VIEW THE DRAFT 2017 FACILITIES INFRASTRUCTURE PLAN, PLEASE GO TO:
www.catc.ca.gov/meetings/agenda/2016Agenda/2016_08/23_4.16.pdf

DRAFT
REV 8.1

Fiscal Years 2017-18 through 2021-22

Office Buildings, Equipment Shops, Maintenance Facilities, Materials Laboratories, & Transportation Management Centers

CALIFORNIA DEPARTMENT OF TRANSPORTATION

2017 Facilities Infrastructure Plan

District 4 Headquarters District Office
Oakland, California

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August 2016

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EXECUTIVE SUMMARY

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EXECUTIVE SUMMARY

Introduction

Chapter 606, Statutes of 1999 (Assembly Bill 1473/Hertzberg), requires the Governor to submit an annual Five-Year Capital Outlay Infrastructure Plan in conjunction with the Governor's Budget. The California Department of Finance (DOF) issues an annual Budget Letter that specifies requirements and instructions to state departments for submittal of their plans. The California Department of Transportation (Caltrans) is required to provide information for office facilities to the DOF.

In addition to office facilities, the Caltrans workforce conducts business in a wide array of other buildings and structures (facilities). These transportation-related facilities include equipment shops, maintenance facilities, materials laboratories, and transportation management centers.

The Caltrans 2017 Facilities Infrastructure Plan (FIP) includes the office facilities reporting requirements for the Five-Year Capital Outlay Infrastructure Plan. It also provides information pertaining to Caltrans transportation-related facilities.

Facilities Infrastructure Planning and Reporting

In conjunction with the annual DOF reporting requirement, Caltrans is required to present plans and needs for rehabilitation and improvement of office and transportation-related facilities via the State Highway Operations and Protection Program (SHOPP) process.

State Highway Operation and Protection Program

Caltrans is required to prepare a SHOPP for the expenditure of transportation funds for major capital improvements that are necessary to preserve and protect the state highway system. The four-year SHOPP must be submitted to the California Transportation Commission (CTC) each even-numbered year in accordance with Government Code section 14526.5, Streets and Highways Code section 164.6, Senate Bill 486 (DeSaulnier, 2014) and strategies outlined in the Department's Policy for Management of the SHOPP. Office facilities projects and transportation-related facilities projects are included in the SHOPP.

Senate Bill 486 (Chapter 917, Statutes of 2014) modifies the role of the Commission in approving the SHOPP, increasing the Commission's level of commitment to the SHOPP by upgrading its responsibility to not just approve the

SHOPP, but to adopt the SHOPP. The 2016 SHOPP is the most recent four-year program adopted by the CTC. The SHOPP must also be transmitted to the Legislature and the Governor.

State Highway Operation and Protection Program Ten-Year Plan

Streets and Highways Code Section 164.6 requires Caltrans to prepare a "10-year plan for the rehabilitation and reconstruction … of all state highways and bridges owned by the state". Caltrans fulfills this requirement through development of the Ten-Year SHOPP Plan. Office facilities projects and transportation-related facilities projects are included in this ten-year plan.

Caltrans is required to submit a ten-year plan to the CTC each odd-numbered year. The most recent submittal was the 2015 Ten-Year SHOPP Plan. Both the SHOPP and the Ten-Year SHOPP Plan must be transmitted to the Legislature and the Governor.

Comparison of Facilities Infrastructure Plan and SHOPP

The chart below shows the chronology and fiscal year relationships of one complete cycle for the SHOPP and the FIP.

Chronology and Fiscal Year Relationships: Facilities Infrastructure Plan and SHOPP

		Fiscal Years											
	Approximate Due Date	*2015-16*	*2016-17*	*2017-18*	*2018-19*	*2019-20*	*2020-21*	*2021-22*	*2022-23*	*2023-24*	*2024-25*	*2025-26*	*2026-27*
2015 Ten-Year SHOPP Plan	Jan 2015				10-Year Plan								
2016 Four-Year Programmed SHOPP	Jan 2016			4-Year Plan									
2017 Facilities Infrastructure Plan	July 2016				5-Year Plan								
2016 Facilities Infrastructure Plan	July 2015			5-Year Plan									

Facilities Infrastructure Plan Summary

The FIP is comprised of four chapters. The first two chapters meet the DOF requirements for the state's Five-Year Capital Outlay Infrastructure Plan. Caltrans presents additional information in Chapters 3 and 4 that are not part of the DOF reporting requirements. Chapter 3 of the FIP focuses on transportation-related facilities that the CTC approves through the SHOPP. Chapter 4 provides an overview of Caltrans' facility resource conservation efforts.

The 2017 FIP identifies approximately $81.4 million in total project cost during the five-year plan period (FY 2017-18 thru 2021-22), with approximately $57.6 million in construction and land acquisition costs and approximately $23.9 million in associated capital outlay support costs (e.g., engineering and right of way acquisition staff). A summary of these costs is presented in the table below. This does not include a $10 million reservation set aside for Transportation Related Facilities (TRF) for FY 2019-20. Additionally, approximately $839.2 million is identified as unfunded facility needs that span beyond the five-years of the FIP, (refer to the table at the table at the top of page viii).

Projected Facilities Infrasructure Needs

Construction, Land, Capital, and Support

Fiscal Years 2017-18 through 2021-22

	2016 SHOPP Fiscal Years					2018 SHOPP Candidate Projects Fiscal Years	
SHOPP Programmed and Candidate Projects		2017 Facilities Infrastructure Plan Fiscal Years					
Location/Descriptions	**2016-17**	**2017-18**	**2018-19**	**2019-20**	**2020-21**	**2021-22**	**2017 FIP Total**
Office Buildings	$0	$0	$0	$0	$0	$0	**$0**
Equipment Shops	$0	$23,400,000	$0	$0	$0	$0	**$23,400,000**
Maintenance Facilities	$12,450,000	$0	$14,028,000	$0	$17,000,000	$2,000,000	**$33,028,000**
Materials Laboratories	$0	$0	$0	$0	$1,100,000	$0	**$1,100,000**
Transportation Management Center	$0	$0	$0	$0	$0	$0	**$0**
Construction Totals	**$12,450,000**	**$23,400,000**	**$14,028,000**	**$0**	**$18,100,000**	**$2,000,000**	**$57,528,000**
Land	$20,000	$0	$27,000	$0	$0	$0	**$27,000**
Sub-total (Capital)	$12,470,000	$23,400,000	$14,055,000	$0	$18,100,000	$2,000,000	**$57,555,000**
Support	$9,015,000	$8,000,000	$9,054,000	$0	$6,100,000	$700,000	**$23,854,000**
Grand Total	$21,485,000	$31,400,000	$23,109,000	$0	$24,200,000	$2,700,000	$81,409,000

**Note: This table does not reflect $10M in reservation funds set aside for Transportation Related Facilities for Fiscal Year 2019-20*

Facilities Unfunded Needs

Facility Type	Construction Cost
Office Buildings	$482,800,000
Equipment Shops	$170,000,000
Maintenance Facilities	$166,727,000
Material Laboratories	$9,650,000
Transportation Management Centers	$10,000,000
Total Unfunded Needs	$839,177,000

The first three years of the 2017 FIP coincide with the last three years of the 2016 Four-Year SHOPP (refer to the chart on page vi). The 2016 Four-Year SHOPP includes an average annual cost (construction cost) of $12.5 million and the 2017 FIP includes $11.5 million average annual (construction cost) for programmed projects. The chart below presents a comparison by facility type of the average annual construction cost for the 2016 Four-Year SHOPP and 2017 FIP. Transportation Management Centers (TMCs) are not included in the Facilities Improvement Category of the SHOPP; those projects are included with the Mobility Program. Commencing in the last two years of the 2016 SHOPP (FY 2018-19 and 2019-20) and as noted in SHOPP Decision Document 2015-1, the SHOPP will allocate an average of $10 million to transportation-related facilities on an annual basis[1].

Average Annual Construction Cost Comparison /1
2016 SHOPP and 2017 Facilities Infrastructure Plan
(Dollars in millions)

Facility Type	2016 SHOPP /2	2017 FIP
Office Facilities	$0.0	$0.0
Equipment Facilities	$5.9	$4.7
Maintenance Facilities	$6.6	$6.6
Materials Laboratories	$0.0	$0.2
Totals/3:	**$12.5**	**$11.5**

Notes:
1) The "Annual Averages" do not include land acquisition or support cost.
2) The 2016 SHOPP Total does not include $10 million in SHOPP reservation funds for Transprotation Related Facilities for Fiscal Year 2019-20
3) The "Totals" do not include Transportation Management Centers.

[1] SHOPP allocation amount of $10 million is comprised of capital and support costs. The Transportation-Related Facilities includes: Maintenance Facilities, Equipment Shops, Material Laboratories and Transportation Management Centers.

CHAPTER 1

DEPARTMENT OVERVIEW

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INTRODUCTION

This chapter provides a summary of the California Department of Transportation (Caltrans). It illustrates Caltrans' structure, including its hierarchy within the state government and its district organization. It provides general budget and program information as well as the facilities of Caltrans' workforce.

Structure

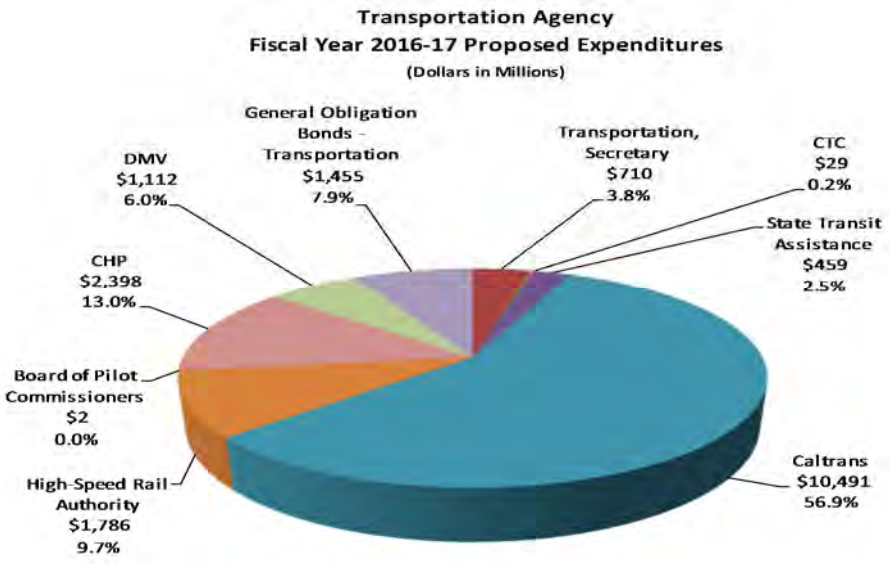
Transportation Agency

The Transportation Agency, established as part of the Governor's 2012 Reorganization Plan, became effective on July 1, 2013. It is responsible for developing and coordinating the policies and programs of the state's transportation entities to improve the mobility, safety, and environmental sustainability of the state's transportation system. The Transportation Agency oversees and coordinates the activities of Caltrans, California Transportation Commission (CTC), High-Speed Rail Authority, Department of Motor Vehicles (DMV), California Highway Patrol (CHP), and the Board of Pilot Commissioners. The Office of Traffic Safety operates within the Office of Secretary for Transportation and the New Motor Vehicle Board operates within the Department of Motor Vehicles.

The Governor's Proposed Budget for Fiscal Year 2016-17 allocates approximately 57% of the Transportation Agency budget to Caltrans, as shown in the table below and figure on the following page.

Transportation Agency
Fiscal Year 2016-17 Proposed Expenditures
(Dollars in Millions)

Department	Proposed Expenditures	Percent of Total
Transportation, Secretary	$ 710	3.8%
California Transportation Commission (CTC)	$ 29	0.2%
State Transit Assistance	$ 459	2.5%
Caltrans	$ 10,491	56.9%
High-Speed Rail Authority	$ 1,786	9.7%
Board of Pilot Commissioners	$ 2	0.0%
California Highway Patrol (CHP)	$ 2,398	13.0%
Department of Motor Vehicles (DMV)	$ 1,112	6.0%
General Obligation Bonds - Transportation	$ 1,455	7.9%
Total	**$ 18,443**	**100%**



California Department of Transportation

Caltrans has approximately 19,000 employees and a budget of $10.5 billion. Caltrans designs and oversees the construction of state highways, operates and maintains the highway system, funds three intercity passenger rail routes, and provides funding for local transportation projects. Caltrans maintains approximately 50,000 road and highway lane miles and approximately 13,000 bridges and other structures, providing transportation access to every region of the State. The largest sources of funding for transportation projects are excise taxes paid on fuel consumption, federal funds also derived from fuel taxes, and weight fees on trucks.

Program Descriptions[1]

Caltrans identifies six programs that relate to staff. The programs are: Aeronautics, Highway Transportation, Mass Transportation, Transportation Planning, Administration, and Equipment. The table below identifies the programs, their respective codes, and number of proposed positions for Fiscal Year 2016-17. The following is a description of each of the programs listed numerically, by their program code.

Governor's Proposed Budget
Fiscal Year 2016-17

Code	Program	FY 2016-17 Positions
10	Aeronautics	24.0
20	Highway Transportation	16,140.4
30	Mass Transportation	112.4
40	Transportation Planning	697.4
50	Administration	1,573.5
60	Equipment	634.6
	Total Proposed Positions:	**19,182.3**

[1] Source: Citation taken from the California Department of Finance, Proposed Governor's Budget for Fiscal Year 2016-17.

10 AERONAUTICS

The Division of Aeronautics supports California's aviation activities by promoting safe and effective use of existing airports and heliports. This program ensures that airports and heliports comply with safety regulations, provides engineering and financial assistance for safety and infrastructure improvements. Financial assistance is provided through state-matching funds for the federal aviation grant program. In addition, the division maintains California's Aviation System Plan to reflect changes in aviation network, provides guidance for land use compatibility in areas around airports, administers airport noise standards regulations, enhances goods movement to and from airports through improved ground access, and promotes and maintains aviation safety.

20 HIGHWAY TRANSPORTATION

The Highway Transportation Program operates, maintains, and continues development of California's state highways. Development and delivery of capital projects make up the largest portion of these efforts. The program also meets its objectives through: (1) coordination and control required by federal and state law for implementing transportation projects, (2) furnishing assistance to city and county transportation programs, and (3) management of traffic through a system of monitoring, analysis, and control. In addition, this program strives to improve highway travel, safety, and the environment through testing, research, and technology development.

30 MASS TRANSPORTATION

The objective of the Mass Transportation Program is to support the state's transportation system by providing leadership in the implementation of safe, effective public transportation, improved air quality, and environmental protection. The program achieves its objective through: (1) the administration of intercity rail service in California, including capital projects and rail car management, (2) management of state and federal capital and operations grant programs, (3) planning, support, and coordination of mass transportation services, and (4) administering the Public Transportation Modernization, Improvement and Service Enhancement Account (PTMISEA) of the Highway Safety, Traffic Reduction, Air Quality, and Port Security Bond Act of 2006 (Bond Act). Additionally, the Mass Transportation Program serves to: (1) improve intercity bus passenger service through enhanced services and facilities, (2) improve public transportation needs for all persons, including the elderly, the disabled, and the economically-disadvantaged, (3) improve urban/commuter rail services, and (4) enhance mobility in congested corridors.

40 TRANSPORTATION PLANNING

The Transportation Planning Program implements statewide transportation policy through coordination at the local and regional levels and develops transportation plans and projects. Caltrans prepares the long-range state transportation plan required by state and federal law and provides long-range transportation system planning and transportation planning studies as input to the regional transportation plans, the State Transportation Improvement Program (STIP), and departmental policies and programs such as Goods Movement, Climate Action, and Regional Blueprint Planning. Caltrans also prepares the Interregional Transportation Strategic Plan, which guides investment of the Interregional Improvement Program funds in the STIP.

50 ADMINISTRATION

The Administration Program provides the functions required to support the programmatic responsibilities of the Department. Major activities include accounting, budgeting, auditing, office facility operations and management, information technology, and a wide range of administrative services including human resources, procurement and contracting, training, workforce planning, and labor relations.

60 EQUIPMENT

The Equipment Program provides mobile fleet equipment and services to other departmental programs through: (1) purchasing new vehicles, (2) receiving, servicing, and equipping new units, (3) assembling equipment components into completed units, (4) managing the fleet, (5) repairing and maintaining the fleet, including payments for fuel and insurance, and (6) disposing of used vehicles.

Caltrans Districts

Caltrans is comprised of 12 districts, each under the leadership of a District Director. The district boundaries and a listing of the counties within each district are shown below. District Headquarters offices are located in the cities of Eureka, Redding, Marysville, Oakland, San Luis Obispo, Fresno, Los Angeles, San Bernardino, Bishop, Stockton, San Diego, and Irvine. The Caltrans Headquarters office is located in Sacramento.

DISTRICT 1
1656 Union Street
Eureka
Del Norte
Humboldt
Lake
Mendocino

DISTRICT 2
1657 Riverside Drive
Redding
Lassen
Modoc
Plumas
Shasta
Siskiyou
Tehama
Trinity

DISTRICT 3
703 B Street
Marysville
Butte
Colusa
El Dorado
Glenn
Nevada
Placer
Sacramento
Sierra
Sutter
Yolo
Yuba

DISTRICT 4
111 Grand Avenue
Oakland
Alameda
Contra Costa
Marin
Napa
San Francisco
San Mateo
Santa Clara
Solano
Sonoma

DISTRICT 5
50 Higuera Street
San Luis Obispo
Monterey
San Benito
San Luis Obispo
Santa Barbara
Santa Cruz

DISTRICT 6
1352 West Olive Avenue
Fresno
Fresno
Kern
Kings
Madera
Tulare

DISTRICT 7
100 South Main Street
Los Angeles
Los Angeles
Ventura

DISTRICT 8
464 West Fourth Street
San Bernardino
Riverside
San Bernardino

DISTRICT 9
500 South Main Street
Bishop
Inyo
Mono

DISTRICT 10
1976 East Dr. Martin Luther King Jr. Blvd.
Stockton
Alpine
Amador
Calaveras
Mariposa
Merced
San Joaquin
Stanislaus
Tuolumne

DISTRICT 11
4050 Taylor Street
San Diego
Imperial
San Diego

DISTRICT 12
3337 – 3347 Michelson Drive
Irvine
Orange

Future Space Needs

Future space needs are driven, in part, by population. Population generates traffic that creates the need for highways and their associated planning, operations, and maintenance, which produces the need to house staff performing those respective activities. Caltrans houses employees in a wide array of facilities: maintenance stations, equipment shops, office buildings, material laboratories, and transportation management centers. Determining where the need exists for future facilities depends in part on those areas of the state with the greatest projected population increase. The California counties with the greatest population increases are located within Caltrans districts of Oakland, San Bernardino, Fresno, and Los Angeles. This is based on projected statewide population increases provided by the California Department of Finance (DOF) report on State and County Population Projections. The table below ranks Caltrans' districts by the greatest population increases through year 2060.

District Population Projections
Years 2010 through 2060

District Number and Name		District Population Year 2010	District Population Year 2060	Numeric Increase [1/]	Percentage Increase [1/]
1	Eureka	318,024	358,518	11	10
2	Redding	365,140	428,460	10	8
3	Marysville	2,694,731	4,059,999	5	4
4	Oakland	7,167,034	10,178,649	1	5
5	San Luis Obispo	1,429,531	1,811,448	9	7
6	Fresno	2,528,766	4,725,127	3	1
7	Los Angeles	10,649,387	12,493,197	4	9
8	San Bernardino	4,233,973	6,869,005	2	3
9	Bishop	33,161	36,363	12	12
10	Stockton	1,618,750	2,831,298	6	2
11	San Diego	3,288,485	4,407,333	7	6
12	Irvine	3,014,996	3,464,374	8	10
	California	**37,341,978**	**51,663,771** [2/]		

[1/] Data Source: California Department of Finance's Bienniel Report on State & County population, December 2014

[2/] Minor Variation Due to Rounding

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CHAPTER 2

OFFICE FACILITIES

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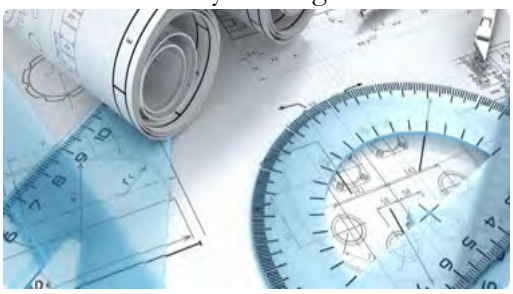
INTRODUCTION

Chapter 606, Statutes of 1999 (Assembly Bill 1473/Hertzberg), requires the Governor to annually submit a Five-Year Capital Outlay Infrastructure Plan in conjunction with the Governor's Budget beginning in January 2002. The Statute requires state departments to submit a Five-Year Capital Outlay Infrastructure Plan (Plan), Capital Outlay Budget Change Proposals (COBCPs), and Capital Outlay Concept Papers (COCPs) for major capital outlay projects proposed for inclusion in the Governor's Budget. The Plan must include all COBCPs and COCPs for the five-year planning horizon from Fiscal Years 2017-18 through 2021-22. Only the California Department of Transportation's (Caltrans) office facilities require COBCPs or COCPs and therefore, are required as part of the process.

REQUIREMENTS

The California Department of Finance (DOF) issues an annual Budget Letter requiring Caltrans to identify existing office facilities infrastructure, including their deficiencies, and the net need for the infrastructure. The general DOF Budget Letter requirements are found in this chapter. Those reporting requirements include a description of Caltrans' office building infrastructure, the projects needed to correct office building deficiencies, a linkage to the prior year's plan, and a summary of office building projects currently in progress.



INFRASTRUCTURE DESCRIPTION

Caltrans occupies 13 office buildings, 12 state-owned and one leased. Five (5) of Caltrans' 12 state-owned buildings are less than 30 years of age. Their location and the year of their construction completion are as follows: Oakland, 1991; San Bernardino, 1997; Los Angeles, 2004; San Diego, 2006; and Marysville, 2010.

There are seven (7) state-owned office facilities that are at least 50 years old. The table below provides a list of Caltrans' office buildings and the respective year of construction. Caltrans works with the California Department of General Services (DGS) to obtain facility and infrastructure studies that evaluate the condition of the existing building(s) and if necessary, the feasibility of replacing the structure(s).

District 3 Headquarters Office Building
Marysville, California

State and District Headquarters Office Buildings

	District	Address	Year Built
1	Eureka	1656 Union Street	1953
2	Redding	1657 Riverside Drive	1953
3	Marysville	703 B Street	2010
4	Oakland	111 Grand Avenue	1991
5	San Luis Obispo	50 Higuera Street	1955
6	Fresno	1352 West Olive Street	1958
7	Los Angeles	100 Main Street	2004
8	San Bernardino	464 West 4th Street	1997
9	Bishop	500 South Main Street	1954
10	Stockton	1976 East Dr. Martin Luther King Jr. Blvd.	1955
11	San Diego	4050 Taylor Street	2006
12	Irvine	3337-3347 Michelson Drive [1/]	NA
HQ	Sacramento	1120 N Street	1936

[1/] The District 12 office building is a leased facility.

Previous studies found that many of the buildings are functionally obsolete, energy inefficient, and expensive to maintain. Additionally, the heating ventilation and air conditioning (HVAC), electrical, elevator, and plumbing systems carry relatively high on-going maintenance and upgrade cost. From an operations standpoint, the buildings' space is inefficient due to the numerous columns, wide corridors, and hard-walled offices that constrain configuration and layout of modular furniture. For Fiscal Year 2016-17, Caltrans has requested an updated infrastructure study of its oldest building, the Headquarters office building in Sacramento, in order to obtain an assessment of its current condition. A complete listing of all the infrastructure studies performed for Caltrans can be found in the Appendix, Exhibit 2.

Leased and Owned Office Space

Caltrans occupies approximately 3.0 million net square feet of office space among its districts and Headquarters (Sacramento). The amount of office space in each district is depicted in the table below. A listing of Caltrans' office space inventory is shown in the Appendix, Exhibit 3.

Caltrans continues to take steps to improve facility management of its state-owned facilities. In an effort to optimize the use and occupancy of existing state-owned facilities and leased office space, Caltrans evaluates office space needs and consolidates staff from leased facilities into state-owned building and/or reduces leased office space, whenever possible. In 2015, Caltrans completed the restacking of its District 4 Oakland Headquarters office building and is pursuing lease reductions in the District 12 Irvine Headquarters office building and the District 5 San Luis Obispo office building for this upcoming fiscal year.

Leased and Owned Office Space

Department Summary by District

District		Owned (Gross SF)	Owned (Net SF)	Leased	Total (Net + Leased)
1	Eureka	91,456	63,789	0	63,789
2	Redding	47,851	32,666	47,027	79,693
3	Marysville	230,000	160,444	6,260	166,704
4	Oakland	750,000	511,553	0	511,553
5	San Luis Obispo	41,700	27,690	52,683	80,373
6	Fresno	78,000	56,935	149,348	206,283
7	Los Angeles	716,200	351,354	487	351,841
8	San Bernardino	417,000	205,885	0	205,885
9	Bishop	37,496	25,847	0	25,847
10	Stockton	90,174	61,460	0	61,460
11	San Diego	301,000	221,447	0	221,447
12	Irvine	0	0	151,453	151,453
RO	Regional Offices	0	0	8,950	8,950
HQ	State Headquarters	506,735	391,952	501,445	893,397
	Statewide Total:	**3,307,612**	**2,111,022**	**917,653**	**3,028,675**

Projects

The 2017 FIP identifies no projects during the five-year plan period (FY 2017-18 through 2021-22). Additionally, 6 projects are identified as unfunded needs that span beyond the five years of the FIP, totaling $482.8 million in estimated construction costs.

OFFICE BUILDINGS

PROGRAMMED AND CANDIDATE PROJECTS	2016 SHOPP Fiscal Years						2018 SHOPP Candidate Projects Fiscal Years
		2017 Facilities Infrastructure Plan Fiscal Years					
Location/Description	2016-17	2017-18	2018-19	2019-20	2020-21	2021-22	2017 FIP Total
	$0	$0	$0	$0	$0	$0	$0
Construction Totals	$0	$0	$0	$0	$0	$0	$0
Land	$0	$0	$0	$0	$0	$0	$0
Sub-total (Capital)	$0	$0	$0	$0	$0	$0	$0
Support	$0	$0	$0	$0	$0	$0	$0
Grand Total	$0	$0	$0	$0	$0	$0	$0

UNFUNDED NEEDS

Item#	Location/Description	Estimated Construction Cost [1]
1	**Sacramento - Headquarters Building**	$199,600,000
2	**District 2 - Redding District Office Replacement**	$36,800,000
3	**District 5 - San Luis Obispo District Office Replacement**	$38,300,000
4	**District 6 - Fresno District Office Replacement**	$77,700,000
5	**District 9 - Bishop District Office Replacement**	$65,100,000
6	**District 10 - Stockton District Office Replacement**	$65,300,000
Total Unfunded Needs		$482,800,000

[1] Cost is based on most recent Facility Infrastructure Study as indicated in Appendix Exhibit 2

CHAPTER 3

TRANSPORTATION-RELATED FACILITIES

- **Equipment Shops**
- **Maintenance Facilities**
- **Materials Laboratories**
- **Transportation Management Centers**

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INTRODUCTION

This chapter provides transportation-related facility information for the 2017 Facilities Infrastructure Plan (FIP). These projects are approved by the California Transportation Commission (CTC) as part of the State Highway Operations and Protection Program (SHOPP) and funded through enactment of the annual state budget.

The SHOPP is a four-year program of projects that have a purpose of collision reduction, bridge preservation, roadway preservation, roadside preservation, mobility enhancement, and preservation of other transportation facilities related to the state highway system. All facility-related infrastructure projects are programmed in the SHOPP with the exception of the construction phase of major office facility projects that are typically financed with bonds and not programmed in the SHOPP.

The 2017 FIP spans the five Fiscal Years (FY) 2017-18 through 2021-22. The facility projects included in the final three years of the 2016 SHOPP (i.e., 2017-18 through 2019-20) overlap with the first three years of the 2017 FIP. Facility Projects in the last two years of the FIP (FY 2020-21 and 2021-22) are identified as SHOPP Candidate Projects that are proposed for the future 2018 SHOPP programming. Additionally, the California Department of Transportation (Caltrans) is identifying unfunded projects for each facility type that extend beyond the five-year span of the FIP. The table below illustrates the chronology and fiscal year relationships of one complete cycle for the FIP and the SHOPP.

Chronology and Fiscal Year Relationships: Facilities Infrastructure Plan and SHOPP

		Fiscal Years											
	Approximate Due Date	*2015-16*	*2016-17*	*2017-18*	*2018-19*	*2019-20*	*2020-21*	*2021-22*	*2022-23*	*2023-24*	*2024-25*	*2025-26*	*2026-27*
2015 Ten-Year SHOPP Plan	Jan 2015				10-Year Plan								
2016 Four-Year Programmed SHOPP	Jan 2016			4-Year Plan									
2017 Facilities Infrastructure Plan	July 2016				5-Year Plan								
2016 Facilities Infrastructure Plan	July 2015			5-Year Plan									

Infrastructure Description

Caltrans transportation-related facilities include approximately 441 sites consisting of approximately 4,000,000 square feet of equipment shops, maintenance facilities, materials laboratories, and transportation management centers, as displayed below.

Summary
Transportation-Related Facilities

Facility Type	Square Feet	Number of Sites
Equipment Shops	666,561	26
Maintenance Facilities	2,742,000	391
Materials Laboratories [1/]	312,093	11
Transportation Management Centers	265,685	13
Total	**3,986,339**	**441**

[1/] Chart only reflects Category I (Program Laboratories) and Category II (Main District Materials Engineering Testing Laboratories). The Field Construction Laboratories (113 sites) are not included in the figures in the table.

SHOPP Decision Document - 'Single Point of Contact for Transportation-Related Facilities'

In May 2015, an important step was taken to improve Caltrans' facility management and address the magnitude of facility needs. SHOPP Decision Document 2015-1 'Single Point-of-Contact for Transportation-Related Facilities' was approved, identifying a single point-of-contact for transportation-related facilities in the SHOPP and setting aside an average allocation of $10 million annually[1] for transportation-related facilities. The Decision Document will help streamline communication in the SHOPP organizational structure and fund facility needs.

[1] The funding to commence in the last two years of the 2016 SHOPP, Fiscal Years 2018-19 and 2019-20.

Projects

The 2017 FIP identifies approximately $81.4 million in total project cost during the five-year plan period (FY 2017-18 through 2021-22), with approximately $57.6 million in construction and land acquisition costs and approximately $23.9 million in associated capital outlay support costs (e.g., engineering and right of way acquisition staff). A summary of these costs is presented in the chart below. Additionally, 73 projects are identified as unfunded transportation-related facility needs that span beyond the five (5) years of the FIP totaling $356.4 million in estimated construction costs. Below is a summary of the project in the FIP and unfunded project needs for Transportation-Related facilities.

Projected Facilities Infrasructure Needs
Construction, Land, Capital, and Support

Fiscal Years 2017-18 through 2021-22

	2016 SHOPP Fiscal Years						2018 SHOPP Candidate Projects Fiscal Years
SHOPP Programmed and Candidate Projects		2017 Facilities Infrastructure Plan Fiscal Years					
Location/Descriptions	**2016-17**	**2017-18**	**2018-19**	**2019-20**	**2020-21**	**2021-22**	**2017 FIP Total**
Equipment Shops	$0	$23,400,000	$0	$0	$0	$0	**$23,400,000**
Maintenance Facilities	$12,450,000	$0	$14,028,000	$0	$17,000,000	$2,000,000	**$33,028,000**
Materials Laboratories	$0	$0	$0	$0	$1,100,000	$0	**$1,100,000**
Transportation Management Center	$0	$0	$0	$0	$0	$0	**$0**
Construction Totals	**$12,450,000**	**$23,400,000**	**$14,028,000**	**$0**	**$18,100,000**	**$2,000,000**	**$57,528,000**
Land	$20,000	$0	$27,000	$0	$0	$0	**$27,000**
Sub-total (Capital)	$12,470,000	$23,400,000	$14,055,000	$0	$18,100,000	$2,000,000	**$57,555,000**
Support	$9,015,000	$8,000,000	$9,054,000	$0	$6,100,000	$700,000	**$23,854,000**
Grand Total	$21,485,000	$31,400,000	$23,109,000	*$0*	$24,200,000	$2,700,000	$81,409,000

**Note: This table does not reflect $10M in reservation funds set aside for Transportation Related Facilities for Fiscal Year 2019-20*

Facilities Unfunded Needs

Facility Type	Construction Cost	Quantity of Projects
Equipment Shops	$170,000,000	34
Maintenance Facilities	$166,727,000	35
Material Laboratories	$9,650,000	3
Transportation Management Centers	$10,000,000	1
Total Unfunded Needs Transportation-Related Facilities	$356,377,000	73

EQUIPMENT SHOPS

Introduction

The Division of Equipment (DOE) is responsible for Caltrans' fleet of light vehicles and heavy construction equipment consisting of approximately 12,000 vehicles. Light vehicles include automobiles, pickup trucks, and utility vehicles. Heavy construction equipment consists of road graders, loaders, dump trucks, snow blowers, drilling equipment, and other construction-related machineries. Both light vehicles and heavy construction equipment are serviced and repaired by approximately 400 professional equipment mechanics of the DOE.

Headquarters Shop

Inside Equipment Shop Headquarters, Sacramento

Equipment shops provide space to store tools and materials for mechanics to repair and sustain Caltrans' fleet of vehicles that are used to operate and maintain the state highway system. An equipment shop complex may include structures such as office, shop, warehouse, storage, and other improvements.

Infrastructure Description

DOE maintains 13 shops and 13 sub-shops totaling 26 shops and 666,561 square feet statewide as displayed in the table below.

In addition to the 26 equipment shops/sub-shops, there are 123 resident mechanic facilities and 86 traveling mechanic facilities that are located within 209 of the maintenance facilities, which are under the Division of Maintenance, but are used/occupied by the DOE staff for the repair and maintenance of Caltrans' fleet.

Transportation-Related Facilities
Equipment Shops Inventory

District		Address	City and Shop/Sub-Shop Number	Square Feet
1	Eureka	1650 Albee Street	Eureka Shop (2101)	30,982
1	Eureka	3290 North State Street	Ukiah Sub-Shop (2102)	28,560
2	Redding	1430 George Drive	Redding Shop (2201)	35,532
2	Redding	471-800 Diane Drive	Susanville Sub-Shop (2202)	5,091
3	Marysville	981 North Beale Road	Marysville Shop (2301)	49,043
3	Marysville	10152 Keiser Avenue	Truckee Sub-Shop (2302)	9,089
3	Marysville	2243 Carnelian Drive	Meyers Sub-Shop (2303)	6,460
4	Oakland	1993 Mariana Boulevard	San Leandro Shop (2401)	48,040
4	Oakland	Bay Bridge Toll Plaza	Oakland Sub-Shop (2402)	17,360
4	Oakland	120 Rickard Street	San Francisco Sub-Shop (2403)	3,568
4	Oakland	6010 Monterey, Building "B"	San Jose Sub-Shop (2404)	30,745
4	Oakland	2019 West Texas	Fairfield Sub-Shop (2405)	5,394
5	San Luis Obispo	66 Madonna Road	San Luis Obispo Shop (2501)	25,433
6	Fresno	1385 North West Avenue	Fresno Shop (2601)	33,352
6	Fresno	1200 Olive Avenue	Bakersfield Sub-Shop (2602)	15,700
7	Los Angeles	13204 Golden State Road	Sylmar Shop (2701)	70,681
7	Los Angeles	7301 East Slauson Avenue	Commerce Sub-Shop (2702)	14,600
7	Los Angeles	100 South Main Street	Los Angeles Sub-Shop (2703)	18,865
8	San Bernardino	320 South Sierra Way	San Bernardino Shop (2801)	34,912
8	San Bernardino	1800 Dill Road	Barstow Sub-Shop (2802)	8,400
9	Bishop	11 Jay Street	Bishop Shop (2603)	23,829
10	Stockton	1603 South B Street	Stockton Shop (3001)	24,396
11	San Diego	7179 Opportunity Road	San Diego Shop (3101)	31,800
11	San Diego	1607 Adams Avenue	El Centro Sub-Shop (3102)	4,202
12	Irvine	691 South Tustin Street	Orange Shop (2704)	5,500
HQ	Sacramento	34th Street & Stockton Blvd	Sacramento HQ Shop (3201)	85,027
			Total:	**666,561**

Projects

The 2017 FIP identifies one project with a total project costs of $31.4 million during the five-year plan period (FY 2017-18 through 2021-22), with approximately $23.4 million in construction and land acquisition costs and approximately $8 million in associated capital outlay support costs (e.g., engineering and right of way acquisition staff). A summary of these costs is presented in the chart below. Additionally, there are 34 projects identified as unfunded needs that span beyond the five (5) years of the FIP, totaling $170.0 million in estimated construction costs. FIP Project descriptions are provided on the following page.

EQUIPMENT SHOPS	2016 SHOPP Fiscal Years					2018 SHOPP Candidate Projects Fiscal Years	
PROGRAMMED IN 2016 SHOPP		2017 Facilities Infrastructure Plan Fiscal Years					
Location/Description	2016-17	2017-18	2018-19	2019-20	2020-21	2021-22	2017 FIP Total
D7 Southern Regional Equipment Repair Shop	$0	$23,400,000	$0	$0	$0	$0	$23,400,000
2018 SHOPP CANDIDATE PROJECTS							
Location/Description	$0	$0	$0	$0	$0	$0	$0
Construction Totals	$0	$23,400,000	$0	$0	$0	$0	**$23,400,000**
Land	$0	$0	$0	$0	$0	$0	**$0**
Sub-total (Capital)	$0	$23,400,000	$0	$0	$0	$0	**$23,400,000**
Support	$0	$8,000,000	$0	$0	$0	$0	**$8,000,000**
Grand Total	$0	$31,400,000	$0	$0	$0	$0	$31,400,000

UNFUNDED NEEDS

Item #	Location/Description	Estimated Construction Cost
1	**District 1 - Ukiah Sub-Shop Retrofit**	$6,500,000
2	**District 2 - Yreka Sub Shop Replacement**	$1,500,000
3	**District 3 - Auburn Resident Mechanic Facility**	$2,000,000
4	**District 3 - Marysville Equipment Shop Expansion**	$10,000,000
5	**District 3 - Placerville Resident Mechanic Facility**	$2,000,000
6	**District 3 - South Lake Tahoe Sub-Shop Facility Expansion**	$6,500,000
7	**District 4 - Fairfield Sub-Shop Relocation**	$6,500,000
8	**District 4 - Hercules Resident Mechanic Facility**	$1,500,000
9	**District 4 - Leweling Resident Mechanic Facility**	$2,000,000
10	**District 4 - Napa Resident Mechanic Facility**	$2,000,000
11	**District 4 - San Leandro Equipment Shop Renovation**	$10,000,000
12	**District 5 - Santa Cruz Resident Mechanic Facility**	$2,000,000
13	**District 6 - Coarsgold Resident Mechanic Facility**	$1,500,000
14	**District 6 - Delano Resident Mechanic Facility**	$1,500,000
15	**District 6 - Fresno Equipment Shop Replacement**	$10,000,000
16	**District 7 - Bellflower Resident Mechanic Facility**	$2,000,000
17	**District 7 - Lancaster Resident Mechanic Facility**	$2,000,000
18	**District 7 - Long Beach Resident Mechanic Facility**	$2,000,000
19	**District 7 - Tarzana Resident Mechanic Facility**	$2,000,000
20	**District 7 - Ventura Resident Mechanic Facility**	$2,000,000
21	**District 8 - Banning Resident Mechanic Facility**	$1,500,000
22	**District 8 - Dry Creek Resident Mechanic Facility**	$1,500,000
23	**District 8 - Fawnskin Resident Mechanic Facility**	$1,500,000
24	**District 8 - Indio Resident Mechanic Facility Replacement**	$2,000,000
25	**District 8 - San Bernardino Shop**	$10,000,000
26	**District 8 - Victorville Resident Mechanic Facility**	$1,500,000
27	**District 10 - Camp Connel Resident Mechanic Facility**	$2,000,000
28	**District 10 - Lodi Resident Mechanic Facility**	$2,000,000
29	**District 10 - Merced Resident Mechanic Facility**	$2,000,000
30	**District 10 - Modesto Resident Mechanic Facility**	$2,000,000
31	**District 10 - Peddler Hill Resident Mechanic Facility**	$2,000,000
32	**District 10 - Woodfords Resident Mechanic Facility**	$1,500,000
33	**HQ - Division of Equipment HQ Facility**	$60,000,000
34	**HQ - Division of Equipment HQ Warehouse**	$5,000,000
Total Unfunded Needs		$170,000,000

Project Description

Programmed Projects

District 7, Southern Regional Equipment Repair Shop – Construction Cost Estimate: $23,400,000
The project proposes to replace and consolidate the existing Shop 12 in Orange County (closed due to safety and operational concerns) and the existing Commerce Sub-Shop in Los Angeles Country with a Southern Regional Equipment Repair Shop at a Caltrans-owned property located at 14044 Freeway Drive, Santa Fe Springs. The proposed facility will comply with new building codes, American Disabilities Act (ADA), and standards set forth by DOE. The proposed facility will provide a safe working environment for its personnel and help better serve the needs of the customers in the Southern California region.

The two (2) existing facilities that are being replaced by the proposed project were built in 1960s and 1970s, with construction material containing asbestos and/or lead paint. The existing site is functionally obsolete with insufficient space available for efficient operation and equipment and vehicle storage.

MAINTENANCE FACILITIES

Introduction

The Division of Maintenance is responsible for maintenance of the state highway system in a manner consistent with Caltrans mission of providing a safe, sustainable, integrated and efficient transportation system to enhance California's economy and livability. This includes ensuring public and employee safety, preserving the highway infrastructure, and providing services that contribute to mobility and promote a clean and healthy environment. The Division of Maintenance consists of approximately 5,800 employees who work in partnership with other state agencies, local agencies, and private contractors to maintain the state highway system.

Together, the Division of Maintenance and its partners maintain approximately 50,000 lane miles of highway, more than 13,000 bridges, 250,000 roadside acres, 25,000 acres of landscaping, 87 rest areas, as well as commercial vehicle enforcement facilities, and countless other items that make up the state highway system inventory. Maintenance facilities are required to house staff, store equipment, and store materials used in the maintenance and repair of the state highway system. These facilities have building features such as: crew office space, equipment storage bays, equipment service bays, dormitories, employee housing, wash racks, material storage bins, bulk fuel, and hazmat storage.

Infrastructure Description

The total Maintenance Facilities operation space is approximately 2.7 million square feet. Maintenance facilities are of various types and are categorized as follows:

- Highway Maintenance Crew Stations
- Landscape Maintenance Crew Stations
- Special Crew Stations
- Stand-Alone Salt/Sand Storage Sheds
- Satellite Stations

Transportation-Related Facilities Maintenance Facilities Inventory

District		Square Feet
1	Eureka	137,000
2	Redding	317,000
3	Marysville	376,000
4	Oakland	363,000
5	San Luis Obispo	143,000
6	Fresno	227,000
7	Los Angeles	338,000
8	San Bernardino	208,000
9	Bishop	130,000
10	Stockton	214,000
11	San Diego	126,000
12	Irvine	163,000
	Total:	**2,742,000**

District 7, Torrance Maintenance Station

Projects

The 2017 FIP identifies six (6) projects at approximately $48.5 million in total project cost during the five-year plan period (FY 2017-18 through 2021-22), with approximately $33.1 million in construction and land acquisition costs and approximately $15.5 million in associated capital outlay support costs (e.g., engineering and right of way acquisition staff). A summary of these costs is presented in the chart below. Additionally, 35 projects are identified as unfunded needs that span beyond the five (5) years of the FIP, totaling approximately $166.7 million in construction costs. FIP project descriptions are provided on the following page.

MAINTENANCE STATIONS	2016 SHOPP Fiscal Years				2018 SHOPP Candidate Projects Fiscal Years		
		2017 Facilities Infrastructure Plan Fiscal Years					
PROGRAMMED IN 2016 SHOPP							
Location/Description	**2016-17**	**2017-18**	**2018-19**	**2019-20**	**2020-21**	**2021-22**	**2017 FIP Total**
D2 Adin Maintenance Station	$0	$0	$4,880,000	$0	$0	$0	**$4,880,000**
D3 Floriston Sand/Salt Storage Facility	$0	$0	$2,478,000	$0	$0	$0	**$2,478,000**
D4 San Francisco Oakland Bay Bridge (SFOBB) Toll Plaza Building	$12,450,000	$0	$0	$0	$0	$0	**$0**
D8 San Bernadino Maintenance Station	$0	$0	$6,670,000	$0	$0	$0	**$6,670,000**
2018 SHOPP CANDIDATE PROJECTS							
Location/Description							
D1 Idlewild Maintenance Facility Retrofit	$0	$0	$0	$0	$0	$2,000,000	**$2,000,000**
D8 Fontana Maintenance Station	$0	$0	$0	$0	$17,000,000	$0	**$17,000,000**
Construction Totals	$12,450,000	$0	$14,028,000	$0	$17,000,000	$2,000,000	**$33,028,000**
Land	$20,000	$0	$27,000	$0	$0	$0	**$27,000**
Sub-total (Capital)	$12,470,000	$0	$14,055,000	$0	$17,000,000	$2,000,000	**$33,055,000**
Support	$9,015,000	$0	$9,054,000	$0	$5,700,000	$700,000	**$15,454,000**
Grand Total	$21,485,000	$0	$23,109,000	$0	$22,700,000	$2,700,000	$48,509,000

**Note: This table does not reflect $10M in reservation funds set aside for Transportation Related Facilities for Fiscal Year 2019-20*

UNFUNDED NEEDS

Item #	Location/Description	Estimated Construction
1	**D1 - Fort Bragg and Manchester Maintenance Station Rehabil**	$1,216,000
2	**D1 - Fortuna, Gaberville, Willits and Ukiah Maintenance Station Rehabilitation**	$2,323,000
3	**D1 - Ukiah Maintenance Station Expansion**	$1,500,000
4	**D1 - Ukiah Maintenance Station Rehabilitation**	$1,700,000
5	**D2 - Platina Maintenance Station**	$3,500,000
6	**D3 - Tahoe City Maintenance Station**	$3,600,000
7	**D3 - Truckee Maintenance Station**	$15,000,000
8	**D4 - Queens Street Maintenance Station**	$3,000,000
9	**D4 - Santa Rosa Maintenance Station**	$4,000,000
10	**D4 - Specialty Region Maintenance Station**	$4,000,000
11	**D5 - Hollister Maintenance Station Relocation**	$3,474,000
12	**D5 - Salinas Maintenance Station**	$4,000,000
13	**D5 - San Luis Obispo Maintenance Station Relocation**	$22,600,000
14	**D6 - Fresno Construct New Maintenance Station**	$5,164,000
15	**D7 - Doran Maintenance Station**	$4,900,000
16	**D7 - Florence Maintenance Station Replacement**	$4,200,000
17	**D7 - Maintenance Equipment Training Center Expansion**	$1,500,000
18	**D7 - Torrance Maintenance Station Expansion**	$1,200,000
19	**D8 - Barstow Maintenance Station**	$2,000,000
20	**D8 - Elsinore Maintenance Station**	$5,000,000
21	**D8 - Indio Maintenance Station**	$3,500,000
22	**D8 - Lakeview Maintenance Station**	$2,500,000
23	**D8 - Victorville Maintenance Station**	$7,000,000
24	**D9 - Tehachapi Sand/Salt Shed Expansion**	$6,000,000
25	**D9 - Bishop Highway Maintenance Station Expansion**	$5,000,000
26	**D10 - Caples Lake Maintenance Station Replacement**	$4,600,000
27	**D10 - Modesto Maintenance Station Replacement**	$6,500,000
28	**D10 - Ione, Pine Grove and West Pointe Maintenance Station**	$4,600,000
29	**D10 - Stockton Maintenance Station Rehabilitation**	$8,900,000
30	**D10 - Woodford Maintenance Station Replacement**	$1,950,000
31	**D11 - Boulevard Maintenance Station**	$4,000,000
32	**D11 - Brawley Maintenance Station**	$3,500,000
33	**D11 - Escondido Maintenance Station**	$5,000,000
34	**D11 - Lake Henshaw Maintenance Station**	$4,000,000
35	**D12 - Orange Maintenance Station**	$5,800,000
Total Unfunded Needs		$166,727,000

Project Description

Programmed Projects

District 2, Adin Maintenance Facility Replacement – Construction Cost Estimate: $4,880,000
The proposed project replaces the office/crew building, equipment storage bay, covered storage canopy, salt storage building, and detention basin. The maintenance yard also needs to be repaved. The existing facility, built in the 1960s, has exceeded its service life, has inadequate work space, and is operationally deficient. Furthermore, the National Pollutant Discharge Elimination System (NPDES) requirements for stormwater runoff need to be addressed.

District 3, Floriston Sand/Salt Storage Facility – Construction Cost Estimate: $2,478,000
The project proposes to construct a salt and sand storage facility on Interstate 80 in the vicinity of the California Highway Patrol Donner Pass Inspection Facility and the California Department of Food and Agriculture Truckee Border Protection Station. The new facility will replace the salt and storage facilities at Floriston. The existing Floriston facility is operationally deficient, has exceeded its service life, is in deteriorating condition, and may have negative environmental impacts on the Truckee River. Closing the existing Floriston facility during the winter months impacts service to Interstate 80, State Route 89 and State Route 267.

District 8, San Bernardino Maintenance Facility Replacement – Construction Cost Estimate: $6,670,000
The facility project proposes to reconstruct the San Bernardino Maintenance Station. Reconstruction will include replacement of three (3) of the existing office buildings and one (1) of the warehouses that were built in 1954. The purpose of the project is to correct deficiencies and expand the capabilities of the maintenance station as the North Regional Manager Headquarters and alternative Emergency Operations Center. The current office staff is working out of three different locations. The facility has exceeded its service life, has inadequate work space, and is operationally deficient for current facility needs.

Candidate Projects

District 1, Idlewild Maintenance Facility Replacement – Construction Cost Estimate: $2,000,000
The project proposes to replace the equipment service bay building, backup generator, and water supply pipe. The existing building complex was built in 1971 and has exceeded its service life and is operationally deficient. The equipment service bay building has a small office, undersize crew room and a small men's restroom. There is no women's restroom, janitor's room or shower room. This station is in a high-elevation area where 24-hour shifts are normal during the winter season.

District 8, Fontana Maintenance Station – Construction Cost Estimate: $17,000,000
The proposed new maintenance facility will reduce response time to State Route 210. State Route 210 increased the District's inventory for electrical and landscape workload as well as lane miles. The nearest maintenance station to State Route 210 is the Magana-Ortega Maintenance Station. The emergency response time for the crew at the Magana-Ortega Maintenance Station can be as much as 50 minutes. Additionally, the construction of the Fontana Maintenance Facility will be located adjacent to the Southern Regional Laboratory and Transportation Management Center/Emergency Operations Center. Along with the existing emergency facilities, the Fontana Maintenance Facility is a critical asset of the State of California Emergency Plan (SEP).

MATERIALS LABORATORIES

Introduction

Caltrans currently operates approximately 124 materials testing facilities, ranging in size from large complex laboratories to small field construction testing facilities. District Materials Engineering (DME) and Independent Assurance Laboratories are currently located in each District and at the Caltrans Transportation Laboratory (TransLab) located in Sacramento. Additionally, Caltrans' Southern Regional Laboratory in San Bernardino County was completed in Fiscal Year 2010-11. Each of these laboratories provides support for all phases of the project development process and is required to perform federal and state-mandated quality assurance testing.

State Headquarters
Materials and Testing Laboratory, Sacramento
(Sacramento TransLab)

Staff routinely perform field and laboratory testing of highway materials in the construction phase and are responsible for providing materials information during the planning and design phases, including the Project Materials Report. District laboratories perform routine testing on soils, aggregate, asphalt concrete, and Portland cement concrete. This effort includes the coordination of skid testing, roadway and bridge profilographing, nuclear gauge administration, preliminary testing, calibration of equipment, and pavement coring.

The TransLab and DME laboratories are over 45 years of age, resulting in facilities that are not in compliance with current codes or lack electrical/mechanical capacity to run testing equipment efficiently. These facilities require infrastructure assessments be performed to determine actual facility safety conditions and electrical/mechanical conditions, repair costs, operational issues, and facility code deficiencies.

Infrastructure Description

The materials testing facilities are divided into the following three (3) category types:

- Category I – Program Laboratories (2)
  - Sacramento TransLab
  - Southern Regional Laboratory
- Category II – Main District Materials Engineering Testing Laboratories (9)
- Category III – Field Construction Laboratories (113)
  - Fixed Sites – 42
  - Mobile Sites 71

The facility inventory for Caltrans' Materials Laboratories (Category I and II) total 312,093 square feet as displayed in the table below.

Transportation-Related Facilities
Materials Laboratories Inventory [1/]

District		Address	City	Square Feet
1	Eureka	1726 Albee Street	Eureka	4,000
2	Redding	1657 Riverside Drive	Redding	5,841
3	Marysville	5330 Arboga Road	Olivehurst	13,000
4	Oakland	325 San Bruno Avenue	San Francisco	7,600
5	San Luis Obispo	50 Higuera Street	San Luis Obispo	3,330
6	Fresno	1352 West Olive	Fresno	5,600
8	San Bernardino	13970 Victoria Street [2/]	Fontana	81,000
9	Bishop	500 South Main	Bishop	2,200
10	Stockton	1976 East Dr. Martin Luther King Jr. Blvd	Stockton	5,617
11	San Diego	7177 Opportunity Road	San Diego	12,710
HQ	Sacramento	5900 Folsom Boulevard	Sacramento	171,195
			Total	**312,093**

[1/] Table only reflects Category I (Program Laboratories) and Category II (Main District Materials Engineering Testing Laboratories).
[2/] The Southern Regional Laboratory in District 8 San Bernardino supports Districts 7, 8, and 12.

Projects

The 2017 FIP identifies one project at approximately $1.5 million in total project cost during the five-year plan period (FY 2017-18 through 2021-22), with approximately $1.1 million in construction costs and approximately $0.4 million in associated capital outlay support costs (e.g., engineering and right of way acquisition staff). A summary of these costs is presented in the chart below. Additionally, three (3) projects are identified as unfunded needs that span beyond the five (5) years of the FIP, totaling $9.7 million in estimated construction costs. FIP project descriptions are provided on the following page.

MATERIAL LABORATORIES	2016 SHOPP Fiscal Years	2017 Facilities Infrastructure Plan Fiscal Years					2018 SHOPP Candidate Projects Fiscal Years
PROGRAMMED IN 2016 SHOPP Location/Description	2016-17	2017-18	2018-19	2019-20	2020-21	2021-22	2017 FIP Total
	$0	$0	$0	$0	$0	$0	**$0**
2018 SHOPP CANDIDATE PROJECTS Location/Description							
D1 - Eureka Materials Laboratory Retrofit/Replacement	$0	$0	$0	$0	$1,100,000	$0	**$1,100,000**
Construction Totals	$0	$0	$0	$0	$1,100,000	$0	**$1,100,000**
Land	$0	$0	$0	$0	$0	$0	**$0**
Sub-total (Capital)	$0	$0	$0	$0	$1,100,000	$0	**$1,100,000**
Support	$0	$0	$0	$0	$400,000	$0	**$400,000**
Grand Total	**$0**	**$0**	**$0**	**$0**	**$1,500,000**	**$0**	**$1,500,000**

UNFUNDED NEEDS

Item #	Location/Description	Estimated Construction
1	**D3 - Headquarters Transportation Laboratory Rehabilitation**	$1,050,000
2	**D4 - San Bruno Laboratory Replacement**	$7,500,000
3	**D9 - Bishop Construct New Laboratory**	$1,100,000
Total Unfunded Needs		$9,650,000

Candidate Projects

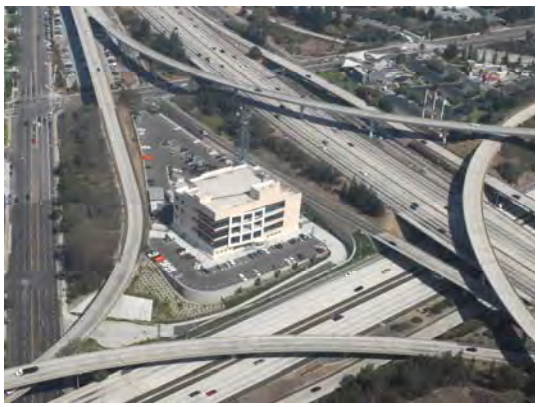
District 1, Eureka Material Laboratory Retrofit/Replacement – Construction Cost Estimate: $1,100,000

The project proposes to seismically retrofit and renovate the Eureka Material Lab. The existing material lab is over 50 years old, does not meet operational needs and has exceeded its functional operational life. The project will improve testing efficiency by designing equipment testing areas to accommodate new state-of-the-art testing equipment, provide a safe work environment for its personnel and help better serve the needs of the customers in the region.

TRANSPORTATION MANAGEMENT CENTERS

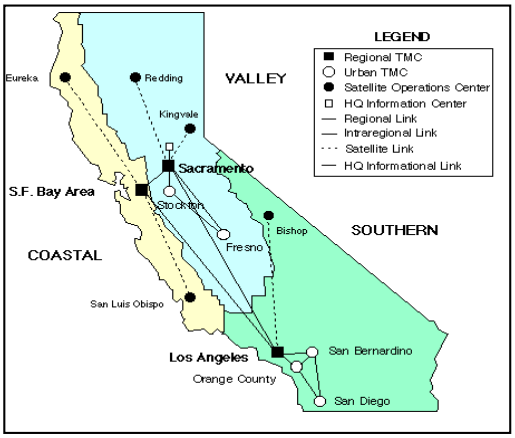
Introduction

A Transportation Management Center (TMC) Master Plan was written in 1997 to develop the framework for standardized statewide strategies for TMCs. Based on geography and population centers, California was divided into three (3) transportation regions that are managed by three (3) regional TMCs located in Districts 3, 4 and 7; five (5) urban TMCs located in Districts 6, 8, 10, 11 and 12; and five (5) smaller TMCs/Satellite Operations Centers (SOCs) located in Districts 1, 2, 3, 5 and 9.



District 7 – Los Angeles Regional Transportation Management

TMCs coordinate with each other and with neighboring states to optimize the efficiency of the transportation system, minimize traveler delays, and increase the safety of the traveling public and the highway workers that maintain the system. The TMCs conduct daily transportation management activities to smooth the flow of traffic, coordinate traffic incident management response in order to limit non-recurring congestion, and provide traveler information to the public to help them make informed travel decisions. The three TMCs designated as regional TMCs provide traffic operations services beyond their urban area as needed.



Transportation Management Center Locations

Since the California Highway Patrol (CHP) conducts incident scene management and other public safety services (e.g., pacing traffic in fog and snow) on the state highways, communication and coordination between Caltrans' Traffic Operations staff and CHP staff is critical. In some cases, CHP staffs (officers, dispatchers, and public information officers) are co-located within the TMCs. Additionally, in some locations, a local or regional Emergency Operations Center may be operated within the TMC due to the coordination and media capabilities they possess.

Infrastructure Description

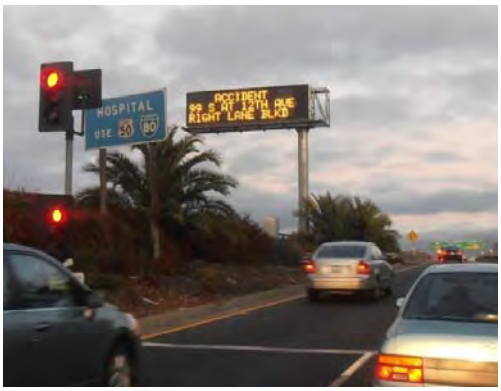
Caltrans maintains 265,685 square feet of TMC operating space, as shown in the table below. Typical TMCs may include security, communication, and dispatch areas; press coverage and briefing rooms; staff offices; restrooms; and locker areas.

Transportation-Related Facilities
Transportation Management Centers (TMCs) Inventory

District		Address	City	Year Built	Square Feet
1	Eureka	1656 Union Street	Eureka	1953	230
2	Redding	1657 Riverside Drive	Redding	1953	830
3	Marysville	3165 Gold Valley Drive	Rancho Cordova	1999	34,200
3	Marysville	51121 Donner Pass Road [1/]	Kingvale	N/A	1,760
4	Oakland	111 Grand Avenue	Oakland	1992	10,200
5	San Luis Obispo	50 Higuera Street	San Luis Obispo	1955	1,500
6	Fresno	1352 West Olive	Fresno	1958	3,065
7	Los Angeles	2901 West Broadway	Los Angeles	2008	82,300
8	San Bernardino	13970 Victoria Street	Fontana	2011	43,000
9	Bishop	500 South Main Street	Bishop	1954	400
10	Stockton	1976 East Dr. Martin Luther King Jr. Blvd.	Stockton	1957	2,200
11	San Diego	7183 Opportunity Road	San Diego	1996	42,000
12	Irvine	6681 Marine Way	Irvine	2001	44,000
				Total	**265,685**

[1/] Winter operation at the Kingvale Maintenance Station

District 12 – TMC Video Wall



District 3 – Changeable Message Sign/Ramp Meter

Projects

The 2017 FIP identifies no Transportation Management Center (TMC) projects for Fiscal Years 2017-18 through 2021-22. Additionally, one (1) project is identified as an unfunded need that spans beyond the five years of the FIP, with approximately $10 million in construction cost.

TRANSPORTATION MANAGEMENT CENTERS	2016 SHOPP FISCAL YEARS	2018 SHOPP Candidate Projects Fiscal Years					
		2017 Facilities Infrastructure Plan Fiscal Years					
	2016-17	2017-18	2018-19	2019-20	2020-21	2021-22	2017 FIP Total
PROGRAMMED IN 2016 SHOPP	$0	$0	$0	$0	$0	$0	$0
Location/Description							
2018 SHOPP CANDIDATE PROJECTS	$0	$0	$0	$0	$0	$0	$0
Location/Description							
Construction Totals	$0	$0	$0	$0	$0	$0	**$0**
Land	$0	$0	$0	$0	$0	$0	**$0**
Sub-total (Capital)	$0	$0	$0	$0	$0	$0	**$0**
Support	$0	$0	$0	$0	$0	$0	**$0**
Grand Total	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**

UNFUNDED NEEDS

Item #	Location/Description	Estimated Construction
1	**D10 - TMC/Emergency Operations Center**	$10,000,000
Total Unfunded Needs		$10,000,000

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CHAPTER 4

RESOURCE CONSERVATION

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RESOURCE CONSERVATION EFFORTS

The California Department of Transportation's (Caltrans) resource conservation policies, practices, and planning efforts are consistent with Governor Edmund G. Brown Jr.'s Drought State of Emergency, proclaimed on January 17, 2014; Executive Order B-16-12, signed on March 23, 2012; Executive Order B-18-12, signed on April 25, 2012; Executive Order B-29-15, signed on April 1, 2015; and the Executive Order B-30-15 signed on April 29, 2015.

Policy

Drought State of Emergency

On January 17, 2014, Governor Edmund G. Brown Jr. proclaimed a drought State of Emergency and directed state officials to take all necessary actions to prepare for California's drought conditions. Furthermore, the Governor directed State agencies to use less water and initiate a greatly expanded water conservation public awareness campaign. In his declaration, the Governor called for a 20 percent statewide water usage reduction.

Executive Order B-16-12

Executive Order B-16-12 moves the state toward the integration of zero-emission vehicles (ZEVs) into the mainstream. It directs the state toward establishing an infrastructure that can support increased public and private ZEVs. The Executive Order requires, state agencies to increase the number of ZEVs through the normal course of fleet replacement so that at least 10 percent of fleet purchases of light-duty vehicles are zero-emission by 2015 and at least 25 percent by 2020.

Executive Order B-18-12

Executive Order B-18-12 directs agencies and departments to take steps to green the state's buildings, reduce greenhouse gas emissions, and improve energy efficiency. The Executive Order requires, state agencies and departments to:

- Achieve the U.S. Green Building Council's Leadership in Energy and Environmental Design (LEED) "Silver" certification or higher and to incorporate clean, on-site power generation (such as photovoltaic, solar thermal, wind power generation, and clean back-up power supplies) for new or renovated state buildings larger than 10,000 square feet;

- Set a target of zero net energy consumption for 50 percent of new and renovated state-owned buildings by 2025 and zero net energy consumption from all new or renovated state buildings design after 2025;
- Reduce grid-based energy purchases and other non-building grid-based retail energy purchases by 20 percent by 2018; as compared to a 2003 baseline;
- Reduce overall water use by 10 percent by 2015 and 20 percent by 2020, as measured against a 2010 baseline; and
- Reduce greenhouse gas emissions by 10 percent by 2015 and 20 percent by 2020, as measured against a 2010 baseline.
- Measure and report power usage effectiveness (PUE) annually of data centers that exceed 1000 square feet to the Department of Technology using the Power Usage Effectiveness Report. Data Centers that exceed a PUE of 1.5 shall reduce their PUE by a minimum of 10 percent per year until they achieve a 1.5 or lower PUE.

Executive Order B-29-15

Executive Order B-29-15 directs the state to save water, increase enforcement to prevent wasteful water use, streamline the state's drought response and invest in new technologies that will make California more drought resilient. The Governor directed the State Water Resources Control Board to implement mandatory drought reductions in cities and towns across California to achieve a statewide 25 percent reduction in potable urban water usage through February 28, 2016 compared to a 2013 baseline.

Executive Order B-30-15

Executive Order B-30-15 establishes a new interim statewide greenhouse gas emission reduction target to reduce greenhouse gas emissions to 40 percent below 1990 levels by 2030; in order to ensure California meets a reduction target of 80 percent below 1990 levels by 2050. Furthermore, the Executive Order establishes a process for tracking implementation of adaption activities and requires that state agencies incorporate climate change into their planning and investment decisions using a full life-cycle cost accounting to evaluate and compare infrastructure investments and alternatives. Additionally, the California's Five-Year Infrastructure Plan will incorporate current and future climate change impacts in decisions to construct new infrastructure projects and rehabilitate existing ones.

Caltrans continues to work towards reaching the goals articulated in Executive Order B-30-15, Executive Order B-29-15, the Drought State of Emergency Proclamation, and the Executive Order B-16-12. Additionally, Caltrans takes measures to follow Executive Order B-18-12 to support the state's renewable power statutes, "green

power" electric grid demand, energy and water conservation, LEED, climate change mandates, and the ZEV mandates.

Practice and Planning

Water Efficiency and Conservation

Caltrans continues to build on existing efforts to conserve water, address fundamental changes in its approach to water resource management, and prepare for changes in the future. Caltrans water conservation measures include:

Office Facilities

- Continue to work toward reducing water usage by 25 percent.
- Continue to survey all facilities to expedite water efficiency retrofits of interior water fixtures, landscape irrigation and planting, and other water-using equipment of facilities.
- Installed low-flow water faucet aerators to reduce interior water usage.
- Checked automatic sensors on faucets, toilets, and urinals to ensure they are operating properly and avoid unnecessary water use.
- Replace faulty plumbing fixtures with low-volume models, if feasible.
- Ceased supplying water to equipment and areas that are not utilized.
- Ceased building interior and exterior window washing.
- Ceased power washing unless required for health or safety issues.
- Installed "Reduce Water Use" signage.
- Implemented energy-efficiency measures to reduce the need for building and equipment cooling and heating, which will reduce the amount of water required by these systems.
- Ceased watering turf or annuals.
- Ceased the use of water features (i.e., fountains, etc.)
- Ceased state vehicle washing unless for health and safety reasons.
- Continue to design water-smart landscapes.

Maintenance and Construction

- Ceased landscape irrigation and highway planting work in severe water shortage areas as defined by the California Department of Public Health.
- Ceased irrigation of turf grasses and lawns at all maintenance facilities and roadsides (i.e., State Roadside Rest Areas, Truck Weight Inspection Facilities, etc.).
- Continue to replace inefficient irrigation and plumbing components with water-efficient components.
- Continue to apply mulch and reduce pruning of trees and shrubs (except when addressing safety issues) to reduce water loss through evaporation from the soil.
- Ceased washing state vehicles unless for health and safety reasons.

Other Water Conservation Projects

- The South Lake Tahoe Maintenance Stations will install wash rack improvements this fiscal year that will reduce water consumptions by 20% or more.
- Since 2014, 1,361 water fixtures were replaced statewide with more efficient models in office buildings, maintenance stations, and equipment shops.
- A district-wide (Del Norte, Humboldt, Mendocino, and Lake Counties) water retrofit will be completed at all District 1 Maintenance facilities in 2016.

Energy Efficiency and Conservation

Clean Renewable Energy Bonds

Caltrans requested budget authority in Fiscal Year 2008-09 to spend $20 million from the sale of Clean Renewable Energy Bonds (CREBs) to install roof-mounted solar panels at 70 transportation facilities. The goal is for the 70 sites to generate over 2.4 megawatts (MW) of energy. The funding for the debt service payments will come from the utilities savings in the State Highway Account (SHA) that result from the installation of the photovoltaic systems.

In 2009, the bonds were sold and the design of the 70 projects started. As of mid-January 2013, all 70 projects were completed and generating electricity. The 2.4 megawatts of solar power that Caltrans' 70 sites are expected to produce can power approximately 500 homes per year.

Solar Energy Projects

- The District 8 Transportation Management Center and the Southern Regional Laboratory campus in Fontana installed a 19-acre solar farm under a Public Private Partnership to provide lower cost electricity to these facilities.
- In 2016, Caltrans facilities in Redding, Oakland, San Bernadino, and Irvine plan to participate in the California Department of General Services (DGS) Solar Power Purchase Agreement (PPA) which includes performing a fesibility study to determine viable candidate locations.

Electric Vehicle projects

- Caltrans installed 38 electric vehicle (EV) charging stations and plans to install another 66 EV charging stations statewide. An additional 19 stations are pending dates of installation at pre-determined locations.
- Caltrans has 118 Plug-in Electric Vehicles (PEV) such as, Battery Electric Vehicles (BEV) and Plug-in Hybrid Electric Vehicles (PHEV).

Efficient Lighting Projects

- In 2015, Caltrans purchased and distributed 61,000 Light Emitting Diode (LED) luminaries to its statewide district headquarters buildings. These LED tubes will have a longer operational life span, are 40%-50% more energy efficient, and more ecologically friendly than fluourescent lights presently used because they do not contain mercury.
- In 2015,the Headquarters Equipment Shop converted 584 light fixtures to LED luminaries and other field shops are installing or have installed LED luminaries resulting in approximately 40% energy savings.
- Equipment Bays in Adin, Yreka and Grass Lake Maintenance Stations will replace flourescent lights with LEDs this fiscal year.
- The Division of Maintenance purchased LED luminaries for many of the maintenance stations statewide. This ongoing effort will replace the maintenance yard exterior lights, specifically the cobra head street lighting and wall pack light fixtures that have inefficient lighting units. The

anticipated savings in energy costs will be approximately 35%-40% from the current energy usage cost.

Energy Efficiency in Data Centers and Server Rooms:

- The District 7 (Los Angeles) District Office Data Center was evaluated for Power Use Effectiveness (PUE) and is complying with reporting requirements of B-18-12.
- The Sacramento Headquarters Office, Farmers Market Plaza in Sacramento, District 3 (Marysville), District 4 (Oakland), District 8 (San Bernardino), and District 11 (San Diego) are in process of measuring and reporting their PUE.

Other Energy Efficient Projects

- The Sacramento Headquarters Division of Equipment (DOE) office building was recently retrofitted with a modern more efficient Heating Ventilation and Air Condition (HVAC) system.
- In July 2015, the District 1 (Eureka) Fire, Life Safety Modernization Project, included the installation of energy efficient lights and heating and ventilation.
- Caltrans Information Technology (IT) uses a power management software on all workstations and laptops that manages the power options settings and sets them to sleep mode when not active.

Leadership in Energy and Environmental Design (LEED)

In the past 11 years, Caltrans has constructed three new office buildings in Districts 3, 7, and 11 that are sustainable and have obtained a United States Green Building Council LEED Green Building Rating of Silver or better. The District 7 Headquarters office building was originally certified as LEED Green Building Rating of Silver, but it achieved LEED Green Building Rating of Gold in 2011 after a series of additional changes. The changes included adjusting the thermostat to further reduce heating and cooling loads, committing to the purchase of recycled products, and adopting more sustainable custodial practices. In 2010, a leased office building tenant improvement project in District 12 achieved a United States Green Building Council LEED for Commercial Interiors rating of Gold. Incorporated in these buildings and office space are energy-efficient lighting, window systems, and HVAC systems.

In 2011, the construction of the Inland Empire Transportation Management Center, located in Fontana, was completed and a LEED Green Building Rating of Gold was

achieved, which is the first essential services facility in the nation to achieve this certification.

In fall 2012, the construction of the Phillip S. Raine Rest Area on Highway 99 near Tipton in Tulare County (District 6) that features solar panels, recycled materials, pervious paving, low-flow plumbing, drought-tolerant plants, and an efficient irrigation system was completed and a LEED Green Building Rating of Platinum, (the highest rating available) was achieved. It is the first LEED-certified rest area in California.

The San Francisco – Oakland Bay Bridge Maintenance Complex project is designed to meet or exceed the Governor's Executive Order B-18-12, which requires buildings over 10,000 square feet to be designed as LEED – New Construction Silver certification.

Other LEED Projects:

- The Caltrans Headquarters (HQ) building in Sacramento is currently under contract to achieve LEED – Existing Building (EB) Operation and Maintenance (OM) Silver certification. Caltrans plans on performing LEED – EB certifications for District 6 (Fresno), District 10 (Stockton), District 7 (Los Angeles) Transportation Management Center (TMC), District 12 (Irvine) TMC, Caltrans Transportation Laboratory (Sacramento), District 1 (Eureka), District 4 (Oakland), District 8 (San Bernadino) and District 2 (Redding).
- The San Francisco Oakland Bay Bridge (SFOBB) Toll Plaza Maintenance Station Building obtained a LEED Green Building Rating of Gold.
- Leased office space in Sacramento, San Luis Obispo, and Irvine was renegotiated to include LEED Silver certification and implementation measures of the CALGreen code related to indoor environmental quality and water efficiency.
- The El Centro Maintenance Station project was designed to include a LEED Green Building Rating of Silver .
- The Caltrans District 3 (Marysville) office will be recertified as a LEED – EB Green Building Rating of Silver.
- The Caltrans District 7 (Los Angeles) Headquarters office building will be recertified as a LEED - EB Green Building Rating of Gold.

Other Resource Conservation Projects

- The Caltrans District 4 (Oakland) and District 11 (San Diego) Headquarters office buildings have enrolled in Sustainability Circles. A Sustainability Circle is a comprehensive, six-month, peer-learning program that will enable Caltrans to implement sustainability practices and create a five-year action plan.

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APPENDIX

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Reconciliation to Previous Facilities Infrastructure Plan

(2017 FIP reconcile to 2016 FIP)

Programmed in 2016 SHOPP (Fiscal Years 2017-18 through 2019 -20*)

District	Facility Type	Project	Reconciliation	2015 FIP	2016 FIP
D7	Equipment	Southern Region Equipment Repair Shop	Programmed Project FY: 2017-18	$0	$23,400,000
D2	Maintenance	Adin Maintenance Station	Programmed Project FY: 2018-19	$0	$4,880,000
D3	Maintenance	Floristan Sand/Salt Storage Facility	Programmed Project FY: 2018-19	$0	$2,478,000
D8	Maintenance	San Bernadino Maintenance Station	Programmed Project FY: 2018-19	$0	$6,670,000
				$0	**$37,428,000**

2018 SHOPP Candidate Projects (Fiscal Years 2020-21 through 2021-22**)

District	Facility Type	Project	Reconciliation	2015 FIP	2016 FIP
D1	Maintenance	Idlewild Maintenance Facility Retrofit	Planned for FY: 2021-22	$0	$2,000,000
D8	Maintenance	Fontana Maintenance Station	Planned for FY: 2020-21	$0	$17,000,000
D1	Material Laboratories	Eureka Material Laboratory Retrofit/Replacement	Planned for FY: 2020-21	$0	$1,100,000
				$0	**$20,100,000**
			TOTAL FIP Projects (FY 2017-18 through 2021-22) Construction Costs	**$0**	**$57,528,000**

Unfunded Needs

District	Facility	Project	Reconciliation	2016 FIP	2017 FIP
1	Equipment	Ukiah Sub-Shop Retrofit	Revised Estimate	$2,500,000	$6,500,000
2	Equipment	Yreka Sub-Shop	New Unfunded Need	$0	$1,500,000
3	Equipment	Auburn Resident Mechanic Facility	New Unfunded Need	$0	$2,000,000
3	Equipment	Marysville Equipment Shop Expansion	New Unfunded Need	$0	$10,000,000
3	Equipment	Placerville Resident Mechanic Facility	New Unfunded Need	$0	$2,000,000
3	Equipment	South Lake Tahoe Sub-Shop Facility Expansion	No Change	$3,000,000	$6,500,000
4	Equipment	Fairfield Sub-Shop Facility Relocation	No Change	$6,500,000	$6,500,000
4	Equipment	Hercules Resident Mechanic Facility	New Unfunded Need	$0	$1,500,000
4	Equipment	Leweling Resident Mechanic Facility	New Unfunded Need	$0	$2,000,000
4	Equipment	Napa Resident Mechanic Facility	New Unfunded Need	$0	$2,000,000
4	Equipment	San Leandro Equipment Shop Facility Renovation	Revised Estimate	$3,500,000	$10,000,000
5	Equipment	Santa Cruz Resident Mechanic Facility	New Unfunded Need	$0	$2,000,000
6	Equipment	Coarsgold Resident Mechanic Facility	New Unfunded Need	$0	$1,500,000
6	Equipment	Delano Resident Mechanic Facility	New Unfunded Need	$0	$1,500,000
6	Equipment	Fresno Equipment Shop Replacement	Revised Estimate	$25,463,000	$10,000,000
7	Equipment	Bellflower Resident Mechanic Facility	New Unfunded Need	$0	$2,000,000
7	Equipment	Lancaster Resident Mechanic Facility	New Unfunded Need	$0	$2,000,000
7	Equipment	Long Beach Resident Mechanic Facility	New Unfunded Need	$0	$2,000,000
7	Equipment	Southern Regional Equipment Repair Shop	Programmed in 2016 SHOPP	$15,000,000	$0
7	Equipment	Tarzana Resident Mechanic Facility	New Unfunded Need	$0	$2,000,000
7	Equipment	Ventura Resident Mechanic Facility	New Unfunded Need	$0	$2,000,000
8	Equipment	Banning Resident Mechanic Facility	New Unfunded Need	$0	$1,500,000
8	Equipment	Dry Creek Resident Mechanic Facility	New Unfunded Need	$0	$1,500,000
8	Equipment	Fawnskin Resident Mechanic Facility	New Unfunded Need	$0	$1,500,000
8	Equipment	Indio Resident Mechanics Facility Replacement	Revised Estimate	$2,500,000	$2,000,000
8	Equipment	San Bernardino Shop	New Unfunded Need	$0	$10,000,000
8	Equipment	Victorville Resident Mechanic Facility	New Unfunded Need	$0	$1,500,000
10	Equipment	Camp Connel Resident Mechanic Facility	New Unfunded Need	$0	$2,000,000
10	Equipment	Lodi Resident Mechanic Facility	New Unfunded Need	$0	$2,000,000
10	Equipment	Merced Resident Mechanic Facility	New Unfunded Need	$0	$2,000,000
10	Equipment	Modesto Resident Mechanic Facility	New Unfunded Need	$0	$2,000,000
10	Equipment	Peddler Hill Resident Mechanic Facility	New Unfunded Need	$0	$2,000,000
10	Equipment	Woodfords Resident Mechanic Facility	New Unfunded Need	$0	$1,500,000
HQ	Equipment	Division of Equipment HQ Facility Replacement	No Change	$60,000,000	$60,000,000
HQ	Equipment	Division of Equipment HQ Facility Warehouse	New Unfunded Need	$0	$5,000,000

* The Facilities Infrastructure Plan overlaps the last three years of the 2016 SHOPP

** The last two years of the Facilties Infrastructure Plan overlap the 2018 SHOPP

Appendix - Exhibit 1

Unfunded Needs Continued					
1	Maintenance	Fort Bragg and Manchester Maintenance Station Rehabilitation	New Unfunded Need	$0	$1,216,000
1	Maintenance	Fortuna, Gaberville, Willits and Ukiah Maintenance Station Rehabilitation	New Unfunded Need	$0	$2,323,000
1	Maintenance	Idlewild Maintenance Facility Replacement	Candidate Project for 2018 SHOPP	$3,000,000	$0
1	Maintenance	Ukiah Maintenance Station Expansion	New Unfunded Need	$0	$1,500,000
1	Maintenance	Ukiah Maintenance Station Rehabilitation	New Unfunded Need	$0	$1,700,000
2	Maintenance	Adin Maintenance Facility - Major Rehabilitation	Programmed in 2016 SHOPP	$4,000,000	$0
2	Maintenance	Platina Maintenance Station	New Unfunded Need	$0	$3,500,000
3	Maintenance	Auburn Maintenance Facility - Major Rehabilitation	Dropped off 2017 FIP - Due to reprioritization	$3,000,000	$0
3	Maintenance	Roseville Maintenance Facility - Major Rehabilitation	Dropped off 2017 FIP - Due to reprioritization	$3,000,000	$0
3	Maintenance	Tahoe City Maintenance Facility Replacement	Revised Estimate	$2,500,000	$3,600,000
3	Maintenance	Truckee Maintenance Station	New Unfunded Need	$0	$15,000,000
4	Maintenance	Queens Street Maintenance Facility - Major Rehabilitation	No Change	$3,000,000	$3,000,000
4	Maintenance	Santa Rosa Maintenance Facility Replacement	No Change	$4,000,000	$4,000,000
4	Maintenance	Specialty Region Maintenance Facility Rehabilitation	No Change	$4,000,000	$4,000,000
5	Maintenance	Hollister Maintenance Facility Relocation	Revised Estimate	$4,100,000	$3,474,000
5	Maintenance	Salinas Maintenance Facility	New Unfunded Need	$0	$4,000,000
5	Maintenance	San Luis Obispo Maintenance Facility Relocation	Revised Estimate	$27,000,000	$22,600,000
6	Maintenance	Fresno New Maintenance Facility	New Unfunded Need	$0	$5,164,000
7	Maintenance	Doran Maintenance Facility	Revised Estimate	$4,400,000	$4,900,000
7	Maintenance	Florence Maintenance Facility Replacement	Revised Estimate	$1,600,000	$4,200,000
7	Maintenance	Maintenance Equipment Traning Center Expansion	New Unfunded Need	$0	$1,500,000
7	Maintenance	Torrance Maintenance Station Expansion	New Unfunded Need	$0	$1,200,000
8	Maintenance	Barstow Maintenance Station	New Unfunded Need	$0	$2,000,000
8	Maintenance	Blythe Maintenance Facility Replacement	Dropped off 2017 FIP - Due to reprioritization	$4,000,000	$0
8	Maintenance	Dry Creek Maintenance Facility Replacement	Dropped off 2017 FIP - Due to reprioritization	$4,000,000	$0
8	Maintenance	Elsinore Maintenance Station	New Unfunded Need	$0	$5,000,000
8	Maintenance	Fontana Maintenance Faciity	Candidate Project for 2018 SHOPP	$17,000,000	$0
8	Maintenance	Indio Maintenance Station	New Unfunded Need	$0	$3,500,000
8	Maintenance	Lakeview Maintenance Station	New Unfunded Need	$0	$2,500,000
8	Maintenance	Mountain Pass Maintenance Facility Replacement	Dropped off 2017 FIP - Due to reprioritization	$4,000,000	$0
8	Maintenance	Riverside Maintenance Facility Replacement	Dropped off 2017 FIP - Due to reprioritization	$15,000,000	$0
8	Maintenance	San Bernardino Maintenance Facility Replacement	Programmed in 2016 SHOPP	$10,500,000	$0
8	Maintenance	Victorville Maintenance Station	New Unfunded Need	$0	$7,000,000
9	Maintenance	Tehachapi Sand/Salt Shed Expansion	New Unfunded Need	$0	$6,000,000
9	Maintenance	Bishop Highway Maintenance Station Expansion	New Unfunded Need	$0	$5,000,000
10	Maintenance	Caples Lake Maintenance Station Replacement	New Unfunded Need	$0	$4,600,000
10	Maintenance	Modesto Maintenance Station Replacement	New Unfunded Need	$0	$6,500,000
10	Maintenance	Ione, Pine Grove and West Pointe Maintenance Station Cosolidation	New Unfunded Need	$0	$4,600,000
10	Maintenance	Stockton Maintenance Station Rehabilitation	New Unfunded Need	$0	$8,900,000
10	Maintenance	Woodford Maintenance Station Replacement	New Unfunded Need	$0	$1,950,000
11	Maintenance	Boulevard Maintenance Facility - Major Rehabilitation	Revised Estimate	$3,000,000	$4,000,000
11	Maintenance	Brawley Maintenance Station	New Unfunded Need	$0	$3,500,000
11	Maintenance	Escondido Maintenance Station	New Unfunded Need	$0	$5,000,000
11	Maintenance	Lake Henshaw Maintenance Facility - Major Rehabilitation	Revised Estimate	$2,000,000	$4,000,000
12	Maintenance	Orange Maintenance Station	New Unfunded Need	$0	$5,800,000
12	Maintenance	Stanton Maintenance Facility Relocation	Dropped off 2017 FIP - Due to reprioritization	$12,000,000	$0
2	Office Building	Redding District Office Replacement	New Unfunded Need	$0	$36,800,000
3	Office Building	Sacramento Headquarters Building	New Unfunded Need	$0	$199,600,000
5	Office Building	San Luis Obispo District Office Replacement	New Unfunded Need	$0	$38,300,000
6	Office Building	Fresno District Office Replacement	New Unfunded Need	$0	$77,700,000
9	Office Building	Bishop District Office Replacement	New Unfunded Need	$0	$65,100,000
10	Office Building	Stockton District Office Replacement	New Unfunded Need	$0	$65,300,000
3	Material Laboratories	Headquarters Transportation Laboratory Rehabilitation	New Unfunded Need	$0	$1,050,000
4	Material Laboratories	San Bruno Laboratory Replacement	New Unfunded Need	$0	$7,500,000
9	Material Laboratories	Bishop Construct New Laboratory	New Unfunded Need	$0	$1,100,000
10	Transportation Management Center	Stockton Transportation Management Center/Emergency Operation Center	New Unfunded Need	$0	$10,000,000
				$253,563,000	**$839,177,000**

Infrastructure Functional and Physical Inadequacies

The California Department of Finance requests departments to provide documentation of the "infrastructure functional and physical inadequacies". The reports documenting these inadequacies are too extensive to include within this report; however, a list of documentation is provided in the table below. These documents are available upon request from Caltrans.

Facility Studies

District	Study	Date
1	DGS Economic Analysis	August 2007
	DGS Infrastructure Study Update	June 2006
2	DGS Facility Study and Economic Analysis	March 2007
	DGS Infrastructure Study	February 2003
	Seismic Study (Risk Level 5)	October 1997
3	Seismic Study, (Risk Level 5), Rutherform & Chekene	January 1998
	DGS Economic Analysis	September 1999
	DGS Facility Study	1994
4	Seismic Report, Degenkolb Engineer/Crosby Group	May 2004
	Physical & Numerical Performance Evaluation of Steel Monument Frames	December 2002
	DGS Seismic Assessment	1990
5	DGS Facility Study and Economic Analysis	March 2007
	DGS Infrastructure Study	February 2003
	Seismic Study (Risk Level 5), Rutherford & Chekene	January 1999
6	DGS Infrastructure Study	Cancelled
	DGS Economic Analysis	September 2000
	DGS Infrastructure Study	November 1990
7	Building Maintenance Assessment, Owens Group	In Process
8	Seismic Assessment, Wong Hobach and Lau	1998
	Seismic Study (Risk Level 4), Rutherford & Chekene	March 1998
9	DGS Feasibility Study Report, Shah Kawaskai Architects	March 2008
	DGS Feasibility Study Report	October 2007
	DGS Infrastructure Study	October 2003
10	DGS Infrastructure Study	July 2009
	Seismic Study (Risk Level 3), State Architect	September 1997
HQ	Equipment Shop, DGS Study	Cancelled
	Caltrans Headquarters, DGS Infrastructure Study	July 2006
	Caltrans Headquarters, DGS Infrastructure Study - Update	April 2007
	Long-Term Headquarters Consolidation Master Plan Phase One	April 2010
	Caltrans Headquarters, DGS Infrastructure Study - Update	In Process

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Calculation of "Net Need"

Caltrans projects a "net need" for office space totaling approximately 47,585 square feet (less than 2% of the statewide total).

A significant amount of Caltrans state-owned office space inventory will exceed 50 years of age during the 2017 Facilities Infrastructure Plan time period. These facilities will require renovation or replacement. Additionally, in some geographic areas a significant[1] number of Caltrans' employees are housed in leased office space.

STATEWIDE SUMMARY OFFICE FACILITIES "NET NEED"					
	Facilities Infrastructure Plan Years				
	Year 1 FY 2017-18	Year 2 FY 2018-19	Year 3 FY 2019-20	Year 4 FY 2020-21	Year 5 FY 2021-22
New Office Building Construction[1] (location of new office building)	-	-	-	-	-
Number of Buildings Vacated[2] (due to new office building construction)	-	-	-	-	-
Number of Leases Eliminated[3] (due to new office building construction)	-	-	-	-	-
Office Space "Supply"[4] (net square feet of owned and leased space)	3,028,675	3,028,675	3,028,675	3,028,675	3,028,675
Office Space "Demand"[5] (220 net square feet per person)	3,076,260	3,076,260	3,076,260	3,076,260	3,076,260
Office Space "Net Need"[6] (supply less demand - in square feet)	*(47,585)*	*(47,585)*	*(47,585)*	*(47,585)*	*(47,585)*
Office Space "Net Need"[7] (supply less demand - as a percentage)	*(1.57)%*	*(1.57)%*	*(1.57)%*	*(1.57)%*	*(1.57)%*

Chart Footnotes:
1) Actual and proposed construction of office facilities by location and fiscal year.
2) The number of office buildings vacated due to the actual or proposed new office facilities.
3) The number of leases terminated due to the actual or proposed new facilities.
4) The amount of office space statewide, stated in net square feet (nsf), based upon the actual inventory of space.
5) The amount of office space needed statewide, stated in net square feet (nsf), based upon 220 nsf per staff person and that office-related positions statewide are assumed stable at 13,983.
6) The surplus or shortage of office space statewide, stated in net square feet (nsf), based upon the actual inventory and the amount needed.
7) The surplus or shortage of office space statewide, stated as a percentage.

[1]Executive Order W-18-91 states that, "The State shall, where possible and feasible, own those real estate facilities necessary for State operations, where the need for the facility is long-term and ownership is economically advantageous over the life of the facility."

Office Facilities "Net Need"

Fiscal Years 2017-18 through 2021-22

District	Address		Owned (O) Leased (L)	Owned Gross	Owned Net	Leased	District Total "gross space" *(Owned Gross & Leased)*	District Total "net space" *(Owned Net & Leased)*	*Other*
District Office Facilities									
D1	1656 Union Street	Eureka	O	80,800	56,560				
	TMC, 1656 Union Street	Eureka	O		*(230)*				
	1656 Union Street (Modular)	Eureka	O	4,176	2,923				
	1835 6th Street (Modular)	Eureka	O	6,480	4,536				
	District Totals:			**91,456**	**63,789**	**0**	**91,456**	**63,789**	***0***
D2	1657 Riverside Drive	Redding	O	47,851	33,496				
	TMC, 1657 Riverside Drive	Redding	O		*(830)*				
	1031 Butte Street	Redding	L			47,027			
	District Totals:			**47,851**	**32,666**	**47,027**	**94,878**	**79,693**	***0***
D3	703 B Street	Marysville	O	230,000	160,444				
	2379 Gateway Oaks Drive	Sacramento	L			6,260			
	District Totals:			**230,000**	**160,444**	**6,260**	**236,260**	**166,704**	***0***
D4	111 Grand Avenue	Oakland	O	750,000	525,000				
	TMC, 111 Grand Avenue	Oakland	O		*(10,200)*				
	Space adjustment: Childcare center	Oakland	O		*(3,247)*				
	District Totals:			**750,000**	**511,553**	**0**	**750,000**	**511,553**	-
D5	50 Higuera Street	San Luis Obispo	O	41,700	29,190				
	TMC, 50 Higuera Street	San Luis Obispo	O		*(1,500)*				
	20 Higuera Street (Vacant)	San Luis Obispo	O						*7,500*
	1150 Laurel Lane (Or equivalent)	San Luis Obispo	L			44,459			
	3232 S. Higuera Street	San Luis Obispo	L			8,224			
	District Totals:			**41,700**	**27,690**	**52,683**	**94,383**	**80,373**	***7,500***
D6	1352 W. Olive Street	Fresno	O	78,000	60,000				
	TMC, 1352 W. Olive Street	Fresno	O		*(3,065)*				
	2015 E. Shields Avenue	Fresno	L			98,575			
	855 M Street	Fresno	L			50,773			
	District Totals:			**78,000**	**56,935**	**149,348**	**227,348**	**206,283**	***0***
D7	100 S. Main Street	Los Angeles	O	716,200	501,340				
	Space adjustment: 100 S. Main Street 11th floor	Los Angeles	O		*(47,000)*				
	Space adjustment: 100 S. Main Street LADOT	Los Angeles	O		*(98,486)*				
	Space adjustment: Childcare center	Los Angeles	O		*(4,500)*				
	950 County Square Drive	Ventura	L			487			
	District Totals:			**716,200**	**351,354**	**487**	**716,687**	**351,841**	***0***
D8	464 W. 4th Street	San Bernardino	O	336,000	282,125				
	Space adjustment: 464 W. 4th DGS Space Assignments	San Bernardino	O		(114,778)				
	13970 Victoria Street (Southern Regional Lab)	Fontana	O	81,000	56,700				
	Space adjustment: 13970 Victoria Street (Lab Portion)	Fontana	O		(18,162)				
	District Totals:			**417,000**	**205,885**	**0**	**417,000**	**205,885**	***0***
D9	500 S. Main Street	Bishop	O	20,250	14,175				
	TMC, 500 S. Main Street	Bishop	O		*(400)*				
	500 S. Main Street (Modular Traffic Ops.)	Bishop	O	4,986	3,490				
	500 S. Main Street (Modular Design)	Bishop	O	5,040	3,528				
	500 S. Main Street (Modular IT)	Bishop	O	2,894	2,026				
	500 S. Main Street (Modular Mtce. Engineering)	Bishop	O	4,326	3,028				
	District Totals:			**37,496**	**25,847**	**0**	**37,496**	**25,847**	***0***

Office Facilities "Net Need"
Fiscal Years 2017-18 through 2021-22

District	Address		Owned (O) Leased (L)	Owned Gross	Owned Net	Leased	District Total "gross space" *(Owned Gross & Leased)*	District Total "net space" *(Owned Net & Leased)*	*Other*
District Office Facilities (continued)									
D 10	1976 E. Dr. Martin Luther King Jr. Blvd.	Stockton	O	64,574	45,202				
	1976 E. Dr. Martin Luther King Jr. Blvd. (Mod. R/W)	Stockton	O	5,760	4,032				
	1976 E. Dr. Martin Luther King Jr. Blvd. (Mod. Plan/LA)	Stockton	O	5,760	4,032				
	1976 E. Dr. Martin Luther King Jr. Blvd. (Mod. Permits)	Stockton	O	2,880	2,016				
	1976 E. Dr. Martin Luther King Jr. Blvd. (Mod. Safety)	Stockton	O	960	672				
	1976 E. Dr. Martin Luther King Jr. Blvd. (Mod. Admin)	Stockton	O	3,520	3,002				
	1976 E. Dr. Martin Luther King Jr. Blvd. (Mod. TMC)	Stockton	O		*(2,200)*				
	1976 E. Dr. Martin Luther King Jr. Blvd. (Mod. Surveys I)	Stockton	O	2,880	2,016				
	1976 E. Dr. Martin Luther King Jr. Blvd. (Mod. Surveys II)	Stockton	O	2,880	2,016				
	1976 E. Dr. Martin Luther King Jr. Blvd. (Mod. Video Conf.)	Stockton	O	960	672				
	District Totals:			**90,174**	**61,460**	**0**	**90,174**	**61,460**	***0***
D 11	4050 Taylor Street	San Diego	O	301,000	221,447				*15,428*
	4024 Taylor Street (Vacant Arch. Build.)	San Diego	O						*2,345*
	District Totals:			**301,000**	**221,447**	**0**	**301,000**	**221,447**	***17,773***
D 12	3337-3347 Michelson Drive	Irvine	L			151,453			
	District Totals:			**0**	**0**	**151,453**	**151,453**	**151,453**	***0***
	Geographical District Totals:			**2,800,877**	**1,719,070**	**407,258**	**3,208,135**	**2,126,328**	***25,273***
Regional Office Facilities									
D8	21073 Pathfinder Road Suite 200	Diamond Bar	L			8,950		8,950	
	Regional Totals:			**0**	**0**	**8,950**	**8,950**	**8,950**	***0***
State Headquarters Facilities									
HQ	1120 N Street	Sacramento	O	462,392	365,590				
	1120 N Street (CTC leased space)	Sacramento	O		*(4,678)*				
	5900 Folsom Boulevard (Lab)	Sacramento	O	15,146	10,602				
	5900 Folsom Boulevard (Lab; quad I)	Sacramento	O	6,480	4,536				
	5900 Folsom Boulevard (Lab; quad II)	Sacramento	O	6,480	4,536				
	5900 Folsom Boulevard (Lab; quad III)	Sacramento	O	6,480	4,536				
	1900 Royal Oaks Drive (Office space only)	Sacramento	O	9,757	6,830				
	1801 30th Street (FM1)	Sacramento	L			160,900			
	1727 30th Street (FM3)	Sacramento	L			123,736			
	1820 Alhambra Boulevard (FM2)	Sacramento	L			87,423			*1,463*
	1823 14th Street (Backfill)	Sacramento	L			28,181			
	1500 5th Street (Backfill 2415-001)	Sacramento	L			25,248			
	1500 5th Street (2nd floor 2415-003)	Sacramento	L			5,631			
	1500 5th Street (2nd floor 2415-004)	Sacramento	L			3,804			
	1304 O Street	Sacramento	L			18,695			
	1616 29th Street	Sacramento	L			18,101			
	1227 O Street	Sacramento	L			17,000			
	1515 River Park Drive Suite 210	Sacramento	L			6,642			
	3390 Lanatt Street	Sacramento	L			3,769			*26,146*
	1115 P Street	Sacramento	L			2,315			
	State Headquarters Totals:			**506,735**	**391,952**	**501,445**	**1,008,180**	**893,397**	***27,609***
	Grand Totals:			**3,307,612**	**2,111,022**	**917,653**	**4,225,265**	**3,028,675**	***52,882***

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Categories for Existing Infrastructure

1. Critical Infrastructure Deficiencies. Condition of existing facilities impairs program delivery or results in an unsafe environment. Such projects would correct conditions that significantly limit the efficiency and effectiveness of program delivery. Also included are projects that correct code deficiencies that pose a hazard to employees, client populations, or the public, such as compliance with Fire Marshal regulations, flood control projects, seismic projects, and health related issues such as asbestos abatement and lead removal.

2. Facility/Infrastructure Modernization. Building is structurally sound but modernization of facility will result in an upgrade or betterment that will enable or enhance program delivery. Such projects could include lighting, HVAC, utilities (sewer, water, electrical) and remodeling of interior space to increase efficiency.

3. Workload Space Deficiencies. Additional space required to serve existing programs because of increased workload (not Enrollment/Caseload/Population (E/C/P) based). Within this category departments could divide the category into specified types of space such as offices, storage, laboratories, classrooms, field offices, etc.

4. Enrollment/Caseload/Population (E/C/P). Changes to E/C/P estimates resulting in a reduction or increase in the amount of existing space needed or a change in the use of existing space.

5. Environmental Restoration. Land restoration or modification for environmental purposes. Examples include wetlands restoration for habitat purposes.

6. Program Delivery Changes. Modifications to existing facilities necessitated by authorized changes to existing programs or newly required programs.

Categories for New Infrastructure

7. Workload Space Deficiencies. Additional space required to serve existing programs because of increased workload (not E/C/P based). Within this category departments could divide the category into specified types of space such as offices, storage, laboratories, classrooms, field offices, etc.

8. Environmental Acquisitions and Restoration. Land acquisitions and restoration of newly acquired land for the improvement or protection of wildlife habitat.

9. Public Access and Recreation. Acquisitions or projects to facilitate, or allow public access to state resources and landholdings such as coastal and park acquisitions as well as development of access points to beaches for recreation or for open space preservation.

10. Enrollment/Caseload/Population (E/C/P). Changes to E/C/P estimates resulting in the need for additional space.

11. Program Delivery Changes. New facility needs resulting from authorized changes to the existing program delivery systems.

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Critical Infrastructure Deficiencies

Fire and Life Safety applies "minimum standards for the prevention of fire and for the protection of life and property against fire, explosion, and panic"[3].

Seismic Deficiency takes into account both seismic rating of the facility (Seismic Risk Level) along with the geographic tendency (Seismic Zone) to a seismic event.

- Seismic Risk Level identifies the risk level (I through VII) as defined by the California Department of General Services.
- Seismic Zone identifies Type "A", "B", or "C" Faults as defined in the Maps of Known Active Fault Near-Source Zones in California and Adjacent Portions of Nevada, to be used with the 1997 Uniform Building Code, published by International Conference of Building Officials, February, 1998.

Building Deficiencies evaluates on a "cost to cure" basis Building Systems and Tenant Improvements.

- Building Systems include infrastructure such as heating, ventilation, and air conditioning (HVAC); electrical wiring; plumbing; security; fire alarm; and elevators.
- Tenant Improvements include any tenant-added infrastructure in/on the property.

Code Deficiencies examines … "non-critical Fire and Life Safety issues, and all other code deficiencies except Americans with Disabilities Act requirements"[4].

Facility/Infrastructure Modernization

Operational Deficiencies examines the functional utility, or efficient use, of the existing space of the infrastructure.

American With Disabilities Act (ADA) Compliance considers how the existing facility fulfills ADA requirements.

Energy Inefficiencies considers inefficient energy-related systems, such as windows, heating, air-conditioning, gas lines, and water supply.

Security Deficiencies assesses employee and community exposure to criminal activity and other outside threats.

Effective Age evaluates the overall condition of infrastructure taking into account its actual age. Well-maintained infrastructure will have a lower effective age than poorly maintained infrastructure.

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[2] DOF and Caltrans staff met February 23, 2005 to review Caltrans' drivers. The result of that and previous meetings is the agreement that Caltrans' drivers are appropriate for the Existing Infrastructure classification.
[3] Source: State Fire Marshal, Title 19. Public Safety, Division 1, Chapter 1, Subchapter 1, Article 1.
[4] Source: State Administrative Manual; Section 6839.

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ALTERNATIVES TO UTILIZING THE CAPITAL OUTLAY PROCESS

State departments are required to explore non-capital outlay alternatives that can be utilized to address net needs. The California Department of Transportation (Caltrans) office space needs are currently met by a combination of state-owned and leased office space. Alternatives that may be considered in lieu of the capital outlay process include: leasing office space, changing program/project delivery methods, alternative work schedules, and public-private partnerships.

Lease Office Space

Utilizing short and/or long-term leased office space may result in increased support costs and may not be cost effective over the long term. Additionally, Executive Order W-18-91 states that, "The State shall, where possible and feasible, own those real estate facilities necessary for State operations, where the need for the facility is long-term and ownership is economically advantageous over the life of the facility."

Change Program/Project Delivery Methods

This alternative would encompass changes that would reduce staffing levels and the corresponding level of office space needs. This alternative may not be cost effective or efficient and could result in a negative impact on Caltrans' project delivery efforts.

Alternate Work Schedules/Telework/Hoteling

Caltrans will consider, when appropriate, the use of telework as a viable management tool (where work performance can be measured) to improve the effectiveness and productivity of employees, optimize facility utilization, and improve asset management without jeopardizing safety, internal controls, Caltrans' needs, or services to the public.

Caltrans may use the telework option, when viable, as one of the strategies to improve safety, mobility, delivery, stewardship, and service by reducing traffic congestion, improving air quality, or effectively resuming business as part of a disaster recovery or emergency. This policy recognizes the business, societal, and personal benefits made available through a carefully planned and well-managed Telework Program.

Public-Private Partnerships

Caltrans will seek public-private partnerships as authorized by the California Legislature.

Appendix

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BUDGET LETTER

	NUMBER: 16-10
SUBJECT: 2017-18 BUDGET PREPARATION GUIDELINES	DATE ISSUED: MAY 27, 2016
REFERENCES: BUDGET LETTERS 16-02, 16-05, 16-06, 16-07, 16-09	SUPERSEDES: BL 15-05

TO: Agency Secretaries
Agency Information Officers
Department Directors
Departmental Budget and Accounting Officers
Departmental Chief Information Officers
Department of Finance Budget and Accounting Staff
Department Deputy Director for Legislation

FROM: DEPARTMENT OF FINANCE

NOTE: Budget Officers are requested to forward a copy of this Budget Letter to your facility manager.

The Department of Finance (Finance) is issuing this technical Budget Letter (BL) to assist departments in planning for the 2017-18 budget development process. This BL contains guidelines that are applicable to the overall process at this time. Finance will provide other technical instructions in future BLs. (Attachment I)

Deadlines and Deliverables for Budget Documents due to Department of Finance, unless otherwise noted in subsequent instructions	
July 18, 2016	To request funding for information technology projects in a fall BCP, departments are required to submit Special Project Reports, or applicable Project Approval Lifecycle documents to the California Department of Technology (CDT).
August 3, 2016	Capital Outlay Budget Change Proposals (COBCP) and Five-Year Infrastructure Plans for 2017-18, including any adjustments needed to conform to the enacted 2016-17 budget, 2016 Five-Year Infrastructure Plans, and construction escalation.
August 17, 2016	Request approval from your Program Budget Manager for late BCP submittal.
September 2, 2016	Regular BCPs, including Budget Bill and Trailer Bill language changes.
September 14, 2016	BCPs requesting funds for legislation chaptered through August 31. If enacted after August 31, then BCPs must be submitted **no later than 10 calendar days after the chaptering of the bill.**
To Be Determined by Finance Budget Analyst	Enrollment, Caseload, and Population updates and local assistance estimates due, including any associated Budget Bill and Trailer Bill language changes.

STATE OF CALIFORNIA

Deadlines for Financial Reporting Requirements (2015-16 year-end financial reports) due to State Controller's Office, unless otherwise noted in subsequent instructions	
August 1, 2016	General Fund, feeder funds (0081, 0084, 0085, 0086, 0089, 0090, 0091, 0094, and 0097), and economic uncertainty funds (0374 and 0375).
August 22, 2016	All other funds.
August 22, 2016	Report of Accounts Outside the State Treasury, Report 14, due to the State Treasurer's Office.
August 22, 2016	Report of Expenditures of Federal Funds, Report 13, due to Finance, Fiscal Systems & Consulting Unit (FSCU).
September 1, 2016	Generally accepted accounting principles information, excluding independently audited financial statements.
September 30, 2016	Independently audited financial statements. If a final financial statement is not available by September 30, a draft can be submitted on September 30, with final following on October 14.

This BL provides instructions and information on the following topics.

		Page
I.	General Information	3
II.	Budget Change Proposals (BCP)	3-6
	▪ Forms	3
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X.	Miscellaneous	9
	Additional Technical Guidelines to be Issued Later	Attachment I
	Coordination of Information	Attachment II

I. GENERAL INFORMATION

The guidelines in this BL apply primarily to BCPs related to state operations and local assistance. Finance will issue a separate BL for Capital Outlay Budget Change Proposals (COBCPs) guidelines. Unless specifically identified as COBCPs, the term BCP refers to state operations and local assistance proposals, not capital outlay; however, this BL does include components that require identification for potential facility or capital outlay costs related to state operations and local assistance BCPs.

Budget Preparation Calendar: Budget Calendars in the Budget Analyst Guide will be updated, if needed, and will be available at: http://www.dof.ca.gov/fisa/bag/budgetcalendars.htm.

Price Letter Standards: Price Letter Standards for 2017-18 are currently targeted for distribution in early September 2016. The Department of General Services (DGS) published an updated version of its web-based 2015-16 Price Book that lists both the 2015-16 and proposed 2016-17 rates for its services, and can be viewed here: http://www.dgs.ca.gov/ofs/NewsEvents/PriceBookAnnouncement.aspx.

State Administrative Manual (SAM): The budgeting chapter (Chapter 6000) of SAM is a valuable source of information on the technical aspects of the budget and legislative processes. Access SAM Chapter 6000 at: http://sam.dgs.ca.gov/Home.aspx. SAM has **not** yet been updated to reflect FI$Cal changes. In the interim, please use the Finance FI$Cal webpage for specific Hyperion instructions at: http://www.dof.ca.gov/FISCal_Resources/view.php.

Timeliness and Confidentiality: Strict adherence to all schedules and due dates stipulated in this memo and in the attachments is required. **Until release of the Governor's Budget, all information contained in budget documents used during the Governor's Budget development process is strictly confidential.**

II. BUDGET CHANGE PROPOSALS

Forms

Departments are to use the latest form DF-46 to prepare the narrative portion of non-Capital Outlay proposals. The latest version (August 2015) of the narrative portion of the Budget Change Proposal (BCP) form is available in a Word document.

All departments using FI$Cal/Hyperion should provide all necessary budget information in Hyperion either by keying data in the system directly or leveraging the upload templates for data input. Contact your Finance budget analyst for assistance, if necessary.

Various enhancements to the system are currently underway. Once these are completed this summer, Finance will notify departments when updated Excel upload templates are available, and provide information on the system enhancements.

Departments may obtain current BCP forms, instructions, and BCP templates (which will be updated again for the 2017-18 cycle) from the Finance website at: http://www.dof.ca.gov/budgeting/forms/view.php. Departments continue to be required to submit Budget Change Proposals in hard copy form with appropriate signatures.

Timeframe

BCPs (including Budget Bill and Trailer Bill language changes, and FI$Cal templates) must be submitted to Finance no later than **September 2, 2016**, or by an earlier date established by the Finance Program Budget Manager, per instructions to be provided later. (**Exception**: BCPs for chaptered legislation and late requests approved by Finance [see below]). All major COBCPs and the Five-Year Infrastructure Plans for 2017-18, including minor COBCPs, Capital Outlay Concept Papers (COCPs), and adjustments that are needed to conform to the enacted 2016-17 budget or required changes to the escalation of construction costs are due by **August 3, 2016.**

BCPs requesting funding for information technology (IT) projects require California Department of Technology (CDT) approval of Special Project Report (SPR), or the applicable Project Approval Lifecycle (PAL) documents prior to submission of the BCP. Pursuant to Government Code section 11545, et seq., CDT is responsible for approving and overseeing IT projects. Departments are required to submit documents electronically to CDT in accordance with Statewide Information Management Manual (SIMM) 05A. SPRs, or applicable PAL documents, are due to CDT no later than **July 18, 2016** (unless otherwise exempted by the CDT), for Finance to consider any associated fall funding requests. Comprehensive information for IT project reporting, including instructions to assist departments in meeting CDT reporting requirements, can be found in the *Statewide Information Management Manual*.

BCPs requesting funds for legislation chaptered through August 31, 2016, must be submitted no later than September 14, 2016. For bills chaptered after August 31, BCPs must be submitted **no later than 10 calendar days after the chaptering of the bill**. No BCPs for chaptered legislation will be accepted if submitted after the applicable time limit.

The Agency Secretary, or Departm
ental Director for those departments that do not report to an Agency Secretary, must approve any request for late BCP submittal. These late requests must be submitted in writing to your Finance Program Budget Manager, no later than **August 17, 2016**. Requests for late submittal are limited to those issues involving the most exceptional circumstances.

General Guidelines and Procedures for BCPs

1. **BCPs must fully conform to budget policies to be provided in the upcoming Budget Policy BL.**

2. **All information contained in BCPs is strictly confidential until release of the Governor's Budget.** Each department is responsible for maintaining the confidentiality of its respective BCPs until approved for release (usually simultaneously with the release of the Governor's Budget in January). **Disapproved BCPs and disapproved versions of BCPs remain confidential working papers and must not be released.** Responses to any requests for confidential budget documents under the Public Records Act or pursuant to discovery requests must be coordinated with Finance legal staff.

3. **The appropriate Agency Secretary must approve BCPs (including COBCPs) prior to submission to Finance.** Departments proposing changes which involve other departments or other departments' funds must obtain and attach written concurrence and/or comments on the proposed change from the affected department(s) Director(s) or designee(s) prior to submitting the BCP to Finance.

The BCP cover page requires each department's Chief Information Officer to review and sign all BCPs with IT components prior to submission to Finance. BCPs that do not have the appropriate approval and, when applicable, concurrence and/or comments, will be returned without consideration.

4. **Funding for chaptered legislation that does not contain a specific appropriation must be absorbed or requested in a BCP or other budget request.**

5. BCPs requesting funds from a special or bond fund must be accompanied by an updated fund condition statement or by a statement of fund availability from the department administering the fund (if different from the requesting department). Bond-funded BCPs must also cite the specific bond measure and relevant chapters and sections for proposed funding (i.e., "bond pot").

6. **Departments must provide a well-written, complete BCP**. Departments must not rely on providing subsequent back-up material to respond to Finance's inquiries to provide needed justification for the request. BCPs that are incomplete by virtue of failing to provide relevant, critical, and substantiating information in the initial submission will likely be returned to departments without analysis at the discretion of Finance. When applicable, **departments' BCPs must include any proposed provisional, trailer bill, reversion, or reappropriation language**. In the case of provisional and trailer bill language, the BCP must effectively justify the need for this language and the programmatic implications associated with it. For proposed reappropriation and reversion language, the BCP must clearly identify the relevant budget acts, items of appropriation, and funds proposed for reappropriation and reversion, as well as the appropriate timeframes for encumbrance and liquidation.

7. **BCPs must include all appropriate documentation, workload statistics, and code citations or they will be returned without consideration**. If a proposed change is funded through redirection, both the positive and negative changes must be reflected. BCPs proposing redirections must include a statement of the immediate and future impact on the program from which the resources will be redirected. When submitting a BCP that affects more than one program or subprogram, fiscal detail for each program/subprogram affected must be included. All program information must be consistent with the display in the Governor's Budget.

8. BCPs must be assigned an individual priority number and address a single issue. (Sequential numbering must be used, with No. 1 being the highest priority.) Multiple issues may not be consolidated as a single priority. However, BCPs that address a single issue, but affect multiple programs, divisions, or units, may be consolidated.

9. BCPs must describe the methods of calculation and sources of data for all numbers used. Departments should consult with their Finance budget analysts on analytical approaches, data sources, and content of the written BCPs prior to submission to Finance.

10. BCPs requesting new positions and/or programs must include both a narrative explanation and fiscal detail addressing the impact these new positions/programs will have on the facility needs of the department. **Finance will not consider BCPs that do not include this information. Salaries and retirement rates should be as of July 1, 2016. Retirement rates can be found in Control Section 3.60 of the upcoming 2016 Budget Act.**

11. BCPs must include a description of how the proposal is consistent with the department's strategic plan by identifying the objective(s) the BCP will support. The justification must articulate the compelling need for this proposal and its intended objectives.

12. Each BCP must include a discussion of alternative ways (other than the one being proposed and the status quo) to address the identified problem. **Submittals that do not meet this criterion will be rejected.**

13. Attachment II provides a list of designated lead agencies responsible for the coordination of specified subject areas/programs.

III. POSITION RELATED GUIDELINES

Requests for New Positions—When requesting new positions, departments are required to clearly establish the long and short-term benefits to be gained by increasing personnel as opposed to other possible alternatives (e.g., automation, workload readjustments). Depending on a department's vacancy rate, requests for new positions generally will be limited to redirections of existing positions. Other alternatives that have been considered must also be identified and analyzed. BCPs requesting new positions must effectively justify why a redirection is not possible. If new positions are approved, positions will be budgeted at the mid-step, unless evidence is provided justifying a higher level for hard-to-fill classifications. Finance must approve the establishment of any position above mid-step of the respective salary range.

Limited-Term Positions—As a policy, Finance does not approve limited-term position authority to meet short-term workload efforts. If an increase in temporary resources is necessary to support short-term workload, limited-term expenditure authority, without authorized positions, will be considered to meet operational needs. The limited-term funding will be approved for a specific length of time, as authorized during the budget process. **For more specific information on limited-term expenditures, consult with your Finance budget analyst.**

Merit Salary Adjustment—Government Code section 13308.05 also includes funding for Merit Salary Adjustments (MSAs) in their definition of a workload budget. However, savings result when positions return to the bottom step after staff promotions or departures, which are then available to pay for the costs of MSAs. Therefore, no workload budget adjustments will be made.

IV. CAPITAL OUTLAY BUDGET CHANGE PROPOSALS

Major Capital Outlay Budget Change Proposals (COBCPs)

The General Guidelines and Procedures for BCPs described above also apply to COBCPs. COBCPs and Five-Year Infrastructure Plans (including requests for provisional language changes) must be submitted to Finance no later than **August 3, 2016**, or by an earlier date established by the Finance Program Budget Manager. The BL with more specific instructions, including FI$Cal related instructions, and due dates for submitting five-year infrastructure plans, COBCPs, and COCPs will be forthcoming.

Changes for any other reason may be deferred to the 2018-19 capital outlay budget cycle. The capital outlay process is described in SAM sections 6801, et seq. and is available at: http://www.documents.dgs.ca.gov/sam/SamPrint/new/sam_master/rev428/chap6000/6801.pdf.

COBCPs and departmental Five-Year Infrastructure Plans are required to be submitted to the Legislature with the Governor's Budget pursuant to Government Code section 13100, et seq.

Minor COBCPs

COBCPs for minor capital outlay projects for 2017-18 must be submitted to Finance no later than **August 3, 2016,** or by an earlier date established by the Finance Program Budget Manager. Detailed information on the submission of Minor COBCPs for the 2017-18 fiscal year will be provided in an upcoming BL. Please note that the dollar limit for each minor capital outlay project has been adjusted to $656,000 for most agencies and $903,000 for departments within the Resources Agency, per Public Contract Code sections 10108 and 10108.5, respectively.

V. INFORMATION TECHNOLOGY

Line-item display in the Governor's Budget

The Request by Category tab in Hyperion includes account categories for Consolidated Data Centers (5344000) and Information Technology – Other (5346900). Departments must use these account categories to distinguish between a department's internal information technology costs (5346900) and data center costs (5344000).

Departments are required to inform the Office of Technology Services (OTech) of: (1) all activities and any significant changes in IT services anticipated; and (2) the IT equipment that will be included in their budget, but obtained from the data center. Failure on the part of the department to inform the OTech could have an adverse impact on OTech's ability to support the services or the procurement.

VI. FINANCIAL REPORTING REQUIREMENTS

The following schedule applies to the 2015-16 year-end financial reports for submittal to the State Controller's Office (SCO):

August 1, 2016–General Fund, feeder funds (0081, 0084, 0085, 0086, 0089, 0090, 0091, 0094, and 0097), and economic uncertainty funds (0374 and 0375).

August 22, 2016–All other funds.

The Report of Accounts Outside the State Treasury, Report 14, must be submitted to the State Treasurer's Office and a copy to the State Controller's Office.

The Report of Expenditures of Federal Funds, Report 13, must be submitted to Finance, FSCU on or before **August 22, 2016**.

Departments are responsible for both the accuracy and timeliness of the year-end reports. **Government Code section 12461.2 authorizes the SCO to withhold any or all operating funds from a department if that department fails to submit complete and accurate financial reports within 20 days of the prescribed due dates.** Therefore, departments should plan carefully to meet year-end reporting deadlines.

To assist with this process, CALSTARS departments are reminded of the availability of sample task lists, checklists, year-end training sessions, and individualized assistance through the CALSTARS Hotline: phone (916) 327-0100 or e-mail: hotline@dof.ca.gov.

The CALSTARS Training Schedule can be accessed at: http://www.dof.ca.gov/accounting/calstars/Training/view.php and the Procedures Manual at: http://www.dof.ca.gov/accounting/calstars/procedures/view.php.

Departments using FI$Cal/PeopleSoft for accounting functions will be required to submit financial reports produced from FI$Cal. Finance will provide assistance and year-end training for departments using FI$Cal. Departments should work with their FI$Cal Readiness Coordinator and Finance accounting analyst to make arrangements for additional support to meet the year-end deadlines. Departments may also contact Finance, FSCU for assistance at (916) 324-0385 or via e-mail at: fscuhotline@dof.ca.gov.

VII. PRO RATA ASSESSMENTS AND SWCAP ALLOCATIONS

A streamlined/more efficient process has been proposed for 2017-18. Upon approval by the Legislature, instructions will be provided in a separate BL. For an overview of the current Pro Rata and SWCAP, please refer to the Finance Pro Rata and SWCAP website at: http://www.dof.ca.gov/fisa/proswcap/proswcap.htm.

VIII. BASELINE BUDGET ADJUSTMENTS (EXPENDITURES)

Baseline Budget Adjustments (BBAs) are changes to costs of currently authorized services in the budget necessary to maintain the current level of service. BBAs will be used to make baseline expenditure adjustments in Hyperion for all years (past year through budget year plus four). There are 12 non-capital outlay related baseline adjustment types in Hyperion that can be used to make baseline expenditure changes (listed below). A separate BL will be issued to describe the 12 types of non-capital outlay BBAs in more detail, as well as provide information for the upload templates. This BL will also describe the process for entering capital outlay BBAs and provide information about various capital outlay BBA types.

Salary Adjustment
Benefit Adjustment
Retirement Rate Adjustment
Budget Position Transparency
Carryover/Reappropriation
Legislation with Appropriation
Lease Revenue Debt Service Adjustment
Pro Rata
SWCAP
Miscellaneous Baseline Adjustments
Statutory COLAs
Issue Specific Adjustment (to be renamed from "Other" this summer)

IX. BASELINE BUDGET ADJUSTMENTS FOR REVENUES, TRANSFERS, AND LOANS

Baseline revenues, revenue transfers, and loans will be collected for all years in the system (past year through budget year plus four). These baseline adjustments must be authorized under current law or policies. For transfers and loans, the appropriate authority must be cited in the description of the adjustment. A separate BL will be issued to provide reporting instructions for baseline revenues, transfers, and loans.

X. MISCELLANEOUS

Submit all budgets in the FI$Cal required program format—no exceptions.

Rounding Rules

To prevent rounding problems, departments are required to have zeros in the last three digits for numbers in all years. Amounts of 500 and above should be rounded to 1,000; amounts below 500 should be rounded to zero. For example $2,222,222 should be entered as $2,222,000 and $4,500 as $5,000, in Hyperion. This applies to both expenditures and revenues, all amounts, all years.

If you have any questions, please contact your Finance budget analyst.

/s/Veronica Chung-Ng

Veronica Chung-Ng
Program Budget Manager

Attachments